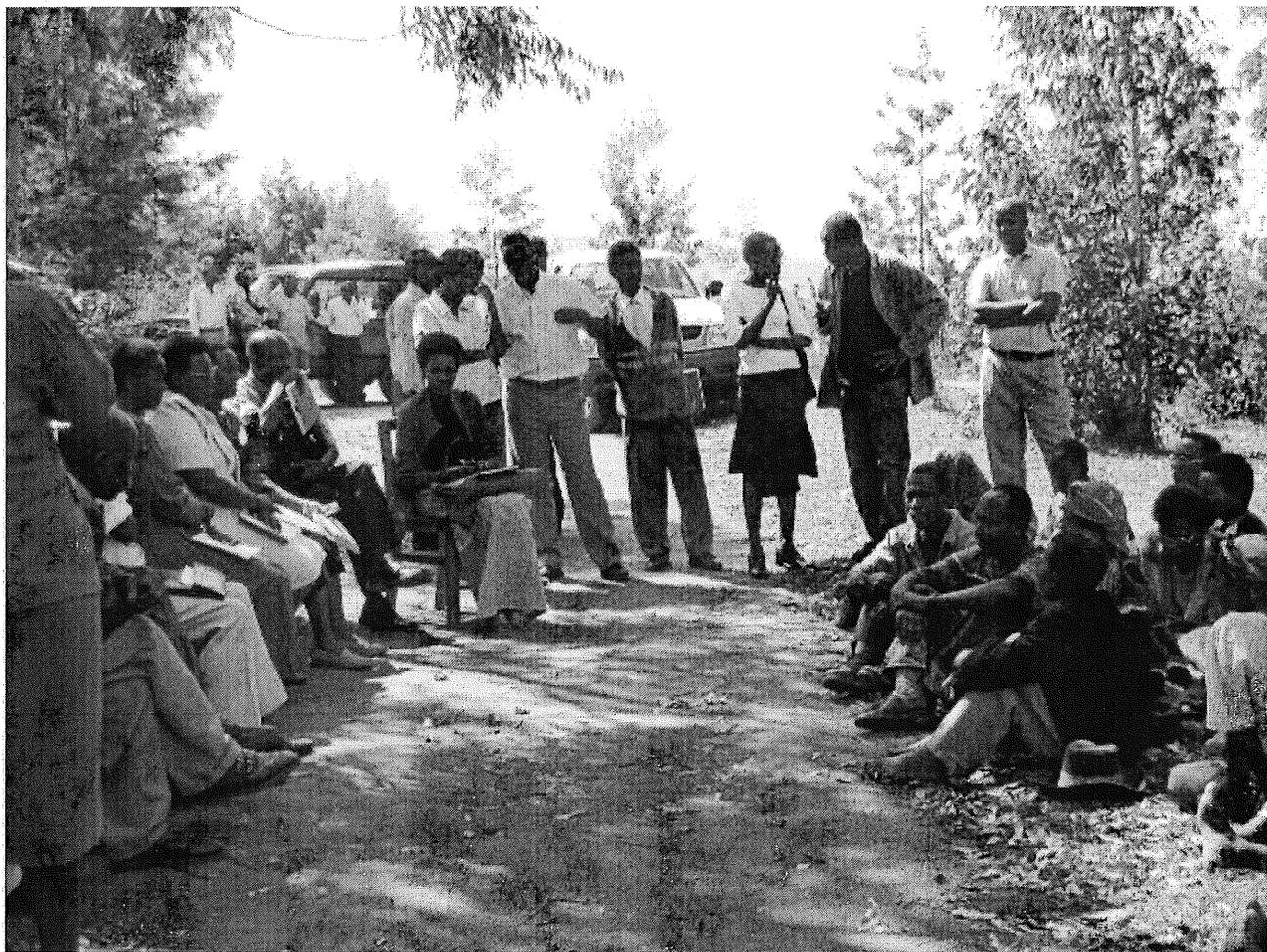


# DCHA/ PVC-ASHA Africa Monitoring Trip

October 14 – November 28<sup>th</sup>, 2004

*Burundi, Kenya, Zambia, Mozambique, and Ghana*



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**Program Draft for  
USAID/ DCHA/ PVC-AHSA, Sarah Cohen**  
(Monitoring TDY 10/12/04-11/27/04)

- |  |  |
|--|--|
| October 12-14                                      | Travel from Washington DC, through Nairobi, Kenya  |
| October 14-22 <sup>nd</sup>                        | Burundi <ul style="list-style-type: none"><li>✓ Programming in Limited Presence Countries (Rob Luneburg)</li><li>✓ Partnership and Sub Grantee Relationships</li><li>✓ SOC Country Information for Report</li><li>✓ Preparation for Burundi Mission (?)</li><li>✓ Networking with NGOSSP Grantees</li><li>✓ Coordination on NGO Mapping with OFDA and OTI</li><li>✓ Global Rights/ Search for Common Ground (Attribution and Coordination (REDSO Grants)</li></ul> |
| October 22-26 <sup>th</sup>                        | Nairobi, Kenya (REDSO Mission) <ul style="list-style-type: none"><li>✓ Monitoring and Evaluation with REDSO on OD</li><li>✓ Virtual OD Teams with REDSO Mission (Carolyn Jefferson)</li><li>✓ REDSO Conflict Team (GL Programming – Steve Smith)</li></ul>   |
| October 26 <sup>th</sup> -November 2 <sup>nd</sup> | Zambia <ul style="list-style-type: none"><li>✓ IDE Final Eval Planning</li><li>✓ Salesian Missions Midterm Follow-Up</li><li>✓ SAWSO NGO Follow-Up</li><li>✓ PCI Midterm Follow-Up</li><li>✓ NGOSSP Alliances (PACT/IDE)</li><li>✓ HIV/AIDS Service Mapping</li><li>✓ Zambia Mission Coordination</li><li>✓ PACT/ Partnerships (GDA)</li></ul>   |
| November 2-10 <sup>th</sup>                        | Mozambique <ul style="list-style-type: none"><li>✓ Mission Coordination for Monitoring</li><li>✓ MEDA Final Eval Planning</li><li>✓ Synergos</li><li>✓ TechnoServe Midterm Planning and Follow-Up</li></ul>  |
| November 10 <sup>th</sup> -23 <sup>rd</sup>        | Ghana <ul style="list-style-type: none"><li>✓ Cooperative Partners</li><li>✓ Mission Coordination/ WARP</li><li>✓ Workshop Planning</li></ul>  |
| November 28 <sup>th</sup>                          | Washington, DC   |

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**Design Checklist**

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	Country	Field Staff Contact	Mission Staff	Sector	Issue Areas
Matching Grant					
NGO Sector Strengthening Program					

**Field Staff Contact:** List field staff contacted on TDY and list staff position. Contact Information should be included to denote follow-up for CTO staff/ PVO HQ staff.

**Mission Staff:** Mission staff familiar with Project Goals, implementation plan and staff.

**Issue Areas:** Issue Areas as identified by CTO, PVC staff, Technical advisors, Mission staff or PVO Headquarters. Represents areas of monitoring focus or issues of field coordination, program implementation or research.

**Monitoring Checklist**

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**The Process**

- Regularly collect, review and report on data related to all project indicators, targets and other donor requirements according to the Work Plan.
- Clearly compare actual results against targets during review of monitoring data.
- Use the data to refine the project approach (as necessary).

**Reporting**

- Clearly reflect actual and planned performance for each objective, analysis of the results and plans for next steps in all project reports (to donors, Headquarters and others in the stated Monitoring Plan for the project).

**Approaches**

- Missing a planned target is not viewed as "failure". Failure is defined as failing to capture this info, draw conclusions and act on them.
- Monitoring is as participatory as possible (including review of data)
- Give attention to the quality of the data. How good is the information?

**Evaluation Checklist**

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**Design**

- Does this project address the key goals as originally stated in the Detailed Implementation Plan?
- Did the evaluation start with a Scope of Work that address management and project needs?

- What is being "learned" from this project? How has data management led to "lessons learned"?
- How have "lessons learned" been used for replication, project enhancement or programming?
- What specific aspect of programming is the focus of this evaluation?

**Participation**

- Design to allow the highest reasonable degree of participation in the implementation and review of results.
- Complete draft report and discuss with project staff both in field and at Headquarters.

**Sharing the Lessons-Learned**

- Evaluations should be short and should focus on "lessons-learned", key research areas, and indicators of impact.
- Widely distribute relevant field materials to PVO partners, local field staff, Missions, and USAID management units and staff.
- Advertise the relevant evaluation information to promote sharing.
- Synthesize in a manageable format, the key lessons for programs staff to use in current project management.

## Data Chart for Performance Monitoring Plan DCHA/ PVC-ASHA

### Skill Rating Scale

This rating scale is adapted from a CRS Skill Rating Skill Tool. The purpose of this tool was to identify areas where an organization was becoming more independent from systems training, and technical assistance support. It was adapted to absorb some of the common measurements used with our partners, and to reflect some of the key areas of the PMP and the research areas we are assessing. It is designed to be a "proxy measurement" for some of the informal indicators that may be evident when monitoring, or interviewing program and project staff.

#### Scale for Indigenization (Independence)

- 1 - not functioning
- 2 - dependent
- 3 - cooperative
- 4 - consultative
- 5 - independent

#### Scale for Quality (Ability)

- 1 - not functioning
- 2 - unsatisfactory
- 3 - needs improvement
- 4 - adequate
- 5 - excellent

Technical Skills	Indigenization (1-5)	Quality (1-5)
1. There are policies clarifying the technical areas employed in development (by sector/ core capacity)		
2. Baseline surveys are done in areas of program concentration		
There are established and shared plans for the transfer of technical skills and trainings		
4. Effective use is made of local technical resources		
5. There are policies providing for continuing education for staff in technical/ skill areas.		
Average of Individual Item Scores		

Board Development and Control Skills	Indigenization (1-5)	Quality (1-5)
1. Has purpose statement		
2. Has goals		
3. Has clearly understood and stated values		
4. Has strategies		
<b>Establishing Boundaries with Policies and Procedures for...</b>		
5. Representation of constituencies		
6. Internal board practices		
7. Decision making		
Budgets; financial record keeping		

9. Monitoring and evaluation		
10. Fundraising		
External relations		
<b>Determining Standards of Performance for...</b>		
12. Job descriptions in place		
13. Objectives stated and clear		
14. Chain of responsibility in place		
<b>Skills for Board Members</b>		
15. Decision making		
16. Evaluating Proposals		
17. Making presentations		
18. Working on committees		
<b>Average of Individual Item Scores</b>		

<b>Management Skills</b>	<b>Indigenization (1-5)</b>	<b>Quality (1-5)</b>
1. General Meetings are held periodically to discuss common problems and goals		
2. Group has identified community problems it wishes to address		
3. Group has defined and formulated a purpose statement		
4. Group has defined and formulated goals		
5. Group has identified barriers to goals		
6. Group has defined and formulated strategies		
7. Group has defined and formulated objectives; key indicators of success		
8. Group monitors success monthly		
9. Staff monitor progress against individual goals and objectives		
10. Implementation plans include time frames and assigned responsibilities		
11. Plans have identified community resources		
12. Evaluations of the plan and program are carried out, revisions made – at least annually, and more frequent as necessary		
13. Group submits reports to others in chain of accountability at agreed – to intervals		
<b>Average of Individual Item Scores</b>		

<b>Financial Record Keeping and Planning Skills</b>	<b>Indigenization (1-5)</b>	<b>Quality (1-5)</b>
1. There are plans for raising funds locally for programs		
2. There is an annual budget		

3. All income and expenses are appropriately documented		
Expenses are monitored in relation to the budget		
5. There is a monthly financial report		
Average of Individual Item Scores		

## Appendix Information

**Questions to be included in the DIMPs – these questions are to be answered on an annual basis by PVO and/or NGO partners unless otherwise indicated**

For any questions or clarifications, please contact Dana Ott, DCHA/PVC-ASHA/PPO at [dott@usaid.gov](mailto:dott@usaid.gov) or 202-712-5883.

**I. Questions to be answered by PVOs about the operating environments of their NGO partners (or networks):**

Questions in this section need only be answered once, unless there has been a change in the operating environment of your NGO partners or networks. Please review the answers you provide on an annual basis and inform us of any changes (i.e. if a law is passed granting NGOs tax-exempt status).

1. Please list the countries your NGO partners (or networks) are working in where NGOs are required to register/incorporate to become legal entities. For each country where registration/incorporation is required, include any notable factors, favorable or unfavorable, as appropriate (e.g. how affordable, timely and accessible is the registration process)? Does the legal framework otherwise restrict the ability of NGOs to provide services (e.g. by limiting their ability to charge for services, imposing onerous licensing requirements, etc.)
2. Please list the countries your NGO partners (or networks) are working in where NGOs are granted tax-benefits (including tax-exempt status). For each country where tax-benefits are granted; include any notable factors, favorable or unfavorable, as appropriate.
3. Please list the countries your NGOs partners (or networks) are working in where the NGOs perform service delivery or work in partnership with local and national governments. Please also provide your definition of partnership in these cases.
4. In countries where such NGO-government partnerships exist, how would you evaluate the quality of the overall partnerships between NGOs and the government in these countries? Please describe the nature of the partnership in each of these countries.
5. Are there any other factors in the country environments where your NGO partners (or networks) work (such as conflict, etc) that affect the ability of NGOs to develop and become sustainable? Please list these factors by country and provide a brief description of impact on development and sustainability of NGOs.

**II. Questions to be answered by PVOs for NGO partners (or networks). PLEASE NOTE: In this section we are asking for your perceptions of your group of partners as a whole. We are not expecting you to provide specific information for each NGO partner (or network). If there is significant variation within your group of partners, please note in your specific answers to questions.**

In general, would you say that your NGO partners (or networks):

- (1) Have good internal governance systems, including (but not limited to) accountable, credible and knowledgeable Boards of Directors, written management structures, and clearly understood division of responsibilities between Boards of Directors and management staff?
- (2) Have adequate and appropriate human resource systems in place to ensure effective and efficient operations?
- (3) Involve target beneficiaries in identifying and implementing program activities (i.e. have a bottom-up approach rather than a top-down one.)?
- (4) Actively engage other organizations, including local governments, local businesses, media, and other NGOs, in discussions and/or activities to more effectively achieve their objectives?

- (5) *Improve their ability to deliver services as a result of participating in networks?*
- (6) *Actively build constituencies for their initiatives and programs?*
- (7) *Actively seek and receive funding and non-monetary support from a variety of sources other than your organization?*
- (8) *Have financial management systems in place to ensure fiscal accountability and financial viability over time?*
- (9) *In the past year, have your NGO partners (or networks) improved their service delivery, either in terms of the quality of service provided or the scale or scope of services provided? Please briefly describe these changes. [NOTE: It is not necessary to answer this question in 2004. However you should be prepared to answer this question beginning next year - 2005]*
- (10) *Do you intend to include additional NGOs (or networks) as partners in your activities in the coming year?*
- (11) *Do you anticipate that any current NGO partners (or networks) will drop out of your activities in the coming year? If so, please provide a brief explanation (no longer need training, performance issues, etc.)*

III. Questions to be answered directly by a "target" group of NGOs, networks and cooperatives directly (composition of target group TBD)

Please note that ONLY the "target" group of NGOs/networks/cooperatives will be asked to complete this section. PVC-ASHA/PPO will be working directly with each grantee over the first six months of 2004 to determine which of their partners will be designated as part of the "target" group.

- (1) *Would you say your organization has a clear division of responsibilities between the Board of Directors and staff?*  
1.Strongly Agree      2.Agree      3.Unsure      4.Disagree      5.Strongly Disagree
- (2) *Do you feel that your Board of Directors helps your organization be more accountable and credible?*  
1.Strongly Agree      2.Agree      3.Unsure      4.Disagree      5.Strongly Disagree
- (3) *Do you believe your organization has the right number of staff with the skills they need to achieve your goals?*  
1.Strongly Agree      2.Agree      3.Unsure      4.Disagree      5.Strongly Disagree
- (4) *Does your organization have policies in place to deal with staffing issues such as recruitment, compensation, promotion, conflict resolution/grievance, and supervision?*  
1.Strongly Agree      2.Agree      3.Unsure      4.Disagree      5.Strongly Disagree
- (5) *Does your organization use strategic planning as part of the decision making process?*  
1.Strongly Agree      2.Agree      3.Unsure      4.Disagree      5.Strongly Disagree
- (6) *Does your organization develop and implement activities as part of a clear strategic vision?*

1.Strongly Agree      2.Agree      3.Unsure      4.Disagree      5.Strongly Disagree

(7) Does your organization use methods to ensure your programs are operated in a transparent way?

1.Strongly Agree      2.Agree      3.Unsure      4.Disagree      5.Strongly Disagree

(8) Does your organization use feedback from the general public and/or your constituents to improve your performance?

1.Strongly Agree      2.Agree      3.Unsure      4.Disagree      5.Strongly Disagree

(9) Does your organization form partnerships with other NGOs to more effectively achieve your goals?

1.Strongly Agree      2.Agree      3.Unsure      4.Disagree      5.Strongly Disagree

(10) Does your organization work in partnership with local business to achieve common goals?

1.Strongly Agree      2.Agree      3.Unsure      4.Disagree      5.Strongly Disagree

(11) Does your organization work in partnership with government to achieve common goals?

1.Strongly Agree      2.Agree      3.Unsure      4.Disagree      5.Strongly Disagree

(12) Are there reasons why you are unable to partner with government? Please describe.

(13) Does your organization work in partnership with the media to achieve common goals?

1.Strongly Agree      2.Agree      3.Unsure      4.Disagree      5.Strongly Disagree

(14) Has your organization improved its service delivery as a result of participating in a network?

1.Strongly Agree      2.Agree      3.Unsure      4.Disagree      5.Strongly Disagree

(15) Does your organization try to advocate and build support for your programs within the community or with the government?

1.Strongly Agree      2.Agree      3.Unsure      4.Disagree      5.Strongly Disagree

(16) Does your organization use methods to track financial data to insure effective program management?

1.Strongly Agree      2.Agree      3.Unsure      4.Disagree      5.Strongly Disagree

(17) Does your organization raise funds through donations from local community members?

1. Strongly Agree      2. Agree      3. Unsure      4. Disagree      5. Strongly Disagree

(18) Does your organization raise funds by charging a fee for services or products, or receive other kinds of income other than grants?

1. Strongly Agree      2. Agree      3. Unsure      4. Disagree      5. Strongly Disagree

(19) Does your organization receive funding from other donors than USAID?

1. Strongly Agree      2. Agree      3. Unsure      4. Disagree      5. Strongly Disagree

(20) Does your organization have volunteers or other kinds of support (excluding donations) from your local community?

1. Strongly Agree      2. Agree      3. Unsure      4. Disagree      5. Strongly Disagree

## POTENTIAL INDICATORS FOR SO 1

## 1- "Enhanced NGO capacity to deliver development services in select USAID countries."

The theory behind Strategic Objectives (as I understand it) is that they are solutions to a problem (in this case presumably a LACK of capacity of NGOs to deliver development services) and that the SO is the larger result achieved when the IRs are combined. Since the IRs are supposed to be both necessary AND sufficient we should consider how we can measure some of those outputs at an SO level. For example, if you look at the results framework we are really arguing that in order for NGOs have this enhanced capacity to deliver services; they will need IR1 + IR2 + IR3. This means we need to find a way to relate strengthened capacity, expanded linkages, and wider learning to improved performance.

Perceptions are one way to get at the performance issue, but this might be better as a mid-term and end of strategy measure at the SO level, since it would be unrealistic to expect statistically significant change in perception in just one year.

Until then, we may want to use some kind of self-assessment by NGOs themselves, combined with a survey where PVOs rank the performance of the NGO as well? This might give us greater reliability and allow us to triangulate.

Other challenges may come up at this level in the definition of terms:

1. **Enhanced** NGO capacity – presumably this is greater than a baseline measure of capacity for **specific** NGOs in the "select USAID" countries. The issue is:
  - a. Will this be a consistent group within the selected countries for the strategy duration?
  - b. If not, how will we deal with new additions, and or dropouts in reporting?
  - c. Will the countries themselves change over time?
2. Development services – I am guessing we are defining this broadly to include any service an NGO provides, whether it is health care or advocacy on issues of interest to their constituents.

## Potential Indicators for SO 1

Short term – in the short term we will not be able to measure changes in perception. We should probably focus on a more easily obtainable evaluation of capacity of NGOs. As mentioned above, a self assessment combined with a PVO evaluation may be of use here.

1. # out of target group or % of NGOs receiving assistance which show improved self-assessment of performance (NGO evaluation)
2. # out of target group or % of NGOs receiving assistance demonstrating improved delivery of development services. (PVO evaluation)

Long term – I think the perception indicators might be very good for the larger result and "so what" question that inevitably comes up with any capacity building activity. Any of the proposed indicators below might get at this.

1. Percentage of constituents (community population?) who perceive NGO services as responsive to their needs and priorities (TIPS/OCAT) *(requires separate customer survey?)*
2. Percentage of constituents who perceive a change (+/-) in NGO service delivery quality/quantity in past year *(requires separate customer survey?)*

## IR 1.1 – "Strengthened operational, technical, and financial capabilities of NGOs and cooperatives"

The first question that comes to my mind is whether there's a difference between NGOs and cooperatives in terms of the OD measures we would use to evaluate their capacity. If not, no problem. If there is, then we'll need to work with Tom to refine that and figure out how

to report on it within this IR. One way might be to alternate reporting on NGOs and cooperatives from year to year since we're no longer required to report on the same indicators every year.

Definition of terms:

NGO capacity – a measure of the level of organizational development of NGOs either based on an existing methodology (OCAT, DOSA) or one developed by PVC incorporating elements from these other methodologies. Since there are many possible dimensions to this concept of **organizational development** as we are calling it, and since we may need to do it separately for NGOs versus cooperatives, we'll need to figure out a way to present that information in a concise manner. We'll need to track improvements over time, which means we'll need a **scale** of some kind for each dimension we want to measure (for example a scale for service delivery/advocacy/vision, one for governance/internal/organizational and one for financial resources/financial viability). To report this data, we can either aggregate the scores of the various scales into one larger OD ranking and report which percentage of NGOs hit a certain level (with notes in the comment section) or we can report a percentage of NGOs who showed improvement on at least 3 of the 4 OD measures, for example

Possible Indicators –

1. percentage of NGOs (or cooperatives) scoring at least x out of x on the PVC OD Measure
2. percentage of NGOs (or cooperatives) showing improvement in at least x out of x OD measures

**(1) Service Delivery (not technically specific)/Advocacy/Vision**

- number/percentage of NGOs which actively seek to build constituencies for their initiatives/programs (E&E)
- number/percentage of NGOs which engage wide range of ethnic and other population categories (e.g., poor, men and women) in needs assessment, program design and service delivery (TIPS/DOSA) (*define "wide range"*)
- number/percentage of NGOs with clearly defined mission or vision (*how/who would assess?*) (E&E)
- number/percentage of NGOs which develop and implement activities consonant with strategic vision (TIPS/DOSA)
- number/percentage of NGOs which have led efforts to raise awareness of problems or increase support for a particular position (E&E)
- number/percentage of NGOs which have promoted legal reforms benefiting NGOs and local, quality, cost-effective service delivery for constituents (E&E)
- percentage of constituents who perceive that services/products offered by NGOs reflects their needs and priorities (E&E) (*how to determine the coverage of community in "constituents", e.g., different ethnic groups, traditionally under-represented groups*)
- number/percentage of NGOs who track and assess the results of their service delivery (TIPS/DOSA)
- number/percentage of NGOs who use feedback from the general public and/or its constituency to improve performance (TIPS/DOSA) (*which – general public or constituency?*)
- number/percentage of NGOs that adapt programs/services to meet the changing needs of their constituencies (TIPS/DOSA)
- number/percentage of NGOs with staff having appropriate technical training and qualifications (TIPS/OCAT)

**(2) Governance/Internal/Organizational (including leadership, structure, human resources?)**

3. number/percentage of NGOs with clearly defined management structure, including recognized division of responsibilities between Board of Directors and staff (E&E)
4. number/percentage of NGOs with permanent, paid staff (E&E)
5. number/percentage of NGOs with appropriate staff skills in place to achieve mission (TIPS/DOSA)
6. number/percentage of NGOs with appropriate staff numbers in place to achieve mission (TIPS/DOSA)
7. number/percentage of NGOs with staff and board composition reflects the diversity of the population in the service delivery area (TIPS/OCAT)
8. number/percentage of NGOs with appropriate recruitment, compensation, promotion, conflict resolution/grievance, supervision systems and practices in place (TIPS/DOSA) (*need to break out into separate categories?*)
9. number/percentage of NGOs with clear and transparent administrative and internal controls procedures in place (TIPS/OCAT)

10. number/percentage of NGOs where all staff, including Board of Directors, are committed to and act according to the vision, mission and strategy of the organization (TIPS/DOSA)
11. number/percentage of NGOs with timely, relevant and accurate internal flow of information (TIPS/DOSA) (*how to assess?*)
12. number/percentage of NGO leaders who involve staff in planning and decision-making (TIPS/DOSA)
13. number/percentage of NGOs with strategic planning as part of their decision making process (E&E)
14. number of NGOs with formal code of ethics and/or demonstrated transparency procedures in their operations (E&E)
15. number/percentage of NGOs with budgeting process that allocates funds consistent with organizational priorities (TIPS/DOSA)
16. number/percentage of NGOs with Boards of Directors providing overall policy direction and oversight (TIPS/OCAT)
17. number/percentage of NGOs with Boards of Directors providing accountability and credibility (TIPS/OCAT)
18. number/percentage of NGOs with Boards of Directors capable of carrying out such key roles as policy formulation, fund raising, public relations, financial oversight and lobbying (TIPS/OCAT)
19. number/percentage of NGOs with BDS. Of Directors comprised of committed members representative of the varied interests of the constituents (TIPS/OCAT)

### (3) Financial Resources/Financial Viability

20. percentage of NGO resources raised from local sources (E&E) (*detail which/how many local sources?*)
21. percentage of NGO resources raised from revenues from services, products or rent from assets (E&E)
22. number of NGOs with sound financial management systems -- including financial projections, timely disbursements (TIPS/DOSA) -- in place (E&E)
23. number of NGOs with systematic and transparent financial reporting systems (TIPS/OCAT)
24. number of NGOs with sound procurement practices, reflecting effective use of resources, in place (TIPS/DOSA)
25. number of NGOs with core volunteer and non-monetary support from their communities (E&E)
26. number of NGOs with a loyal core of financial supporters (E&E)
27. number of NGOs with cash reserves equal to at least 25% of annual operating budget (TIPS/DOSA)

### IR 1.2 – Networks, Linkages, ISOs

Like with IR1.1, we may want to use a scale of some kind to aggregate several of these measures into one, more comprehensive measure that we can report on. I see at least **three** dimensions to this IR as written:

- linkages between NGOs and networks
- linkages between NGOs and public institutions
- linkages between NGOs and private institutions

Using a scorecard or scale would allow us to incorporate measures that get at all three of these dimensions.

Potential Indicators:

1. percentage of NGOs scoring at least x out of x on the PVC Linkages Measure
2. percentage of NGOs showing improvement in at least x out of x Linkages measures

### **External Relations** (networks)

28. number of NGOs which have worked as part of a network or coalition to conduct advocacy campaigns (E&E)
29. number of NGOs sharing information with one another for the benefit of constituents (E&E)
30. number of NGOs which actively engage in partnerships with other organizations to better/more effectively achieve their objectives (TIPS/DOSA)

31. number of NGOs working in partnership (formally or informally) with local business, gov't and/or media to achieve common objectives (E&E) (*if yes, which – business, gov't and/or media?*)
32. number of NGOs which have been part of issue-based coalitions and broad-based advocacy campaigns (E&E)
33. number of policy changes effected as a result of network campaigns (E&E)
34. number of NGOs which systematically share information with one another (E&E) (*follow on: if so, with what results/effects?*)

**IR 1.3 – “Wider and more effective learning and dissemination by development partners and PVC of tested innovations, best practices, lessons learned standards.  
wider learning and dissemination**

Need to discuss further

This IR has several dimensions as well (surprise). **Wider learning** implies a larger group. **More effective** implies better usage by a group. Can we assume that innovations, best practices, etc., can all be lumped together instead of counted separately? Also, can we assume that we are aggregating the efforts of “development partners” and “PVC” for the purposes of this IR? The easiest way to get at indicators for this IR would probably be to use one measure to track “learning” and one indicator to track “dissemination”. Let’s start with the first one. **Learning**, I think, implies use. So we need to be able to track the use of these innovations, etc, by “development partners and PVC”. It’s relatively easy to track our own use of innovations, and I think we can get at the use by partners by using a survey of some kind. **Dissemination** is fairly straightforward in terms of counting how much (i.e. the number of items) disseminated. The question will be whether we need or want to break it down any further in terms of what is being disseminated, or to whom.

Potential Indicators:

1. % (or number) of development partners employing tested innovations, best practices, lessons learned and standards.
2. # of workshops held and/or number of reports distributed.

Potential problems (thus far) to be kept in mind over time:

35. relies almost exclusively of “number/percentage of NGOs...”

while this is true, it doesn't necessarily strike me as bad. Since the focus of this strategy is on achieving results with NGOs/PVOs it is to be expected that most of our results will have this focus. Where we need to be careful to strive for the higher level result is at the SO level, particularly for the later years.

36. labor intensive data collection

We may be able to mitigate this through the use of one primary data collection mechanism, like a systematic and scientific survey done on a routine basis to provide this information. This should be done across all our partners, which may mean having a third party do it to ensure independence rather than doing it in-house.

37. subjective (and highly diffused) data collection, therefore consistency of results across NGOs

Again, I think we can eliminate much of this problem IF we design our indicators in such a way that they can aggregate results. We will lose some detail in that process, but we can retain that detail for our own planning purposes, the focus of the Annual Report really will be to provide that macro view anyway.

38. “moving target” of NGOs year-to-year – we’ll need to establish targets and explain results in a way that accounts for the changing base of NGOs over time

In my opinion, this is going to be the biggest problem. We need to confirm in more detail which mechanisms will have shifting

memberships and how that will affect our reporting. We may need to do a multiple layer report – where we differentiate the groups by year.

39. need to disaggregate data by "conflict" and "non-conflict" country (area?) – this may not be as simple as it seems at first glance

It would be simple enough to disaggregate on the basis of which countries the Agency defines as "conflict" countries but for us to make any claims about the relationships on the ground we will need to determine which NGOs are operating in "conflict countries" but not in "conflict zones" and which are. This might make it easier to find useful data.

40. do we need to disaggregate by other criteria, e.g., technical sector?

The question I would ask here is, to what purpose? Are we trying to determine (for example) if these interventions work better in the health area than in the AG area? Supposing we did find that one works better than the other. Would we use this in any way (i.e. targeting our grants?) If not, it probably isn't worth the effort and potential problems it could cause.

## Potential Organizational Development Indicators<sup>1</sup>

### 1) **Service Delivery (non-technically-specific)/Advocacy/Vision**

- number/percentage of NGOs/cooperatives which actively seek to build constituencies for their initiatives/programs
- number/percentage of NGOs which engage wide range of ethnic and other population categories (e.g., poor, men and women) in needs assessment, program design and service delivery
- number/percentage of NGOs with clearly defined mission or vision
- number/percentage of NGOs/cooperatives which develop and implement activities consonant with clear strategic vision
- number/percentage of NGOs/cooperatives which have led efforts to raise awareness of problems or increase support for a particular position
- number/percentage of NGOs which have promoted legal reforms benefiting NGOs and local, quality, cost-effective service delivery for constituents
- percentage of constituents who perceive that services/products offered by NGOs reflects their needs and priorities
- number/percentage of NGOs who track and assess the results of their service delivery
- number/percentage of NGOs who use feedback from the general public and/or its constituency to improve performance
- number/percentage of NGOs/cooperatives that adapt programs/services to meet the changing needs of their constituencies
- number/percentage of NGOs with staff having appropriate technical training and qualifications

### (2) **Governance/Internal/Organizational** (including leadership, structure, human resources, others)

- number/percentage of NGOs/cooperatives with clearly defined management structure, including recognized division of responsibilities between Board of Directors and staff
- number/percentage of NGOs with permanent, paid staff
- number/percentage of NGOs with appropriate staff skills in place to achieve mission
- number/percentage of NGOs/cooperatives with appropriate [and appropriately skilled] staff numbers in place to achieve mission
- number/percentage of NGOs with staff and board composition reflects the diversity of the population in the service delivery area
- number/percentage of NGOs with appropriate recruitment, compensation, promotion, conflict resolution/grievance, supervision systems and practices in place
- number/percentage of NGOs/cooperatives with clear and transparent administrative and internal controls procedures in place

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<sup>1</sup> taken from a variety of sources including USAID E&E Bureau, TIPS on Measuring Institutional Capacity, DOSA, & OCAT.

- number/percentage of NGOs where all staff, including Board of Directors, are committed to and act according to the vision, mission and strategy of the organization
- number/percentage of NGOs with timely, relevant and accurate internal flow of information
- number/percentage of NGO leaders who involve staff in planning and decision-making
- number/percentage of NGOs with strategic planning as part of their decision making process
- number of NGOs/cooperatives with formal code of ethics and/or demonstrated transparency procedures in their operations
- number/percentage of NGOs with budgeting process that allocates funds consistent with organizational priorities
- number/percentage of NGOs with Boards of Directors providing overall policy direction and oversight
- number/percentage of NGOs/cooperatives with Boards of Directors providing accountability and credibility
- number/percentage of NGOs with Boards of Directors capable of carrying out such key roles as policy formulation, fund raising, public relations, financial oversight and lobbying
- number/percentage of NGOs with Boards. Of Directors comprised of committed members representative of the varied interests of the constituents

### **'3) Financial Resources/Financial Viability**

- percentage of NGO resources raised from local sources
- percentage of NGO resources raised from revenues from services, products or rent from assets
- number of NGOs with sound financial management systems -- including financial projections, timely disbursements
- number of NGOs/cooperatives with systematic and transparent financial reporting systems
- number of NGOs/cooperatives with sound procurement practices, reflecting effective use of resources, in place
- number of NGOs with core volunteer and non-monetary support from their communities
- number of NGOs with a loyal core of financial supporters
- number of NGOs with cash reserves equal to at least 25% of annual operating budget
- 

### **IR 1.2 – Networks, Linkages, ISOs**

#### **External Relations (networks)**

- number of NGOs which have worked as part of a network or coalition to conduct advocacy campaigns

- number of NGOs sharing information with one another for the benefit of constituents
- number of NGOs which actively engage in partnerships with other organizations to better/more effectively achieve their objectives
- number of NGOs working in partnership (formally or informally) with local business, gov't and/or media to achieve common objectives
- number of NGOs which have been part of issue-based coalitions and broad-based advocacy campaigns
- number of policy changes effected as a result of network campaigns
- number of NGOs which systematically share information with one another
- number of NGOs which have changed/improved their service delivery practices as a result of information received from another NGO

**IR 1.3 – wider learning and dissemination**

- Percentage of development partners employing tested innovations, best practices, lessons learned and other improved standards
- Number of workshops held
- Number of reports distributed

## PERFORMANCE MEASUREMENT PLAN (PMP)

*DCHA/PVC-ASHA,  
Strategic Plan 2002-2007\**

***Strategic Objective 1 –***

***Enhanced NGO capacity to deliver development services in select USAID countries.***

***Strategic Objective 2 –***

***Increased mobilization of U.S. development resources.***

\*Although PVC and ASHA are merged organizationally, at present this PMP reflects activities of the PVC office only.

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**VC-ASHA Results Framework – Strategic Plan 2003-2007**

***SO1 - Enhanced NGO capacity to deliver development services in select USAID countries.***

**IR 1.1 – Strengthened operational, technical and financial capabilities of NGOs and cooperatives**

**IR 1.2 – Expanded linkages among NGOs, networks, and public and private sector institutions**

**IR 1.3 – Wider and more effective learning and dissemination of tested innovations, best practices, lessons learned and standards.**

**SO2 – Increased mobilization of U.S. development resources**

**IR 2.1 – Increased operational and technical capacities of select PVOs**

**IR 2.2 – Expanded collaboration between PVOs and corporations**

**Indicator Sheets and Tables (proposed)**

***SO1 - Enhanced NGO capacity to deliver development services in select USAID countries.***

(1a) SO Indicator 1 - Percentage of recipient NGOs [and cooperatives] showing improved delivery of development services. [Annual measure reported over the life of the SO]

(2a) SO Indicator 2 – Number of target NGOs [and cooperatives] demonstrating improved organizational development. [Annual measure reported over the life of the SO]

(3a) SO Indicator 3 - Percentage of target NGO constituents who perceive target NGO services as effective in meeting critical community needs. [Baseline and final measure]

**IR 1.1 – Strengthened operational, technical and financial capabilities of NGOs and cooperatives**

(1.1a) IR Indicator 1 - Percentage of recipient NGOs (or cooperatives) showing improvement in at least 1 out of the 3 organizational development categories

(1.1b) IR Indicator 2 – Number of target NGOs (or cooperatives) showing improvement in at least 4 out of the 8 organizational development sub-categories

**IR 1.2 – Expanded linkages among NGOs, networks, and public and private sector institutions**

(1.2a) IR Indicator 1 - Number of target NGOs conducting at least two linkage activities

(1.2b) IR Indicator 2 – Number of target NGOs reporting service delivery improvements as a result of networks

**IR 1.3 – Wider and more effective learning and dissemination of tested innovations, best practices, lessons learned and standards.**

(1.3a) IR Indicator 1 – Percentage of development partners employing tested innovations, best practices, lessons learned and standards.

(1.3b) IR Indicator 2 - Number of dissemination activities conducted.

**SO2 – Increased mobilization of U.S. development resources**

(2.1) SO Indicator 1 - TBD

(2.2) SO Indicator 2 - TBD

**IR 2.1 – Increased operational and technical capacities of select PVOs**

(2.1a) IR Indicator 1 - TBD

(2.1b) IR Indicator 2 - TBD

**IR 2.2 – Expanded collaboration between PVOs and corporations**

(2.2a) IR Indicator 1 - TBD

(2.2b) IR Indicator 2 - TBD

<b>Strategic Objective 1: Enhanced NGO Capacity to Deliver Development Services in Select USAID Countries</b>
<b>SO1 - Indicator # 1:</b> Percent of recipient NGOs [and cooperatives] showing improved delivery of development services.
<b>A. Description</b>
<b>Precise Definition:</b> Recipient NGOs or cooperatives are defined as those organizations which are direct beneficiaries of assistance from PVC or its development partners. Assistance is defined as either money or technical assistance from PVC or one of its development partners. Improved delivery of development services is defined as positive change in the ability of the organization to achieve its stated service goals, (delivery of a service; promote issue advocacy, etc.) and encompasses improvements in the scope, quality or scale of activities.
<b>Unit of Measure:</b> Percentage
<b>Disaggregated by:</b> NGOS/Cooperatives
<b>Management Utility:</b> This indicator is intended to capture ongoing impacts at the SO level of the efforts of the PVC programs to strengthen NGOs, increase networking, and share best practices and lessons learned. Although it does not capture the magnitude of changes taking place in individual organizations due to the need to aggregate across many NGOs, it does provide a basic confirmation that change is occurring. To appreciate the changes over time as a result of PVC and development partner interventions, this measure will be collected annually.
<b>B. Plan for Data Collection</b>
<b>Data Collection Method:</b> Through the Detailed Implementation Plans (DIPs) submitted by PVO partners annually.
<b>Data Source(s):</b> NGOs as reported by PVOs, Cooperatives.
<b>Timing / Frequency of Data Collection:</b> Annually.
<b>Estimated Cost of Collection:</b> N/A – part of established cooperative agreement reporting process.
<b>Responsible Organization/Individual(s):</b> PVC/PDM
<b>C. Plan for Data Analysis, Reporting, and Review</b>
<b>Data Analysis:</b> Information in the DIPs will be will be tabulated by PVC/PPO to calculate the percentage of NGOs/cooperatives reporting improved delivery of services.
<b>Presentation of Data:</b> Summary Data Performance Table.
<b>Review of Data:</b> N/A.
<b>Reporting of Data:</b> The baseline is zero (see Notes on Baselines and Targets). Targets will be provided in the FY2004 Annual Report.
<b>D. Data Quality Issues</b>
<b>Initial Data Quality Assessment:</b> TBD
<b>Known Data Limitations and Significance (if any):</b> There are two major data limitations. First, because this information is not received directly from the NGOs but through the PVOs, there is a potential for the introduction of errors or bias. Second, the validity of this data is linked to the validity of the M&E systems in place in the NGOs to track their performance against baselines and targets over time.
<b>Actions Taken or Planned to Address Data Limitations:</b> PVC/PPO intends to partially compensate for these limitations by triangulation. PVO mid-term and final evaluations will examine whether PVOs are accurately reporting NGO progress, and a PVC-commissioned series of independent evaluations (baseline and final) of a select group of NGOs will assess whether NGOs are accurately reporting their progress.
<b>E. Performance Data Table</b>
<b>Method of Calculation:</b> Simple addition of data from DIPs to calculate the percentage of NGOs reporting improved delivery of development services, regardless of the nature of the service.

**Notes on Baselines and Targets:** Since this indicator tracks improved delivery of services, the baseline is zero. Targets will be estimated and provided in the FY2004 Annual Report, however since many of the cooperative agreements were signed only late in FY2003, the targets may need to be adjusted following the first submission of data for the FY2005 Annual Report. Although new awards will be made over the course of the SO, for reporting purposes this indicator will track only the initial group of recipients. Information about subsequent awardees will be included in the narrative section of the Annual Report.

## Strategic Objective 1: Enhanced NGO Capacity to Deliver Development Services in Select USAID Countries

**Indicator # 2:** Number of target NGOs [and cooperatives] demonstrating improved organizational development.

### A. Description

**Precise Definition:** Target NGOs or cooperatives are defined as a sub-set of those organizations which are direct beneficiaries of assistance from PVC or its development partners that have been selected by PVC for more intensive monitoring of their progress in institutional strengthening. Assistance is defined as either money or technical assistance from PVC or one of its development partners. Organizational development is measured by a PVC-constructed index capturing elements from many available institutional strengthening tools [explicit definition of the index and method of calculation can be found in Appendix 1] Target NGOs will be asked to evaluate their progress on a number of areas captured in the index, and those responses will be compared to prior year responses to determine if change has occurred in the three OD areas tracked by the index: internal operations, external operations, and financial resources. Target NGOs which report change in all three areas will be considered to have demonstrated overall improvement in organizational development.

**Unit of Measure:** Number

**Disaggregated by:** NGOS/Cooperatives

**Management Utility:** This indicator was intended to capture the overall organizational development changes in the NGO partners. However, because data collection at this level of specificity on each of the 300-400 partner NGOs would be prohibitive, PVC will select a target group representing the diversity of sectoral and geographical NGOs for more intensive data collection by PVOs as part of their overall monitoring efforts.

### B. Plan for Data Collection

**Data Collection Method:** Through the Detailed Implementation Plans (DIPs) submitted by PVO partners annually.

**Data Source(s) :** NGOs as reported by PVOs, Cooperatives.

**Timing / Frequency of Data Collection:** Annually.

**Estimated Cost of Collection:** N/A - part of established cooperative agreement reporting process.

**Responsible Organization/Individual(s):** PVC/PDM

### C. Plan for Data Analysis, Reporting, and Review

**Data Analysis:** Information in the DIPs will be tabulated by PVC/PPO to calculate the number of target NGOs demonstrating improved organizational development. A rating of improved organizational development requires change along all three dimensions measured by the index. For each target NGO, prior year scores will be utilized to determine if change has occurred.

**Presentation of Data:** Summary Data Performance Table.

**Review of Data:** N/A.

**Reporting of Data:** The baseline will be collected in early 2004 and targets will be set as soon as baseline data is available. Therefore the FY2005 Annual Report should contain baseline, targets and actual data for 2004.

### D. Data Quality Issues

**Initial Data Quality Assessment:** TBD

**Known Data Limitations and Significance (if any):** Because this information is received directly from the NGOs, there is a potential for the introduction of bias due to self reporting.

**Actions Taken or Planned to Address Data Limitations:** PVC/PPO intends to triangulate using other sources of data, including independent evaluations of a sample of target NGOs (chosen by PVC) to validate the information being received.

### E. Performance Data Table

**Method of Calculation:** The OD Index will be composed of several measures in each organizational development area (internal operations, external operations, financial resources) that are tracked through the DIP process with the target NGOs. Each measure will be scored by the target NGOs using a scale. These numbers will then be totaled for each section, and then for the whole index. The index will be additive of the measures, but improvement in the score for each OD area will be required to demonstrate improved overall organizational development.

**Notes on Baselines and Targets:** This indicator tracks improvement of organizational development attributes, which will require the initial establishment of a baseline. Since many of the cooperative agreements were only signed late in FY2003, the baseline data will be collected in 2004, and the baseline and targets will be reported in the FY2005 Annual Report. Although new awards will be made over the course of the SO, for reporting purposes this indicator will only track the initial group of recipients. Information about subsequent awardees will be included in the narrative section of the Annual Report.

<b>Strategic Objective 1: Enhanced NGO Capacity to Deliver Development Services in Select USAID Countries</b>
<b>Indicator # 3:</b> Percentage of target NGO constituents who perceive target NGO services as effective in meeting critical community needs.
<b>A. Description</b>
<b>Precise Definition:</b> Target NGOs or cooperatives are defined as a sub-set of those organizations which are direct beneficiaries of assistance from PVC or its development partners that were selected by PVC for more intensive monitoring of effective service delivery. Constituents are defined as the residents of communities served by the target NGOs.
<b>Unit of Measure:</b> Percentage
<b>Disaggregated by:</b> Specific groups targeted by NGOs
<b>Management Utility:</b> This indicator was intended to capture impact at the SO level of the efforts of the PVC programs to strengthen NGO capacity to deliver development services. By conducting random sample surveys of constituents in several communities served by these target NGOs, PVC will be able to triangulate its results reporting at the SO level with an independent source of data. This method is most likely to capture SO level results in the later years of the SO by validating the impact of the PVC program in benefiting communities served by NGO participants in our programs.
<b>B. Plan for Data Collection</b>
<b>Data Collection Method:</b> Survey by independent contractor hired by PVC.
<b>Data Source(s):</b> Residents of communities served by target NGOs
<b>Timing / Frequency of Data Collection:</b> Baseline, Final.
<b>Estimated Cost of Collection:</b> High
<b>Responsible Organization/Individual(s):</b> TBD
<b>C. Plan for Data Analysis, Reporting, and Review</b>
<b>Data Analysis:</b> The organization collecting the data will also provide analysis.
<b>Presentation of Data:</b> Summary Data Performance Table.
<b>Review of Data:</b> N/A.
<b>Reporting of Data:</b> Baseline data will be collected and presented in the FY2005 Annual Report. Targets for the end of strategy period will be provided in the 2005 Annual Report.
<b>D. Data Quality Issues</b>
<b>Initial Data Quality Assessment:</b> TBD.
<b>Known Data Limitations and Significance (if any):</b> One of the challenges with this indicator is that there will be several communities surveyed. Reliability in the survey instrument by using the same survey mechanism or by training will be required. Averaging the results of the surveys would give an overall number for reporting, while discussion of the variation among the communities and NGOs targeted could be done in the narrative section of the report.
<b>Actions Taken or Planned to Address Data Limitations:</b>
<b>E. Performance Data Table</b>
<b>Method of Calculation:</b> Average of survey results conducted across the target group.
<b>Key to Table:</b>
<b>Notes on Baselines and Targets:</b> A baseline will need to be established through this mechanism which will require selection of the target NGOs in the near future.

<b>Strategic Objective 1: Enhanced NGO Capacity to Deliver Development Services in Select USAID Countries</b>
<b>Intermediate Result 1.1: Strengthened operational, technical, and financial capabilities of NGOs and cooperatives</b>
<b>Indicator # 1:</b> Percentage of recipient NGOs (or cooperatives) showing improvement in at least 1 of the 3 organizational development categories
<b>A. Description</b>
<b>Precise Definition:</b> Recipient NGOs or cooperatives are defined as those organizations which are direct beneficiaries of assistance from PVC or its development partners. Assistance is defined as either money or technical assistance from PVC or one of its development partners. Organizational Development (OD) categories are defined as follows: Internal Operations, External Operations, and Financial Resources. For each category there are several measures.
<b>Unit of Measure:</b> Percentage
<b>Disaggregated by:</b> NGOS/Cooperatives
<b>Management Utility:</b> This indicator was intended to capture the multifaceted nature of organizational development in a manner that allowed for aggregation of results for the purposes of reporting overall performance in this area by NGOs and cooperatives receiving assistance from PVC and its development partners.
<b>B. Plan for Data Collection</b>
<b>Data Collection Method:</b> Through the Detailed Implementation Plan (DIP) submitted by PVO partners annually.
<b>Data Source(s):</b> NGOs as reported by PVOs, Cooperatives.
<b>Timing / Frequency of Data Collection:</b> Annually.
<b>Estimated Cost of Collection:</b> N/A – part of established cooperative agreement reporting process
<b>Responsible Organization/Individual(s):</b> PVC/PDM
<b>C. Plan for Data Analysis, Reporting, and Review</b>
<b>Data Analysis:</b> This data will be collected via a series of questions which ask PVOs to rate the overall performance of their NGO partners on a series of measures from the 3 organizational development categories used in the PVC Organizational Development Index (Internal Operations, External Operations, and Financial Resources). The results will be aggregated across the PVOs. A comparison to prior year data (or baseline) will be made to establish whether performance has improved for each measure.
<b>Presentation of Data:</b> Summary Data Performance Table.
<b>Review of Data:</b> N/A.
<b>Reporting of Data:</b> The baseline will be collected in early 2004 and targets will be set as soon as baseline data is available. Therefore the FY2005 Annual Report should contain baseline, targets and actual data for 2004.
<b>D. Data Quality Issues</b>
<b>Initial Data Quality Assessment:</b> TBD
<b>Known Data Limitations and Significance (if any):</b> Not all NGOs/cooperatives will be working on all three areas. It may be difficult to attribute the impact of PVC assistance on these measures versus other assistance these organizations may be receiving. There will need to be delineation of impact from PVC assistance versus other money received by these organizations.
<b>Actions Taken or Planned to Address Data Limitations:</b> To address limitations of reporting bias, PVC will attempt to triangulate using the more detailed assessment of the target NGOs (see Indicator 2 for IR 1.1) as well as PVO mid-term and final evaluations. To address the possible attribution problem, recipient NGOs will be asked to identify other sources of funding they are receiving in areas that may impact these organizational development measures. This will allow PVC to differentiate between the impact of its funding and that of other donors.
<b>E. Performance Data Table</b>
<b>Method of Calculation:</b> No calculation required.
<b>Key to Table:</b>

**Notes on Baselines and Targets:** Although new awards will be made over the course of the SO, for reporting purposes this indicator will only track the initial group of recipients. Information about subsequent awardees will be included in the narrative section of the Annual Report.

<b>Strategic Objective 1: Enhanced NGO Capacity to Deliver Development Services in Select USAID Countries</b>
<b>Intermediate Result 1.1: Strengthened operational, technical, and financial capabilities of NGOs and cooperatives</b>
<b>Indicator # 2:</b> Number of target NGOs (or cooperatives) showing improvement in 4 of the 8 organizational development sub-categories
<b>A. Description</b>
<b>Precise Definition:</b> Target NGOs or cooperatives are defined as a sub-set of those organizations which are direct beneficiaries of assistance from PVC or its development partners that were selected by PVC for more intensive monitoring of effective service delivery. Organizational development sub-categories are defined as follows: Under category I - Internal Operations, sub-categories are Internal Governance, Human Resources and Management Systems. Under category II – External Operations, sub-categories are Program Implementation, Networking and Advocacy/Outreach. Under category III – Financial Resources, sub-categories are Financial Management and Resource Generation.
<b>Unit of Measure:</b> Percentage
<b>Disaggregated by:</b> NGOs/Cooperatives
<b>Management Utility:</b> This indicator is intended to supplement indicator #1 by providing a more in-depth profile of NGO progress in the organizational development categories. Because data collection at this level of specificity on each of the 300-400 partner NGOs would be prohibitive, PVC will select a target group representing the diversity of sectoral and geographical NGOs for more intensive data collection by PVOs as part of their overall monitoring efforts. This indicator will track progress in the more focused sub-categories of the organizational development categories to allow for a more rich understanding of NGO progress in these areas.
<b>B. Plan for Data Collection</b>
<b>Data Collection Method:</b> Through the Detailed Implementation Plan (DIP) submitted by PVO partners annually.
<b>Data Source(s):</b> NGOs as reported by PVOs, Cooperatives.
<b>Timing / Frequency of Data Collection:</b> Annually.
<b>Estimated Cost of Collection:</b> N/A – part of established cooperative agreement reporting process
<b>Responsible Organization/Individual(s):</b> PVC/PDM
<b>C. Plan for Data Analysis, Reporting, and Review</b>
<b>Data Analysis:</b> This data will be collected in raw form, as part of the Organizational Development Index for each target NGO. For each NGO or cooperative, a comparison to prior year data (or baseline) will be made to establish whether performance has improved for each measure. Each NGO or cooperative will be given a summary ranking based on whether they demonstrated improved performance in at least 4 of the 7 OD sub-categories.
<b>Presentation of Data:</b> Summary Data Performance Table
<b>Review of Data:</b> N/A
<b>Reporting of Data:</b> The baseline will be collected in early 2004 and targets will be set as soon as baseline data is available. Therefore the FY2005 Annual Report should contain baseline, targets and actual data for 2004.
<b>D. Data Quality Issues</b>
<b>Initial Data Quality Assessment:</b> TBD
<b>Known Data Limitations and Significance (if any):</b> Not all NGOs/cooperatives will be working on all organizational development areas. It may be difficult to attribute the impact of PVC assistance on these measures versus other assistance these organizations may be receiving. There will need to be delineation of impact from PVC assistance versus other money received by these organizations.
<b>Actions Taken or Planned to Address Data Limitations:</b> To address the possible attribution problem, recipient NGOs will be asked to identify other sources of funding they are receiving in areas that may impact these organizational development measures. This will allow PVC to differentiate between the impact of its funding and that of other donors.
<b>E. Performance Data Table</b>
<b>Method of Calculation:</b> Simple addition across target NGOs

**Key to Table:**

**Notes on Baselines and Targets:** This indicator tracks improvement of organizational development attributes, which will require the initial establishment of a baseline. Since many of the cooperative agreements were only signed late in FY2003, the baseline data will be collected in 2004, and the baseline and targets will be reported in the FY2005 Annual Report. Although new awards will be made over the course of the SO, for reporting purposes this indicator will only track the initial group of recipients. Information about subsequent awardees will be included in the narrative section of the Annual Report. Although new awards will be made over the course of the SO, for reporting purposes this indicator will only track the initial group of recipients. Information about subsequent awardees will be included in the narrative section of the Annual Report.

<b>Strategic Objective 1: Enhanced NGO Capacity to Deliver Development Services in Select USAID Countries</b>
<b>Intermediate Result 1.2: Expanded linkages among NGOs, networks, and public and private sector institutions</b>
<b>Indicator # 1: Number of target NGOs conducting at least 2 linkage activities</b>
<b>A. Description</b>
<b>Precise Definition:</b> Target NGOs are defined as a sub-set of those organizations which are direct beneficiaries of assistance from PVC or its development partners that were selected by PVC for more intensive monitoring of effective service delivery. Assistance is defined as either money or technical assistance from PVC or one of its development partners. Linkage activities are defined as activities which encourage partnering with other NGOs, PVOs and public or private institutions.
<b>Unit of Measure:</b> Number
<b>Disaggregated by:</b> Type of activity
<b>Management Utility:</b> This indicator would provide basic information on whether NGO partners are engaged in linkage activities, which PVC considers to be an essential part of sustainable organizational development.
<b>B. Plan for Data Collection</b>
<b>Data Collection Method:</b> Through the Detailed Implementation Plans (DIPs) submitted by PVO partners annually.
<b>Data Source(s):</b> NGOs as reported by the PVOs.
<b>Timing / Frequency of Data Collection:</b> Annually.
<b>Estimated Cost of Collection:</b> N/A – part of established cooperative agreement reporting process.
<b>Responsible Organization/Individual(s):</b> PVC/PDM
<b>C. Plan for Data Analysis, Reporting, and Review</b>
<b>Data Analysis:</b> This data will be collected in raw form, as part of the Organizational Development Index for each target NGO. This information will be tabulated by PVC/PPO to calculate the number of target NGOs engaging in at least 2 linkage activities.
<b>Presentation of Data:</b> Summary Performance Data Table
<b>Review of Data:</b>
<b>Reporting of Data:</b> The baseline will be collected in early 2004 and targets will be set as soon as baseline data is available. Therefore the FY2005 Annual Report should contain baseline, targets and actual data for 2004.
<b>D. Data Quality Issues</b>
<b>Initial Data Quality Assessment:</b> TBD
<b>Known Data Limitations and Significance (if any):</b> There is potential for error in the-reporting of linkage activities by PVOs on behalf of NGOs. This measure does not capture quality of linkages, only their presence or absence.
<b>Actions Taken or Planned to Address Data Limitations:</b> PVC will obtain supplemental information of a qualitative nature about the quality and magnitude of the linkages through the DIP process. This information will be reported in the narrative section of the report. Ultimately this information will be triangulated through the independent NGO evaluations to be conducted by PVC.
<b>E. Performance Data Table</b>
<b>Method of Calculation:</b> Simple addition
<b>Key to Table:</b>

**Notes on Baselines and Targets:** This indicator tracks an organizational development attribute, which will require the initial establishment of a baseline. Since many of the cooperative agreements were only signed late in FY2003, the baseline data will be collected in 2004, and the baseline and targets will be reported in the FY2005 Annual Report. Although new awards will be made over the course of the SO, for reporting purposes this indicator will only track the initial group of recipients. Information about subsequent awardees will be included in the narrative section of the Annual Report. Although new awards will be made over the course of the SO, for reporting purposes this indicator will only track the initial group of recipients. Information about subsequent awardees will be included in the narrative section of the Annual Report.

<b>Strategic Objective 1: Enhanced NGO Capacity to Deliver Development Services in Select USAID Countries</b>
<b>Intermediate Result 1.3: Wider and more effective learning and dissemination of tested innovations, best practices, lessons learned and standards</b>
<b>Indicator # 1: # of CAP target organizations that use information disseminated by CAP, adopting tested innovations, state-of-the-art approaches and best practices to solve problems.</b>
<b>A. Description</b>
<b>Precise Definition:</b> CAP target organizations refers to those NGOs, Intermediate Support Organizations (ISOs), and networks that participate in CAP program activities.
<b>Unit of Measure:</b> Number
<b>Disaggregated by:</b>
<b>Management Utility:</b> Shows the use by target organizations of products disseminated by CAP that are designed to solve problems and build their operational and technical capacity.
<b>B. Plan for Data Collection</b>
<b>Data Collection Method:</b> Annual survey of CAP target organizations conducted by appropriate ISO or other organization, plus reports from CAP target organizations.
<b>Data Source(s):</b> Capable Partners
<b>Timing / Frequency of Data Collection:</b> Annually.
<b>Estimated Cost of Collection:</b> N/A – part of CAP data collection process.
<b>Responsible Organization/Individual(s):</b> CAP, PVC contact Adele Liskov.
<b>C. Plan for Data Analysis, Reporting, and Review</b>
<b>Data Analysis:</b>
<b>Presentation of Data:</b> Summary Data Performance Table.
<b>Review of Data:</b> N/A.
<b>Reporting of Data:</b>
<b>D. Data Quality Issues</b>
<b>Initial Data Quality Assessment:</b> TBD
<b>Known Data Limitations and Significance (if any):</b>
<b>Actions Taken or Planned to Address Data Limitations:</b>
<b>E. Performance Data Table</b>
<b>Method of Calculation:</b>
<b>Key to Table:</b>
<b>Notes on Baselines and Targets:</b>

<b>Strategic Objective 1: Enhanced NGO Capacity to Deliver Development Services in Select USAID Countries</b>
<b>Intermediate Result 1.3: Wider and more effective learning and dissemination by development partners and PVC of tested innovations, best practices, lessons learned and standards</b>
<b>Indicator # 2:</b> # of U.S. and local NGOs, networks, and ISOs that receive key capacity-building information from the CAP program
<b>A. Description</b>
<b>Precise Definition:</b> Key capacity building information is defined as information about tested innovations, best practices, lessons learned, and standards.
<b>Unit of Measure:</b> Number
<b>Disaggregated by:</b>
<b>Management Utility:</b> Reflects wide dissemination of relevant and timely information for strengthening the capacity of U.S. and local NGOs, networks and ISOs.
<b>B. Plan for Data Collection</b>
<b>Data Collection Method:</b> Continual monitoring by CAP team of material added to the dissemination component (including the website, listserv, participant "communities" and networks, etc.) and additions to the audience reached, plus regular program reports.
<b>Data Source(s):</b> Capable Partners
<b>Timing / Frequency of Data Collection:</b> Annually.
<b>Estimated Cost of Collection:</b> N/A – part of CAP data collection process.
<b>Responsible Organization/Individual(s):</b> CAP, PVC contact Adele Liskov
<b>C. Plan for Data Analysis, Reporting, and Review</b>
<b>Data Analysis:</b>
<b>Presentation of Data:</b> Summary Data Performance Table.
<b>Review of Data:</b> N/A.
<b>Reporting of Data:</b>
<b>D. Data Quality Issues</b>
<b>Initial Data Quality Assessment:</b> TBD
<b>Known Data Limitations and Significance (if any):</b>
<b>Actions Taken or Planned to Address Data Limitations:</b>
<b>E. Performance Data Table</b>
<b>Method of Calculation:</b>
<b>Key to Table:</b>
<b>Notes on Baselines and Targets:</b>

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**Performance Monitoring Plan – Data Table**

Performance Indicators	Baseline		2005		2006		2007		Comments
	Year	Value	Planned	Actual	Planned	Actual	Planned	Actual	
SO1a									
SO1.b									
IR1.1a									
IR1.1b									
IR1.2a									
IR1.2b									
IR1.3a									
IR1.3b									

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Performance Indicators	Baseline		2005		2006		2007		C
	Year	Value	Planned	Actual	Planned	Actual	Planned	Actual	
SO 2a									
SO2b									
IR2.1a									
IR2.1b									
IR2.2a									
IR2.2b									

## PVC Organizational Development Index

### Questions to be asked of Target NGOs

Main Categories	Sub-categories	Questions
<b>Internal Operations</b>		Scale: 2-Strongly Agree, 1-Agree, 0-Unsure/Don't Know, -1-Disagree, -2-Strongly Disagree
	Internal governance	(1) Would you say your organization has a clearly defined, written management structure, including recognized division of responsibilities between Board of Directors and staff?  (2) Do you feel that your organization has a Board of Directors that provides accountability and credibility to the organization?
	Human resources	(3) Do you believe your organization has the appropriate number of skilled staff members in place to achieve its mission?  (4) Does your organization have appropriate recruitment, compensation, promotion, conflict resolution/grievance, and supervision systems and practices in place to adequately achieve its mission?
	Management Systems	(5) Does your organization use strategic planning as part of the decision making process?  (6) Does your organization have a formal code of ethics and/or demonstrated transparency procedures in your operations?
<b>External Operations</b>		
	Program implementation	(7) Does your organization develop and implement activities as part of a clear strategic vision?  (8) Does your organization use feedback from the general public and/or your constituents to improve your performance?

	Networking	<p>(9) Does your organization actively engage in partnerships with other NGOs to more effectively achieve your objectives?</p> <p>(10) Does your organization work in partnership (formally or informally) with local business to achieve common objectives?</p> <p>(11) Does your organization work in partnership (formally or informally) with government to achieve common objectives?</p> <p>(12) Does your organization work in partnership (formally or informally) with the media to achieve common objectives?</p> <p>(13) Has your organization improved its ability to deliver services as a result of participating in networks?</p>
	Advocacy/Outreach	<p>(14) Does your organization actively seek to build constituencies for your initiatives and programs?</p>
<b>Financial Resources</b>		
	Financial management	<p>(15) Does your organization have financial management systems in place to provide information such as financial projections, timely disbursements and so forth?</p>
	Resource generation	<p>(16) Does your organization solicit donations from local sources?</p> <p>(17) Does your organization raise funds from revenues for services, products or rent from assets?</p> <p>(18) Does your organization receive funding from other donors?</p> <p>(19) Does your organization have core volunteer and non-monetary support from your community?</p>

**Issue: Recommendations to implement SO3**

A key issue for PVC is how to approach the implementation of this SO in a way that will have significant programmatic benefits but is also implemented in a manner that is more streamlined and less costly than PVC's traditional approach of utilizing long-term cooperative agreements. A couple of key issues that we will need to address before implementing any new mechanism is who would be the target PVO beneficiaries and why? How would we define a successful program? How we would measure the success of any new mechanism? Regarding the question of "who", that could be approached in several ways. It could be limited to any of the newly registered PVOs, those registered PVOs (new or not) that have never had USAID funding from any office, or we could define less strict criteria-perhaps those PVOs that have never received USAID funds for development projects-or at least not during the last several years (this type of criteria would not preclude some of the Ocean Freight recipients from applying). We could also have a sector-specific focus (strengthening the organizational development capacity of US PVOs to incorporate HIV-AIDS programming, for example) . Since we've had 120 new PVOs registered over the last two years, we may choose to focus this program on those new entrants. That might also convey to potential PVOs another benefit of registering-which would be access to this new program. Of course, it could also annoy the established PVOs that they're not included. (food for thought!)

Regarding measuring the success of the program, that can range from establishing a few simple indicators that the PVO would self-report against to conducting a baseline study funded by PVC and conducting a follow on evaluation of the program to assess impact. In order to develop those indicators we should assess what we (PVC) expect to achieve with this program. It would also be worthwhile to assess the need and demand for this program before implementation. I would recommend conducting a survey of the PVOs and then submitting a draft of the mechanism to them in order to ensure that it has received substantial input from the PVOs and will be considered truly "demand-driven". Perhaps a needs survey that could be drafted up and easily disseminated by email to these new PVOs would be a quick way of finding out their needs. We could use Dana's OD categories as a guide to recognize what systems/areas in which they feel they are weak, and use some basic questions about USAID's business process that they don't understand (i.e. procurement, activity design, M&E, etc.) to gauge what they already know about how the system works. Given that this office's focus is on organizational development, it would be reasonable for us to focus any new mechanism on how to strengthen the organizational capacity of these new PVOs-in a low cost manner that can demonstrate attribution! One of the values in conducting a PVO survey would be to identify those OD areas that are of greatest need for assistance among these PVOs-we could then target the program accordingly. (or conversely, we may find there isn't a need for a new program of this type)

**A Few Potential Mechanisms (with an emphasis on "potential")**

**Small Capacity Building Grants Program linked to standards/accreditation:**

One approach that PVC could offer is small grants program linked to an improved standards regime or an accepted accreditation/rating model. As our office furthers the investigation into appropriate standards and accreditation programs, we may consider linking a grants program to helping PVOs achieve a certain level of organizational competency as defined by an accepted accreditation or rating method. Ideally we would have several accreditation or rating models to choose from. PVC could provide the financing to assist the PVO in achieving that accreditation. That would be a clear, demonstrable result. We would be able to state that PVC has helped a certain number of new PVOs achieve accreditation/rating. Clearly, we would need to identify programs to direct PVOs before developing this mechanism.

**Mentoring:** PVC has invested considerable resources in PVO organizational development over the years. A number of these PVOs have become leaders in their fields and have developed their own expertise in approaching organizational development issues pertaining to more effective service delivery. In the past, PVC tried to institute a mentoring component through the PVO's Matching Grant. This was largely unsuccessful for several reasons, but one of the key reasons was probably due to the partnership's not being well defined and subsumed under a much broader activity (the Matching Grant). A mechanism that allows a new PVO to essentially "purchase" technical assistance from an established PVO may have a greater chance for success, as it will be much more focused and the new PVO will purchase the services it needs from the established PVO. The established PVO will work together with the new PVO in addressing the new PVO's specific organizational development problem(s). The established PVO should have specialized expertise to address the new PVO's organizational development problem.

**PVO/NGO organizational development grants:** One approach that PVC could offer is smaller grants –perhaps not to exceed \$100,000 over two years- to support and encourage innovative ideas on how PVOs can strengthen both themselves and local NGO partners in identifying and addressing specific organizational development needs. This could be addressed jointly and could have the effect of strengthening both the PVO and the NGO in partnership.

Ideas for mobilizing resources to strengthen local NGOs could include (but not necessarily be limited to): fee-for-service; income generating activities (e.g., having school kids grow crops for sale, with proceeds buying books); making business arrangements with local governments and or the private sector to provide services – health, job skills -- for payment; identifying commitments to long-term off-shore contributions (e.g., through partnerships with U.S. or other foundations, charitable organizations, etc.); how to advocate for regulatory reform, how to comply with US gov't financial requirements, etc. We could approach this in a way that enables the PVO to develop a specific internal capacity that in turn would be used to assist local NGOs, e.g., supporting TA to conduct internal organizational development assessments with tools that will then be applied to partners overseas. In this way, both the PVO and the local NGO (s) could have strengthened capacities.

**IQC or Umbrella Contracting Mechanism:** PVC could establish an umbrella contract or an IQC that PVOs could apply to in order to receive technical assistance. This could be set up in several ways. We could provide a menu of services that could be provided, i.e., an expert

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consultant to help develop the PVOs monitoring and evaluation system, specific training for new board members, etc. The services/consultancies would be provided directly through this mechanism and several providers could be listed. There would be no funds transferred to the PVO under this mechanism, but applications could be accepted to use the services under the umbrella.

An alternative, or perhaps an addition to this mechanism, could be an IQC or other type of umbrella contract or cooperative agreement that would provide small grants for the successful applicants to address specific organizational development or service delivery issues. This could be modeled after the SEEP network development grants through USAID's MED office where SEEP provides small grants (approximately \$10,000) to local networks to work on capacity building issues. SEEP assumes all responsibility for implementing and managing the small grants while USAID oversees the cooperative agreement with SEEP. We could investigate making a similar arrangement with one of the more experienced PVOs in organizational development.

**Organizational Development Workshops for New PVOs with follow on grant activities:**

PVC could host workshops for new PVOs that would provide training on a specific organizational development issues, for example monitoring and evaluation. As part of the workshop, the PVO would be required to develop an action plan to address the specific OD need, in this case, M&E. The action plan would form the basis for an application to PVC to provide funds and/or technical assistance that would enable the PVO to implement the action plan. In this example, the PVOs would develop a plan to strengthen their M&E systems, they would come back to us with an actionable implementation plan with a budget. If accepted, PVC could provide part of all of the funding depending on the costs. If this was to be implemented, I'd recommend that we do this under a contract or cooperative agreement with another organization to manage.

**"AID 101" Workshops for all newly registered PVOs**

There's been significant increase in the number of registered PVOs over the last two years. A potentially low-cost approach to implementing SO3 while reducing the administrative burden to PVC on introducing new applicants to USAID would be to have periodic workshops-perhaps twice a year-that would provide new registrants with an overview of USAID and agency requirements-including perhaps a session on how to apply for grants. We could bring in outside consultants-perhaps recently retired USAID personnel to provide assistance in developing and conducting some of the sessions.

PVC should also consider developing an on-line training manual that could complement the "AID 101" course. This would be available as a reference for all the PVOs. The on-line training could potentially be expanded beyond new PVOs to include training materials in Organizational Development for all PVOs/NGOs and USAID personnel. If one of our objectives is to become more of a "learning center" in NGO organizational development-this would be a logical area for us to emphasize.

12/13/2004

**From: Tamara Duggleby, Monitoring and Evaluation Specialist**

**RE: M&E Related Links which need more work between DIMP, Matrix and Mid Term and Final Evaluation**

### **DIMP and Final Evaluation Guidelines**

#### **Baseline Use and Final Evaluation**

1. The guidelines issued in November, 2003 for Preparing DIMPS clearly set out what BASELINE DATA are designed to contribute to developing finalized indicators and targets for measuring program performance.
2. But they do not underscore the importance of using them and specific indicators and targets which arise from them to document results at Mid Term and Final Evaluation.
3. The Final Evaluation Report Guidelines in turn do NOT under "M&E Systems" ask questions that lead the Evaluator to analyze whether the M&E system and the way it has been applied have generated data enabling the PVO and its NGOs to document whether an objective and targets were met.

NOTE: The lead question in the existing guidelines - "Does this M&E system supply accurate, reliable and timely performance data"? - is meaningless if not accompanied by other sequential and well thought out questions for evaluation. These should include:

- A second question "Has the PVO been able to use data to document specific achievements toward meeting each objective?" Cite examples.
  - A third question: "Is there clear evidence that the PVO and the NGO have used key data to make management decisions?" Give examples.
  - And a fourth, "What steps could the PVO take to improve its M&E systems and use data for actual decision making and program advocacy?"
4. The DIMP preparation guidelines need to alert the PVO under "Monitoring Plan" that these kinds of questions will be asked at Final Evaluation and that the PVO and its NGOs will be responsible for documenting their actions.

#### **Data Gathering, Analysis and Use**

1. "Verify Data pertaining to a random sampling of indicators" is a charge given to the Evaluator in the Final Evaluation guidelines, but it is not made clear in the DIMP document that PVOs and their NGOs need to be gathering that data regularly, in response to indicators set in the DIMP. Further, PVOs are "encouraged" (P. 8) but not specifically charged with identifying a range of qualitative and quantitative research methods geared to gathering information related to their objectives, which can reliably measure change

over time.

2. The definition of “change over time” at the level of an individual or an institution and what it means needs to be sharpened in both the DIMP and Matrix guidelines, as well as M&E discussion in the Final Evaluation Guidelines.
3. Program Design Section in DIMP guidelines indicate that the grant holder should “discuss the overall program design and implications of baseline and situational analysis for achieving program objectives, selecting indicators, setting targets and assessing activities”. However, in reality most grant applications (MG and NGOSSP) have given short shrift to this.
4. Further, while PVOs are asked in the DIMP to “describe the methods which will be used to capture lessons learned that will facilitate replication”, more emphasis needs to be placed on this, perhaps with examples.

### **Risk Analysis**

1. “**Risk Analysis Light**” is what is referred to in “related information” to be included in A2 but not named as such. My belief is that the grant holders could be more effectively induced to address specific risks and constraints if the language were changed from “geographic, political, infrastructural and cultural challenges and constraints likely to affected proposed outcomes”, to “Risks and Proposed Actions to Mitigate” them.
2. Further, they should be required to specifically address the key risks (2-3) with specific strategies for mitigating them. This is used in enterprise finance projects at UNDP level and could work here.

### **Sustainability**

1. “Sustainability” Plan is an element in the DIMP which is not described specifically enough to induce a PVO and its NGOs to take or address specific steps for attaining it.
2. If the PVO is being asked to define what it means in its perspective and in terms of continuing the program after the CA, “sustainability” has to be more specifically defined and related to performance monitoring in DIMP guidelines.

### **Work Plans**

1. Work Plan under the DIMP and M&E. While monitoring and results analysis are important activities at PVC level, somehow they don’t get much treatment when PVOs roll out the Work Plan.

2. Specific emphasis should be placed on frequency of monitoring and follow up activity which analyzes and uses results, in this section of the DIMP and that covering the Monitoring Plan.

### **Monitoring Plan**

1. While the bulleted description (P. 12 of DIMP guidelines) of what should go into the narrative part of an MP is fairly clear, the existing instructions for doing a narrative MP are confusing and likely to result in the PVO's deferring development of the "preliminary MP" altogether until the indicator sheets come in (end of September) and using those as the MP.
2. What is needed here is an Appendix example of the type of MP narrative description which is expected to come in with the DIMP, which briefly covers specific monitoring methods to be used, sources of data, frequency and method of collection and analysis, data management systems, staff responsibility and procedures for using those data to make informed decisions about the project.
3. This narrative can be used by USAID/PVC to flag any potential problems or inconsistencies in the MP. When the Indicator Worksheets can come in later their content can be used to address these concerns in the final MP.

NOTE: The example Indicator Sheet is excellent and will be a challenge for some PVOs. That is another reason why a narrative description of what the grantee's thinking is would be useful at DIMP, so that thinking which goes into the Indicator Sheets will be more refined.

### **Planning Matrix, DIMP and Evaluation**

1. The Planning Matrix is the best tool in the grants making bunch. Both the description of its purpose and use and the example given in the DIMP Guidelines are generally clear as to what is expected at the level of results oriented objectives, activities, measurable indicators, baselines and targets.
2. I would, however, recommend the following additions or clarifications to the present Matrix Instructions, to make sure that the resulting Matrices state results oriented objectives, support them with indicators which are clear outcomes (not just outputs) and provide baselines and targets which are realistic and measurable.
  - a. Under B5, Planning Matrix, it needs to be made clear that PVOs are expected to submit separate matrices for each country program IF a different approach is taken in each country.
  - b. Also, "baseline data in actual measures" is confusing. Better stated as quantifiable.
  - c. In Appendix C, "Planning Matrix Illustrations", I would recommend that Table

C1 be cited as the format REQUIRED by PVC/ASHA.

- d. Stronger emphasis needs to be placed in this section upon “linking the matrix information to show how planned activities achieve the specific objectives”.

NOTE: Grantees submitting the spring 2004 Planning Matrices somehow missed the point here, with activities in some cases too general or ill sequenced to meet specific objectives.

- e. Under “Indicators”, after the statement that “The majority of indicators chosen for the Matrix should measure intermediate or higher results”, a couple of specific examples should be given illustrating what an “intermediate” result is in contrast to a “lower level” result is.
3. More needs to be done to link together the Planning Matrix and the Final Evaluation Guidelines.
  4. As noted above, within the “Final Evaluation Guidelines” the section addressing the M&E system should include more than the present question: “Does the M&E system supply accurate, reliable and timely performance data?”
  5. Specific questions need to be formulated directing evaluators to determine if, in fact, the indicators, baselines and targets have been consistently monitored to track achievement of specific objectives, and whether the information has been used as a basis for making program revisions (mid term or annual) and key management decisions.

Subject to editing in of specific revisions in key documents, the above are some of the missing links which need to be more effectively addressed if current and future grantees are going to be assisted to improve performance monitoring and evaluation.

12/03/2004

**DCHA/ PVC-ASHA Burundi/ REDSO Monitoring Trip  
October 14 – October 26, 2004**



**Sarah W. Cohen  
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## History of Conflict in Burundi <sup>1</sup>

Head of State: President Domitien Ndayizeye, April 2003-

Burundi's population principally divided between Tutsi (14 per cent) and Hutu (85 per cent). Remaining 1 per cent Twa (Batwa). Conflict between two major groups over proper division of power within Burundi has frequently turned violent, principally 1972, 1988 and since 1993. Violence has provoked large-scale refugee movements to Burundi's neighbors, such that were, as of September 2004, over 750,000 Burundian refugees, mostly in Tanzania.

Burundi gained independence 1962, having been Belgian-controlled UN mandate (as part of Ruanda-Urundi) since 1923 and German colony before that. From 1962 until current violence began 1993, Tutsi minority dominated politics in Burundi, maintaining status gained 19th century under Tutsi kings, and subsequently confirmed by colonial administration. Some semblance of interethnic power-sharing existed under UPRONA (Union pour le Progrès National - Union for National Progress) government after 1962; but balance collapsed 1965 when king refused to appoint Hutu PM after Hutu election victory.

Michel Micombero, Tutsi, replaced monarchy with presidential republic after 1966 coup, and following abortive Hutu uprising April 1972, engaged in campaign against Hutu population leading to some 150,000 Hutu deaths and displacement of similar number. Micombero installed Tutsi controlled one-party state under UPRONA following uprising. Micombero himself overthrown in coup 1976 by another Tutsi officer, Jean-Baptiste Bagaza, leading to further decline in Hutu political representation and increased inter-clan intrigue among Tutsi military class. Bagaza removed in further coup by another officer, Pierre Buyoya. Wave of violence stemming from Hutu frustration from August 1988 instigated by Tutsi-controlled army, following call by Parti pour la liberation du peuple Hutu (PALIPEHUTU - Party for the Liberation of the Hutu People) for Hutus to take up arms against Tutsi domination. Buyoya ultimately agreed to multiparty elections, held October 1993. Melchior Ndadaye, leader of Hutu Front pour la démocratie au Burundi (FRODEBU - Burundi Democratic Front) became Burundi's first democratically elected president June 1993, but assassinated by Tutsi paratroopers 21 October 1993, sparking latest cycle of violence but not ousting of Hutu-led government. Citing violence against Tutsis, Buyoya ousted Hutu President Sylvestre Ntibantunganya July 1996.

Arusha Peace and Reconciliation Agreement signed August 2000 under international pressure and African mediation. Agreement, signed by 19 Burundian political parties, stipulated ethnically balanced army and legislature, as well as democratic elections. Buyoya, president of transitional government from November 2001, ceded power to Domitien Ndayizeye, Hutu, April 2003, for second half of transitional period. African Union Mission in Burundi (AMIB) was to have begun assisting disarmament, demobilisation and reintegration process from October 2003, replaced by UN mission (ONUB) from June 2004. Main Hutu rebel groups PALIPEHUTU-FNL and Conseil National pour la Défense de la Démocratie – Forces pour la Defense de la Democratie (CNDD-FDD - National Council for Democratic Defence - Forces for Democratic Defence) did not sign Arusha agreement. Agreement eventually reached with CNDD-FDD November 2003, and they joined transitional government. However, PALIPEHUTU remained outside process and sporadic violence continued through 2003 and 2004, even as general security situation improved and large numbers of Burundian refugees began to return from Tanzania. Arusha Agreement set 31 October 2004 deadline for end of transitional government and communal and national elections.

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<sup>1</sup> ICG Website and Conflict History Database, Updated September 22, 2004

Burundi Program Debrief  
October 22, 2004

Management Unit: USAID/DCHA/ PVC-ASHA

PVC-ASHA CTO: Sarah Cohen  
USAID/ DCHA (Washington, DC)  
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Current Cooperative  
Agreements:

International NGO/PVO	LOP	Total Award LOP	Sub Grants/ Partners	USAID Collaboration Units
Population Services International (PSI)	09/02 – 09/06	\$1,538,000	CARE International	REDSO
NGO Sector Strengthening Program 9/03 – 9/08				
Africare	09/03-09/08	\$1,434, 935	Action Aid  Strategies in International Development (SID)	OFDA/ OTI
Global Rights	09/03-09/08	\$2,424,858		REDSO/ OTI
World Relief Corporation (WR)	09/03-09/08	\$3,055,582		

CRITICAL MANAGEMENT ISSUE AREAS FOR USAID MANAGEMENT:

- Information provided for ISP Review (December 2004)
- Programming and Monitoring in Limited Presence Countries
- Partnership and Sub Grants
- SOC County Information and Monitoring for Impact DCHA
- Networking and Shared Monitoring/ Trainings for all PVC-ASHA Partners and USAID Operating Units
- Activity Level Mapping Project in Gitega (Pilot)
- Attribution and Coordination for Activity Impact (REDSO/ OFDA/OTI/ FFP/PVC-ASHA)
- Established Monitoring and Evaluation with USAID Burundi Partners

PROGRAM IMPLEMENTATION AND IMPACT FOR PARTNERS:

### Communication with USAID

- REDSO/ Rob Luneburg
- Evaluations and Monitoring (PSI Midterm Pending Design)
- Contribution to ISP Planning Process
- Shared Documentation and Current Country Issues

### Monitoring of Partners That Are Financed By Multiple Projects/ Partners

- Financial Assistance for Partners Should Not be Duplicated
- Exchange of Work Plans is Critical to Ensure Maximum Impact
- Joint Monitoring/ Peer Monitoring on Activity Level as well as Evaluations
- Establish Coordination Criteria for Key USAID Interventions (Write into Midterm Eval Guidelines)

### Key Issues Identified by Project Partners

- The Role of Civil Society and NGOs during the Transition
- Monitoring the Impact of Peace and Reconciliation Programming
- Coordinated Trainings Identified by USAID Partners
- Understanding of Sanction Guidelines in terms of National Level Coordination
- Security Guidelines and Established Protection Plans (World Relief)
- HIV/AIDS Mapping (Action Aid/ World Bank)

### Organizational Development Issues:

- Viability of Strategic Partnerships between International NGOs and Local/ National Organizations
- Targeted assistance to identified partners
- USAID Umbrella Projects – Strategic Use in RFAs and APS
- Transforming an International Development Project into an NGO (World Relief/ World Learning/ Global Rights) – Malawi Example/ World Learning (10 Years)
- CAP Program (Leader w/ Associate)
- Strategic Partnerships and Organizational Viability
- Board Development Issues
- Direct Funding to Local Associations (OMB 133)
- Regional Systems and Regulatory frameworks
- Leadership training and the Burundian Context

**BURUNDI**  
**(Africa Region)**

**Country Level Funding**

**PVO Name &  
Acronym  
Agreement  
Number  
Grant  
Program &  
Activity  
Officer**

**START-  
END  
DATES**    **COST-  
SHARE**    **TOTAL  
AWARD  
LOP**    **COUNTRY  
LOP**    **OBLIGATED  
THRU  
FY2002**    **OBLIGATED  
FY2003**    **PLANNED  
FY2004**    **PLANNED  
PAST  
FY2004**

**Population Services International (PSI)**

HFP-A-00-02-00033-00 09/02-09/06 \$1,538,000 \$3,074,687 \$2,843,987 \$1,307,300 \$1,536,687 \$0 \$0

MG - Tom Kennedy

Title: Health and Nutritional Improvement in Burundi

To increase the capacity of local nongovernmental organizations that work in the health sector in Burundi. A PSI and CARE/Burundi partnership will implement the grant. By using social marketing strategies, PSI will increase the use of key maternal and child health and nutrition interventions among low-income populations in seven provinces. The project will address malaria prevention and control, maternal and child health nutrition, diarrheal disease, and immunization coverage.

**Africare**

AFP-A-00-03-00038-00 09/03-09/08 \$1,434,935 \$1,434,935 \$1,434,935 \$0 \$286,988 \$286,988 \$860,959

NGO - Sarah Cohen

Title: Community-Based Health Initiatives

To work in Burundi to increase the managerial, financial, and advocacy skills of individual NGOs, intermediate support organizations, and networks and expand linkages between NGOs and the public and private sectors. Africare sees NGOs as a key element in the rebuilding of civil society in post-conflict environments. This project involves community-based health initiatives focusing on HIV/AIDS. Proposed strategies involve participatory planning, subgrants to local NGOs, and networking support. Africare proposes to partner with Strategies for International Development, which has extensive experience in developing organizational strengthening methodologies.

**Global Rights**

AFP-A-00-03-00010-00 09/03-09/08 \$2,424,858 \$2,424,858 \$808,285 \$0 \$219,533 \$147,188 \$441,564

NGO - Sarah Cohen

Title: Promoting Human Rights

To build a capacity-building program in Burundi, Mongolia, and the West African region that targets legal services organizations as a means of promoting human rights work with refugees and internally displaced peoples, mitigating conflict, and promoting development. The focus is on four cross-cutting themes: supporting strategic planning within legal services organizations and coalitions; linking the provision of strategic legal services to advocacy campaigns; promoting the institutional capacity of legal services organizations; and coalition building. The project has an individualized program for each country, including network development, strategic planning, organizational planning, and legal and technical skill training.

**World Relief Corporation of National Association of Evangelicals (World Relief)**

AFP-A-00-03-00018-00 09/03-09/08 \$3,055,582 \$3,055,582 \$1,527,790 \$0 \$334,530 \$298,315 \$894,945

NGO - Sarah Cohen

Title: Microfinance Institutions in Burundi and the Congo (Kinshasa)

To establish mentor microfinance institutions in Burundi and the Congo (Kinshasa) to develop replicable models, create a network forum for lateral learning, and develop programs to provide local ongoing technical services. These services would include: technical assistance, accounting, board creation, integrating microfinance with social development services, and dialogue-based adult education methods focusing on HIV/AIDS and peace reconciliation.

**BURUNDI  
TOTAL:**

**\$6,614,997    \$1,307,300    \$2,377,738    \$732,491    \$2,197,468**

**TOTAL:**

<b>COUNTRY LOP</b>	<b>OBLIGATED THRU FY2002</b>	<b>OBLIGATED FY2003</b>	<b>PLANNED FY2004</b>	<b>PLANNED PAST FY2004</b>
<b>\$6,614,997</b>	<b>\$1,307,300</b>	<b>\$2,377,738</b>	<b>\$732,491</b>	<b>\$2,197,468</b>

**Burundi Interim Strategic Plan Results Framework**  
2003-2005

**Goal**

**Transition to Peace and Socio-Economic Recovery Underway**

**SO 6**

Good Governance  
Enhanced

**SO 7**

Food Security Enhanced

**SO 8**

Access to Basic Social

**IRs**

**6.1**

Transitional institutions and peace process strengthened.

**6.2**

Civil society participation increased.

**IRs**

**7.1**

Vulnerable groups receive effectively targeted assistance.

**7.2**

Increased opportunities provided for productive livelihoods.

**7.3**

Sustainable natural resources management practices adopted.

**IRs**

**8.1**

Increased availability of client-oriented health services.

**8.2**

HIV/AIDS & infectious disease prevention, care and support programs expanded.

**8.3**

Safe water and sanitation more widely available.

## Population Services International (PSI)

**LOP:** 09/02-09/06

**Key Staff:** Sandy Sempliner, PSI Country Representative  
ssempliner@usan-bu-net

Immaculee Nsesgiyuma, National Director  
Psibur1@usan-bu-net

**Issue Areas:** Pending Midterm Review (Peer Evaluation/ REDSO)  
Major Sub Partner/ CARE International  
PSI Burundi/ National NGO  
Board Development Issues  
Coordination with Government and 508 regulations  
Mobilization and Impact in Remote Provinces

### **Burundi ISP Framework:**

#### Strategic Objective 8: Access to Basic Social Services Improved

##### IRs

- 8.1  
Increased availability of client-oriented health services.
- 8.2  
HIV/AIDS & infectious disease prevention, care and support programs expanded.
- 8.3  
Safe water and sanitation more widely available

### **PVC-ASHA Management Areas:**

- Board Development of Burundi PSI National
- Increased Accessibility with Strategic Partnerships (Care International/ IRC)
- Field Monitoring Weaknesses and REDSO Collaboration
- Security and Project Level Impact
- 508 Sanctions and Partner Agreements
- Social Marketing in A Transitional Country/ Civil War

## Africare – NGO Sector Strengthening Project

**LOP:** 09/03-09/08

**Key Staff:** Dennis Hynes, Country Representative  
africare@usan-bu-net

**Issue Areas:** Sub Partner Weaknesses  
Major Sub Partners/ Action Aid and Strategies for International Development  
Similarities with OTI Program Components  
Coordination with VST and OTI Critical  
OFDA Partnership and PVC-ASHA  
Coordination with Government and 508 regulations  
NGO Regulatory Framework and Associations/ Networks  
Weak Regulatory Framework

### **Burundi ISP Framework:**

#### Strategic Objective 6: Good Governance Enhanced

##### IRs

- 6.2  
Civil society participation increased.

#### Strategic Objective 8: Access to basic Social Services Improved

##### IRs

- 8.1  
Increased availability of client-oriented health services.

### **PVC-ASHA Management Areas:**

- Recent Key Staff Change and Consortium Issues (REDSO)
- Increased Accessibility with Strategic Partnerships/ Capacity Building for Africare
- Field Monitoring Weaknesses and REDSO Collaboration
- Security and Project Level Impact
- 508 Sanctions and Partner Agreements
- Activity Level Coordination with OTI VST

## Global Rights-NGO Sector Strengthening Program

**LOP:** 09/03-09/08

**Key Staff:** Louis-Marie Nindorera

**Issue Areas:** Direct Partnership with Existing Associations des Intermediares  
Coordination with Local and Provincial Government  
Critical Local Level Dissemination of Land Use/Law Issues  
Coordination with REDSO and CMM  
OTI Level Coordination Needed to Enhance Local Level Impact  
Media Partnerships  
Coordination with Government and 508 regulations  
NGO Regulatory Framework and Associations/ Networks  
Weak Regulatory Framework

### **Burundi ISP Framework:**

Strategic Objective 6: Good Governance Enhanced

**IRs**

- 6.1  
Transitional institutions and peace process strengthened.
- 6.2

### **PVC-ASHA Management Areas:**

- Institutional Support to Partners is Weak (Sub grants/ small grants program)
- Mentoring Associations within Local Context
- Social Mobilization in a Transitional Society
- Security and Project Level Impact
- 508 Sanctions and Partner Agreements
- Activity Level Coordination with NGOSSP, OFDA, OTI and REDSO

## World Relief Corporation – NGO Sector Strengthening Project

**LOP:** 09/03-09/08

**Key Staff:** Daniel Brose, Regional Director  
[dbrose@wr.org](mailto:dbrose@wr.org)

Patrick Kelley, Microfinance Director  
[pkelley@wr.org](mailto:pkelley@wr.org)

**Issue Areas:** Regional Implications of Microfinance Services in DRC and Burundi  
Enhance Access to Livelihoods Improvement Programs through Microfinance  
Coordination with VST and OTI  
OFDA Partnership and PVC-ASHA  
Coordination with Government and 508 regulations  
NGO Regulatory Framework and Associations/ Networks  
Weak Regulatory Framework

### **Burundi ISP Framework:**

#### Strategic Objective 6: Good Governance Enhanced

##### IRs

- 6.2  
Civil society participation increased.

#### Strategic Objective 8: Access to basic Social Services Improved

##### IRs

- 8.2  
HIV/AIDS & infectious disease prevention, care and support programs expanded.

### **PVC-ASHA Management Areas:**

- World Relief Program Approach
- Weak regulatory framework for Networks and Microfinance
- Microfinance Education for Rural Populations and OTI Partners
- Security and Project Level Impact
- 508 Sanctions and Partner Agreements
- Activity Level Coordination with OTI VST



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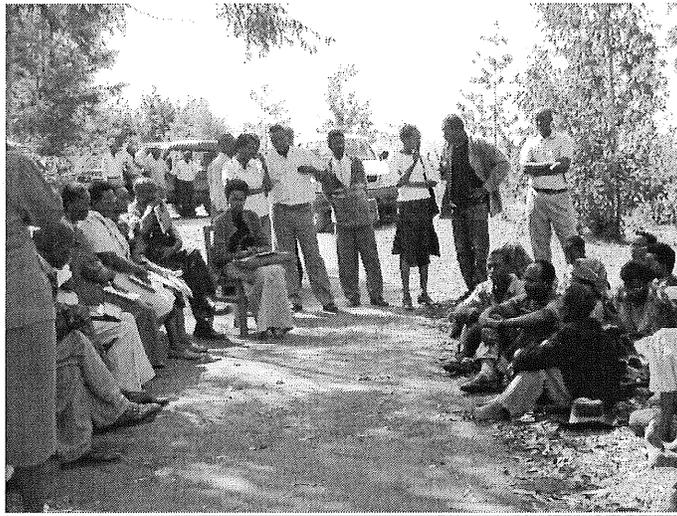
## **Annexes to DCHA/PVC-ASHA Monitoring Report**

### **Critical Program Management Documents**

- Illustrative Indicators from the Burundi ISP 2003-2005
- DCHA/ PVC-ASHA Performance Monitoring Plan
- Mission Performance Plan (US Embassy/ Bujumbura, Burundi)

12/13/2004

## **DCHA/ PVC-ASHA Mozambique Monitoring Trip November 2 – 9, 2004**



**Sarah W. Cohen  
U.S. Agency for International Development  
Bureau of Democracy, Conflict and Humanitarian Assistance  
Office of Private Voluntary Cooperation  
202-712-5546  
[scohen@usaid.gov](mailto:scohen@usaid.gov)**

12/13/2004

Mozambique Program Debrief  
November 9, 2004

Management Unit: USAID/DCHA/ PVC-ASHA

PVC-ASHA CTO: Christopher Runyan  
USAID/ DCHA (Washington, DC)  
[crunyan@usaid.gov](mailto:crunyan@usaid.gov)

Sarah Cohen  
USAID/ DCHA (Washington, DC)  
[scohen@usaid.gov](mailto:scohen@usaid.gov)  
202-712-5546

Current Cooperative  
Agreements:

International NGO/PVO	LOP	Total Award LOP	Sub Grants/ Partners	USAID Collaboration Units
Synergos	06/02 – 9/05	\$1,499,891	FDC	
TechnoServe	09/01 - 09/06	\$3,750,000		

CRITICAL MANAGEMENT ISSUE AREAS FOR USAID MANAGEMENT:

- Information provided for Mozambique Mission Staff (November 2004)
- Programming and Monitoring in Mozambique
- Mission Coordination and Input into project implementation
- Partnership and Sub Grants
- Networking and Shared Monitoring/ Trainings for USAID Operating Units
- Attribution and Coordination for Activity Impact (Mozambique Mission/PVC-ASHA)
- Established Monitoring and Evaluation with USAID Mozambique Partners

PROGRAM IMPLEMENTATION AND IMPACT FOR PARTNERS:

Communication with USAID

- Mozambique Mission Staff
- Evaluations and Monitoring (Technoserve and Synergos Midterm Pending)
- Contribution to Mission Planning Process

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- Shared Documentation and Current Country Issues

Monitoring of Partners That Are Financed By Multiple Projects/ Partners

- Financial Assistance for Partners Should Not be Duplicated
- Revised Work Plans are Critical to Ensure Maximum Impact
- Establish Coordination Criteria for Key USAID Interventions

Key Issues Identified by Project Partners

- The Role of Civil Society and NGOs
- Monitoring and Evaluation
- Coordinated Trainings Identified by USAID Partners
- Mission Input and Coordination
- USAID Partner stories and impact
- Advocacy and Mozambique
- Partner Coordination

## MOZAMBIQUE (Africa Region)

### Country Level Funding

PVO Name & Acronym Agreement Number Grant Program & Activity Officer	START- END DATES	COST- SHARE	TOTAL AWARD LOP	COUNTRY LOP	OBLIGATED THRU FY2002	OBLIGATED FY2003	PLANNED FY2004	PLANNED PAST FY2004
<b>ACDI/VOCA</b>								
FAO-A-00-97-00017-00 CDP - Tom Kennedy	06/97-06/04		\$7,540,796	\$1,148,312	\$1,010,963	\$105,644	\$31,705	\$0
To strengthen democratic, member-owned cooperatives so they can become sustainable, group-based businesses. This will be accomplished by providing the necessary technical assistance and fostering local, national, and international partnerships that can help primarily rural, agricultural cooperatives become financially sustainable and capable of managing themselves. In FY 2002, ACDI/VOCA will be working directly with the East African Fine Coffees Association (EAFCA) to build an economic hub connecting organized producers with the specialty and gourmet coffee markets in Africa, North America, and Europe. In FY03, the LOP funding was increased by \$1,000,000 from USAID/Angola and \$483,000 from USAID/AFR.								
<b>Aid to Artisans, Inc. (ATA)</b>								
HFP-A-00-01-00023-00 MG - Tom Kennedy	09/01-11/06	\$3,107,237	\$2,869,445	\$1,169,898	\$436,523	\$479,155	\$127,110	\$127,110
Title: Pan-African Artisan Enterprise Development (PAED) To provide a follow-up program to ATA's existing country programs in Mozambique and Tanzania. The PAED program will provide ATA with funding to strengthen its training programs, add tailored training products, expand its marketing venues to include South African trade shows, and develop a wholesale Web site to teach successful marketing techniques of artisan goods through the Internet. ATA's increased capacity will serve the artisans in Africa, and improve ATA's ability to address similar problems in other countries.								
<b>Mennonite Economic Development Associates, The (MEDA)</b>								
HFP-A-00-01-00020-00 MG - Tom Kennedy	09/01-09/04	\$1,232,408	\$1,231,032	\$438,677	\$353,677	\$85,000	\$0	\$0
Title: Credit and Small Business Development Programs To expand and transform the microcredit program in Mozambique into a financial institution, build capacity at the headquarters level in e-commerce and marketing, impact assessment, monitoring, and evaluation of business development systems (BDS), and introduce new agricultural technologies in Peru.								
<b>Synergos Institute, The</b>								
HFP-A-00-02-00015-00 MG - Karen Nelson	06/02-09/05	\$1,499,891	\$1,499,891	\$421,839	\$234,375	\$125,000	\$31,232	\$31,232
Title: Enhancing the Resource Base for Development in Brazil, Mexico, and Mozambique To provide support for a program to strengthen a nongovernmental financial and technical resource base for development in Brazil, Mexico, and Mozambique and to generate models for adaptation in other countries.								
<b>TechnoServe, Inc.</b>								
HFP-A-00-01-00022-00 MG - Karen Nelson	09/01-09/06	\$3,750,000	\$3,750,000	\$589,284	\$214,284	\$187,500	\$93,750	\$93,750
Title: Extending Globalization's Opportunities to the Rural Poor To identify globalization's commercial opportunities and make them fully accessible and of tangible benefit to rural poor in the developing world. The project's specific goals are to augment the commercial skills of these current countries with those of world-class international partners; identify and nurture emerging entrepreneurs; expand the outreach by local partnering and the use of information technology; and educate and motivate business leaders.								
<b>World Relief Corporation of National Association of Evangelicals (World Relief)</b>								
FAO-A-00-98-00069-00 MG - Tom Kennedy	09/98-12/03	\$3,750,000	\$2,570,000	\$338,332	\$314,999	\$23,333	\$0	\$0
Title: Capacity Building for Microenterprise Development To improve the income, health, and welfare of the poorest members of the economically active population (mostly women) in selected countries in South Asia and Africa. The program will help local partners develop financial self-sufficiency; and expand World Relief's capacity to provide the technical and capacity-building assistance necessary to develop microenterprises.								
<b>MOZAMBIQUE</b>				<b>\$4,106,342</b>	<b>\$2,564,821</b>	<b>\$1,005,632</b>	<b>\$283,797</b>	<b>\$252,092</b>
<b>TOTAL:</b>								

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**The Synergos Institute)**

**LOP:** 06/02-09/05

**Key Staff:** Barry Smith  
Director, Synergos Regional Office in SA  
Cape Town Office  
[bsmith@synergos.org.za](mailto:bsmith@synergos.org.za)

Andrea Rogers  
Synergos, Senior Manager  
Cape Town, SA  
[arogers@synergos.org.za](mailto:arogers@synergos.org.za)

**Issue Areas:** Pending Midterm Review  
Major Sub Partner  
FDC as National NGO  
Board Development Issues  
Mobilization and Impact in Remote Provinces

**PVC-ASHA Management Areas:**

- Board Development of FDC
- Increased Accessibility with Strategic Partnerships
- Field Monitoring Weaknesses
- Project Level Impact

12/13/2004

To: Sarah Cohen and Christopher Runyan, USAID  
From: Synergos Southern African Team (Barry R. Smith & Andrea J. Rogers)  
Date: 6 October 2004

**Project Monitoring Checklist/ Key Program Issue Areas**

- Grant partners have identified key issue areas for coordination, project management, and knowledge management.
- *The strategies to address the Synergos/FDC objectives are being re-negotiated with our local partner FDC, given their void of an ED over the last year and now the transition to new leadership in the last two months.*
- Sub Grantee Partners have been identified and contacts established
- N/A
- Risk/ Situational Analysis has been done, mechanisms identified and key programmatic issues addressed.
- *Synergos conducted a Mid-term evaluation in June 2004 and we assessed the environment in which we have been working with our local partner (FDC) in Mozambique*
  - *Internally we have proposed some recommendations in moving the last year of the USAID-matched work forward in Mozambique*

**Performance Management Needs Identified**

- Regularly collect, review and report on data related to all project indicators, targets and other donor requirements according to the Work Plan.
- Meet with local partners at least four (4) times each year and conduct some assessment of where we are in terms of strategies/activities around our 3 key objectives. Annually we have reviewed what is reasonable versus what is not for the following year's work plan.
- Use the data to refine the project approach (as necessary).
- The data collected and observations made regarding the project have lead to restructuring of activities in achievement of the goals. However, the last 10 months have presented a challenge in refining the BIG PICTURE approach as FDC's Executive Director was not in place and the current Management structure did not have the authority to make decisions dealing with the larger institutional development. Synergos has however, maintained regular communication with FDC's chair as she and the Board were managing the transition in leadership. Since the start of the new Executive Director in July, Synergos has gradually re-worked the activities, such that they support the ED's new vision for FDC.
- Clearly compare actual results against targets during review of monitoring data.
- (See June 2004 Mid-Term Evaluation for details –confidential document e-mailed to you from Jean Reilly of Synergos )

### Knowledge Management Methods

How does this project contribute information to the Mission/ Mission Presence? What formalized mechanisms are used in-country? Who receives communications?

- Synergos has not had a formalized mechanism of engaging with the USAID Mozambique Mission Office. On occasion Synergos Southern Africa staff & former FDC Executive Director met with Sharon Carter to speak about the Democracy & Governance Dept. priorities in the country and an overview of the grant's progress. These were usual very informal just to check-in with USAID Mozambique (2000 -2003)
- Most recently, Synergos Southern African Team, Chair and Global Services Director met & FDC Director of Programs, Mrs. Marta Cumbi, met with Jay Knot; Sharon Carter; Karen Cairns as a courtesy call because Synergos nor FDC had made contact with Jay Knot since he'd been the Country Mission rep.

How is attribution tracked on Project with multiple funding mechanisms?

- The Synergos USAID PVO Matching Grant is covered by several other donors that support our Mozambique work (Atlantic Philanthropies, Kellogg Foundation; Mott Foundation; and Flora Foundation). The matching attribution is tracked by our NY Finance dept as they draw down on USAID grant funds. Mozambique is just one of three country programs that are funded by the USAID grant, the other countries include Brazil, Mexico and technical support to Synergos NY Headquarters.

What information is shared with local partners or USAID operating units operating in the same Province?

- As mentioned in the 1<sup>st</sup> Knowledge Management question, Synergos/FDC has made an effort of keeping the USAID mission office informed about our progress pertaining to FDC's institution building. FDC and Synergos are in constant communication and we document major events through reports; professional exchanges through written evaluations; workshops through participant evaluations and field visits are often documented or summarized through e-mail correspondence and through an agenda/itinerary for the visit.
- Synergos has never received from or shared specific documents with the USAID mission office

How are "shared partners" monitored between projects? (i.e. NGOs that are being funded by multiple projects)

- N/A

### Partner Issues Identified

***What are the key issues that have been identified with this grant? What are some of the "lessons" that are being tracked to share in reference to this project for evaluative purposes or for a shared forum between the Mission and other PVO/NGO partners?***

- There is a risk in having one partner at the start of a medium to long-term grant. Anything can happen in terms of the tenure of key staff partners and then the grant or project activities are stalled or even cancelled (turn-over is highly likely). In addition, the rationale for the partnership at the commencement of the grant now needs to be re-introduced or re-prioritized within the organization's new staff.

### Mission Issues Identified

***What are the key issues that have been identified with this grant that relate specifically to Mission relationship/ coordination? What are some of the "lessons" that are being tracked to share in reference to this project for evaluative purposes or for a shared forum between the Mission and other PVO/NGO partners?***

- N/A

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**Host Country Government/ Local Government Structures/ Traditional Leaders and Associations**

***What are the key issues that have been identified with this grant that relate specifically to State/ Local Governance relationship/ coordination? What are some of the "lessons" that are being tracked to share in reference to this project for evaluative purposes or for a shared forum relating to these issues?***

- While engaging in research and some activities with FDC on Corporate Citizenship in Mozambique, we realized that companies' investments in "philanthropic and social giving" initiatives are highly related to the general tax legislation and incentives set up in the country. CSI in many Mozambican companies is not recognized as being a viable "bottom line" activity. Advocacy work could be done by FDC or other civil society groups to lobby government to encourage and incent business leaders to invest in social and economic development because they are a viable part of the Mozambican community. Lobbying and advocacy could also encourage the establishment of clear laws/incentives/tax breaks such that NGO/CBOs could market to corporates on the basis of how corporates would benefit by investing in their social and economic development work.

**Highlighted Areas Relevant to Mozambique**

Collaborative Monitoring with Mission/ Mozambique USAID Team  
Resource Development for Organizational Development in Mozambique

12/13/2004

## Synergos Key Documents

- Detailed Implementation Plan/ Work Plan
- Indicator Reference Sheets

**Data Chart for Performance Monitoring Plan  
DCHA/ PVC-ASHA**

**Skill Rating Scale**  
**Project Partner: FDC**

The purpose of this tool was to identify areas where an organization was becoming more independent from systems training, and technical assistance support. It was adapted to absorb some of the common measurements used with our partners, and to reflect some of the key areas of the PMP and the research areas we are assessing. It is designed to be a "proxy measurement" for some of the informal indicators that may be evident when monitoring, or interviewing program and project staff.

*Scale for Indigenization (Independence)*

- 1 - not functioning
- 2 – dependent
- 3 – cooperative
- 4 – consultative
- 5 – independent

*Scale for Quality (Ability)*

- 1 – not functioning
- 2 - unsatisfactory
- 3 – needs improvement
- 4 - adequate
- 5 - excellent

<b>Technical Skills</b>	<b>Indigenization (1-5)</b>	<b>Quality (1-5)</b>
1. There are policies clarifying the technical areas employed in development (by sector/ core capacity)	<b>2</b>	<b>4</b>
2. Baseline surveys are done in areas of program concentration	<b>3</b>	<b>3</b>
3. There are established and shared plans for the transfer of technical skills and trainings	<b>2</b>	<b>3</b>
4. Effective use is made of local technical resources	<b>3</b>	<b>3</b>
5. There are policies providing for continuing education for staff in technical/ skill areas.	<b>2</b>	<b>3</b>
Average of Individual Item Scores	<b>2.4</b>	<b>3.2</b>

<b>Board Development and Control Skills</b>	<b>Indigenization (1-5)</b>	<b>Quality (1-5)</b>
1. Has purpose statement	<b>2</b>	<b>2</b>
2. Has goals	<b>2</b>	<b>2</b>
3. Has clearly understood and stated values	<b>1</b>	<b>1</b>
4. Has strategies	<b>1</b>	<b>1</b>

<b>Establishing Boundaries with Policies and Procedures for...</b>		
5. Representation of constituencies	1	2
6. Internal board practices	1	2
7. Decision making	1	2
8. Budgets; financial record keeping	1	2
9. Monitoring and evaluation	1	2
10. Fundraising	1	2
11. External relations	1	2
<b>Determining Standards of Performance for...</b>		
12. Job descriptions in place	3	3
13. Objectives stated and clear	2	2
14. Chain of responsibility in place	3	3
<b>Skills for Board Members</b>		
15. Decision making	1	1
16. Evaluating Proposals	1	1
17. Making presentations	1	1
18. Working on committees	1	1
<b>Average of Individual Item Scores</b>	<b>1.4</b>	<b>1.8</b>

<b>Management Skills</b>	<b>Indigenization (1-5)</b>	<b>Quality (1-5)</b>
1. General Meetings are held periodically to discuss common problems and goals	3	4
2. Group has identified community problems it wishes to address	3	3
3. Group has defined and formulated a purpose statement	3	4
4. Group has defined and formulated goals	2	4
5. Group has identified barriers to goals	2	3
6. Group has defined and formulated strategies	2	3
7. Group has defined and formulated objectives; key indicators of success	2	2
8. Group monitors success monthly	2	3
9. Staff monitor progress against individual goals and objectives	2	3
10. Implementation plans include time frames and assigned responsibilities	2	2
11. Plans have identified community resources	2	2

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12. Evaluations of the plan and program are carried out, revisions made – at least annually, and more frequent as necessary	3	3
13. Group submits reports to others in chain of accountability at agreed – to intervals	3	3
<b>Average of Individual Item Scores</b>	<b>2.4</b>	<b>3</b>

<b>Financial Record Keeping and Planning Skills</b>	<b>Indigenization (1-5)</b>	<b>Quality (1-5)</b>
1. There are plans for raising funds locally for programs	2	3
2. There is an annual budget	3	3
3. All income and expenses are appropriately documented	3	3
4. Expenses are monitored in relation to the budget	2	4
5. There is a monthly financial report	3	4
<b>Average of Individual Item Scores</b>	<b>2.5</b>	<b>3.4</b>

12/13/2004

TechnoServe

**LOP:** 09/01-09/06

**Key Staff:** Jake Walter, Director  
[Jake.walter@tvcabo.co.mz](mailto:Jake.walter@tvcabo.co.mz)

Leslie Johnston, Director of Business Development  
[Leslie.johnston@tvcabo.co.mz](mailto:Leslie.johnston@tvcabo.co.mz)

**Issue Areas:** Partner Relationships  
Private Sector Issues and Mozambique  
TechnoServe Technical Assistance  
Weak Regulatory Framework

**PVC-ASHA Management Areas:**

Midterm Evaluation  
Planning Matrix Revision and Targets  
Advocacy and Outreach  
Mission Reporting of Matching Grant  
Input from Mission concerning ALI  
Private Sector Partners and Civil Society – Mozambique  
Revision of Indicators  
Revised Work Plan and Partner Discussions  
Volunteer Consultancy

**TechnoServe Core Indicators:****Mozambique**

## Fruit Industry

Gross Client Business Sales	29,964
Net Profit to Client Businesses	(25,087)
Purchases from the rural poor	1,130
No. of rural producers selling product	6
No. of employees	6

## Cashew Industry

Gross Client Business Sales	-
Net Profit to Client Businesses	-
Purchases from the rural poor	64,250
No. of rural producers selling product	1,420
No. of employees	24

## Oilseed Industry

Gross Client Business Sales	56,998
Net Profit to Client Businesses	(217)
Purchases from the rural poor	44,132
No. of rural producers selling product	2,530
No. of employees	29

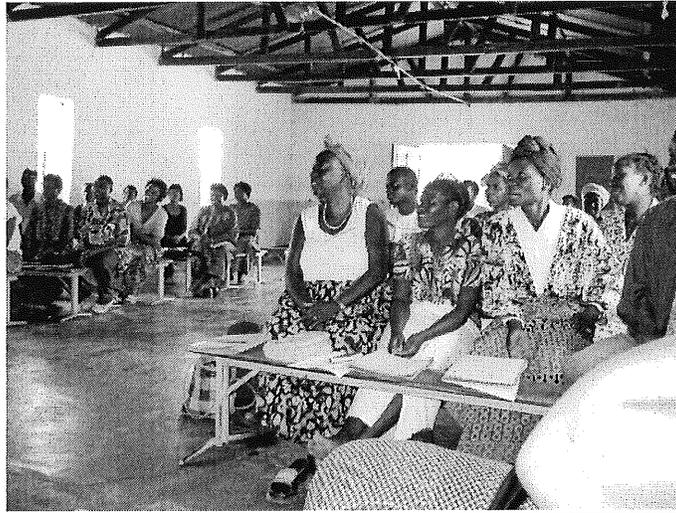
## Tropical Pulse Industry

Gross Client Business Sales	18,000
Net Profit to Client Businesses	3,500
Purchases from the rural poor	14,500
No. of rural producers selling product	300
No. of employees	-

12/13/2004

12/13/2004

## **DCHA/ PVC-ASHA Zambia Monitoring Trip October 26 – November 2, 2004**



**Sarah W. Cohen**  
**U.S. Agency for International Development**  
**Bureau of Democracy, Conflict and Humanitarian Assistance**  
**Office of Private Voluntary Cooperation**  
**202-712-5546**  
**[scohen@usaid.gov](mailto:scohen@usaid.gov)**

12/13/2004

Zambia Program Debrief  
November 1, 2004

Management Unit: USAID/DCHA/ PVC-ASHA

PVC-ASHA CTO: Sarah Cohen  
USAID/ DCHA (Washington, DC)  
[scohen@usaid.gov](mailto:scohen@usaid.gov)  
202-712-5546

CRITICAL MANAGEMENT ISSUE AREAS FOR USAID MANAGEMENT:

- Information provided for Zambia Mission (So Teams)
- Programming and Monitoring Issues relevant to USAID Mission Needs
- USAID Partners and Strategic Selection of NGOs
- Relevance of Organizational Strengthening and Organizational Viability Issues for Zambian NGOs, CBOs, and FBOs
- Networking and Shared Monitoring/ Trainings for all PVC-ASHA Partners and USAID Operating Units
- Attribution and Coordination for Activity Impact (USAID Zambia Mission/SO Teams/PVC-ASHA)
- Established Monitoring and Evaluation with USAID Zambia Partners

PROGRAM IMPLEMENTATION AND IMPACT FOR PARTNERS:

Communication with USAID

- SO Teams
- Relevance to USAID Mission Teams
- "Real" Collaboration with USAID Mission Teams
- Evaluations and Monitoring (IDE Final Evaluation)
- Contribution to Reporting and Planning Processes
- Shared Documentation and Current Country Issues

Monitoring of Partners That Are Financed By Multiple Projects/ Partners

- Financial Assistance for Partners Should Not be Duplicated
- Exchange of Work Plans is Critical to Ensure Maximum Impact
- Joint Monitoring/ Peer Monitoring on Activity Level as well as Evaluations
- Establish Coordination Criteria for Key USAID Interventions (Write into Midterm Eval Guidelines)

Key Issues Identified by Project Partners

- The Role of Civil Society and NGOs in light of increased HIV/AIDS funding
- Monitoring the Impact of Organizational Strengthening of Local NGOs

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- Coordinated Trainings Identified by USAID Partners
- Strategic Selection of NGO partners
- HIV/AIDS Mapping
- Private Sector Partnerships and Relevance to OD

Organizational Development, Organizational Strengthening and Development

- Capacity Building vs. Organizational Development
- The role of Organizational Development
- Organizational Viability vs Sustainability
- Selection of Local Partners
- National NGOs vs Local NGOs
- USAID Mechanisms to Provide Direct Funding – Limitations and Mission Perspectives

## ZAMBIA (Africa Region)

### Country Level Funding

PVO Name & Acronym Agreement Number Grant Program & Activity Officer	START- END DATES	COST- SHARE	TOTAL AWARD LOP	COUNTRY LOP	OBLIGATED THRU FY2002	OBLIGATED FY2003	PLANNED FY2004	PLANNED PAST FY2004
<b>International Development Enterprises (IDE)</b>								
HFP-A-00-01-00041-00 MG - Tom Kennedy	09/01-09/04	\$1,800,000	\$1,800,000	\$203,807	\$148,482	\$55,325	\$0	\$0
Title: Capacity Building to Achieve Sustainable Water Technology Markets To promote a sustainable market development model associated with water technology used by small holders in Asia and Africa.								
<b>Project Concern International (PCI)</b>								
FAO-A-00-00-00016-00 MG - Tom Kennedy	08/00-08/05	\$2,288,628	\$2,288,628	\$634,459	\$634,459	\$0	\$0	\$0
Title: NGO Capacity Building Initiative To reduce the spread of HIV and mitigate the impact of AIDS in India, Indonesia, and Zambia by increasing the delivery of sustainable services by nongovernmental organizations in these countries.								
<b>Salesian Missions (SM)</b>								
HFP-A-00-01-00015-00 MG - Karen Nelson	09/01-09/06	\$3,217,000	\$2,750,000	\$510,204	\$198,978	\$171,758	\$69,734	\$69,734
Title: Girls in the Vanguard: A Sustainable Systems Approach to Job Training and Placement for Girls To create a dynamic, sustainable, systems approach for training girls and placing them in careers with advancement potential.								
<b>Salvation Army World Service Office, The (SAWSO)</b>								
FAO-A-00-00-00018-00 MG - Tom Kennedy	08/00-03/03	\$943,532	\$943,532	\$235,881	\$235,881	\$0	\$0	\$0
Title: Working with Communities for Improved Health and Quality of Life To improve the health of women and children in targeted communities in Ghana, Pakistan, and Zambia.								
<b>International Development Enterprises (IDE)</b>								
AFP-A-00-03-00054-00 NGO - Christopher Runyan	09/03-09/08	\$802,945	\$1,395,385	\$1,395,385	\$0	\$418,616	\$244,192	\$732,577
Title: Building Micro-Enterprise-Based Networks to Achieve Poverty Reduction through Integrated Smallholder Markets (PRISM) To establish and support networks of government representatives, private sector representatives and NGOs for the purpose of increasing the productive capacity and income-generating potential of small farmers in Zambia. Advisory committees comprised of representatives from the public policy arena, microenterprise organizations, ethnic organizations, and human rights and conflict management groups will assist in forging linkages between farm input markets, on-farm productivity, and farm output markets.								
<b>Private Agencies Collaborating Together, Inc. (PACT)</b>								
AFP-A-00-03-00046-00 NGO - Sarah Cohen	09/03-09/08	\$3,250,000	\$3,250,000	\$3,250,000	\$0	\$650,000	\$650,000	\$1,950,000
Title: Zambian HIV/AIDS Initiative To create and lead a Zambian HIV/AIDS Initiative designed to strengthen the operational, technical, and financial management capacities of NGOs in Zambia working in community-based health with a focus on HIV/AIDS, and particularly to enhance the ability of these NGOs to fashion multi-sectoral responses to address the cause and consequences of HIV/AIDS. This program is also intended to foster the integration of tested innovations, best practices, and lessons learned for effective HIV/AIDS responses across all sectors and expand collaboration of Zambian NGOs, networks and intermediate support organizations among all stakeholders.								

## ZAMBIA REPORT TOTAL

### Country Level Funding

	COUNTRY LOP	OBLIGATED THRU FY2002	OBLIGATED FY2003	PLANNED FY2004	PLANNED PAST FY2004
<b>TOTAL:</b>	<b>\$6,229,736</b>	<b>\$1,217,800</b>	<b>\$1,295,699</b>	<b>\$963,926</b>	<b>\$2,752,311</b>

## USAID Office of Private Voluntary Cooperation Projects in Zambia

*In addition to these NGOSSP grants and Matching Grants, the PVC Office also awards smaller scale grants to organizations active in Zambia under the Ocean Freight Reimbursement Program. If you would like information on these projects, please contact either of us.*

### **NGO Sector Strengthening Grants**

#### *Private Agencies Collaborating Together, Inc. (PACT)*

**Program Title:** Zambian HIV/AIDS Initiative

**Funding Level:** LOP \$3,250,000

**Dates:** 9/30/2003-9/30/2008

**Grant activities:** *PACT* will create and lead a Zambian initiative designed to strengthen the operational, technical and financial management capacities of NGOs working in community-based health, with a specific focus on HIV/AIDS. Activities will enhance the ability of NGOs to fashion multisectoral responses to address the causes and consequences of HIV/AIDS. Activities will also foster integration of tested innovations, best practices and lessons learned for effective HIV/AIDS responses across sectors, and expand collaboration of Zambian NGOs and NGO networks among stakeholders.

**About *PACT*:** *PACT's* mission is to help build strong communities globally that provide people with an opportunity to earn a dignified living, raise healthy families, and participate in democratic life. *PACT* achieves this by strengthening the capacity of grassroots organizations, coalitions and networks, and by forging linkages among government, business and the citizen sectors to achieve social, economic and environmental justice.

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**Web site:** [www.pactworld.org](http://www.pactworld.org)

#### *International Development Enterprises (IDE)*

**Program Title:** Building Micro-Enterprise-Based Networks to Achieve Poverty Reduction through Integrated Smallholder Markets

**Funding Level:** LOP \$1,395,385

**Dates:** 9/30/2003-9/30/2008

**Grant activities:** *IDE* will establish and support NGO, government, and private sector networks to increase the productive capacity and income-generating potential of small farmers in Zambia. The program seeks to enhance linkages among farm input markets, on-farm productivity, and farm output markets.

**About *IDE*:** *IDE* is a non-profit organization that employs market principles to eliminate poverty in the world's least developed countries. Since 1981, *IDE* has helped smallholders increase their agricultural productivity, providing them

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with a basis for food security, income generation, and integration with markets. IDE works with small and micro-enterprises to help them provide appropriate, affordable, income-enhancing products to the poor.

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## Matching Grant Program

### International Development Enterprises (IDE)

**Program Title:** Capacity Building to Achieve Sustainable Water Technology Markets

**Funding Level:** LOP \$1,800,000

**Dates:** 9/29/2001-9/29/2004

**Grant activities:** IDE's founding philosophy is that the local manufacture and marketing of very low-cost, environmentally appropriate agricultural technologies can boost farm production while stimulating growth in other sectors of the economy. IDE's 'market promotion' strategy supports private sector production, distribution and marketing of small pumps for irrigation and drinking water, as well as micro-irrigation kits of various sizes. IDE has also moved into the provision of water purity testing services and specialized ceramic water filters. The Matching Grant from PVC supports IDE's established programs in India, Nepal and Bangladesh, as well as the expansion of IDE's work in Zambia and Vietnam. The basic program model will continue to be small business development, but with more attention to the sustainability of the market supply chain. IDE will also strengthen its own capability in M&E, strategic management, and modeling and scaling-up of successful IDE experience.

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### Project Concern International (PCI)

**Program Title:** NGO Capacity Building Initiative

**Funding Level:** LOP \$2,288,628

**Dates:** 8/25/2000-8/7/2005

**Grant activities:** Through its NGO strengthening activities, PCI seeks to increase delivery of HIV/AIDS-related services by NGOs in Indonesia, India and Zambia. The goal of the project is to reduce the spread of HIV and mitigate the impact of AIDS by increasing the delivery of sustainable services by nongovernmental organizations. A promising component of the program is the use of sub-grants to enable NGO partners to test innovative program approaches or replicate successful models.

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### **Salesian Missions**

**Program Title:** Girls in the Vanguard: A Sustainable Systems Approach to Job Training and Placement for Girls

**Funding Level:** LOP \$2,750,000

**Dates:** 9/30/2001-9/29/2006

**Grant activities:** The "Girls in the Vanguard" Program sets forth a multi-faceted strategy in Bolivia, Honduras, South Africa, Sri Lanka, and Zambia to address human capacity development of girls and their support networks. The approach is to replicate and expand on the Project Office model developed in the first Matching Grant and to institutionalize a strategic approach to vocational training in new industries such as computers, electronics, small engine repair and other fields traditionally offered to boys. Utilizing a network of partnerships with local NGOs and businesses will insure girls are placed in jobs with advancement potential. Extensive gender awareness training and the focus on abilities of girls will benefit the families and societies of trainees. Headquarters will use funding to develop project offices in five countries, strategic alliances with businesses and business associations, and training courses, including IT classes.

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**PACT – NGO Sector Strengthening Project**

**LOP:** 09/03-09/08

**Key Staff:** Jack McCanna  
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**Issue Areas:**

- Innovative Partnership Arrangements
- Small Grants and CBA
- SALT Grants and Innovation Marketplace (World Bank)
- ICT and GIS Systems
- Mission Relevance and SO9 Team Relationship
- HIV/AIDS Impact
- Organizational Viability of Key Partners
- Networking Issues with CHAZ, ZNAN, MISA, and ZBAC
- Shared Training and Mission Exposure to OD

**PVC-ASHA Management Areas:**

- PACT and OD as Core Capacity
- Innovative NGO Incentives for Zambia
- Experiential Learning with Mission Managed Projects
- Increased Accessibility with Strategic Partnerships/ Capacity Building for Local NGOs
- Field Monitoring Weaknesses and Mission Collaboration
- Activity Level Coordination with IDE
- Activity Level Coordination with Mission Partners

## Program Summary

### Zambian Context

From the time of its independence in 1964, Zambia has moved downward from its potential as one of Africa's richest countries to being one of the world's poorest. Zambia has not successfully risen above the combined challenges of a colonial legacy, world economic trends (especially the collapse in 1975 of the price for copper), national debt, uneven national leadership, and now the erosive influence of the HIV/AIDS pandemic. Today, fully three quarters of Zambia's 10 million citizens live below the poverty threshold of US\$1 a day, and in March 2003 Zambia's unemployment rate is approaching 90%. While recent rain patterns show some encouraging signs of relief from regional drought, Zambia remains highly dependent upon external food supplies. Zambia also remains short of full attainment of the status of an "emerging democracy", with its current President (Levy Mwanawasa) in office through a December 2001 election viewed by many countries, including the United States, as highly flawed while his predecessor (Frederick Chiluba) is being charged with corruption.

Within this daunting array of challenges to progress in Zambia, the element with the greatest compounding effect is that Zambia is experiencing one of the most advanced and devastating AIDS epidemics in the world today. UNAIDS data at the end of 2001 indicates that currently 21.5 percent of Zambia's adult population (between ages 15-49) is infected with HIV. In 1984 when the first case was diagnosed, the life expectancy was 60 years. Today it is 37 years. Over 50 percent of the Zambian population is under the age of 20 years. Young women are five times more likely to be infected than young males. Estimates are that 25 percent of pregnant women are HIV positive and 39.5 percent of babies born to these women will be infected with the virus.

The effects of the pandemic are felt at every level and in every sector of Zambian society as it sharply reverses initial development gains realized after independence. The most productive segment of society needed for economic growth has been decimated. Poverty is influenced by and contributes to the pandemic. The number of AIDS orphans has reached one million, seriously straining the abilities of the traditionally strong extended family network. Young orphans themselves have become parents to their siblings.

The disease itself overwhelms key public sectors with high losses in their skilled personnel. Thus, the public health care system is unable to care for the sick while the cadre of community helpers is heavily overburdened physically and psychologically. The education system cannot adequately staff schools because of loss of personnel and financial shortages. Children are unable to continue education as they (especially girls) are taken out of school to care for sick relatives, or there are inadequate funds to meet school fees and related education costs.

### USAID/Zambia Mission Objectives

Evidence from across Africa indicates that integrated multi-sectoral strategies can significantly raise development output, and enhance prospects for sustainability. USAID/Zambia is prioritizing its programming to encourage multi-sectoral approaches in addressing HIV/AIDS.

The draft Mission Results Framework contains a cross-cutting Strategic Objective to complement the Mission's other four SOs. Initially described as "Reduced Impact of HIV/AIDS Through Multi-sectoral Response", the hypothesis for this SO is that the HIV/AIDS epidemic has a devastating impact on *all* sectors and institutions, and, therefore, on the country's ability to achieve sustainable development. The draft Mission Results Framework identifies the Zambian

NGO/CBO community as a key partner in developing and implementing multi-sectoral programs.

### **Government of Zambia Priorities**

The Government of Zambia has taken bold steps to address the effects of the pandemic, as well as its underlying causes. It has developed a National HIV/AIDS/STI/TB Strategy with a goal of reducing the HIV prevalence rate among Zambians by 10 percent and improving the health status of people living with HIV/AIDS by 2005.

The Government has also appointed a National AIDS Council (NAC) to oversee this multi-sectoral strategic plan that includes ministries, the private sector, civil society and communities. Learning from other successful national responses to HIV/AIDS, the Government is promoting multi-sectoral, participatory and rights-based approaches to address the pandemic. NGOs are an integral part of their plan and are included as strategic partners because of their ability to respond quickly and reach remote areas.

Zambia's application to the Global Fund has been approved, and various institutions have submitted plans. The NAC will be the main focal point of the funds, working through four main organizations designated to manage disbursements to key stakeholder groups: Ministry of Finance – distribution to line ministries and to NAC for work with ministries; Central Board of Health – distribution to public health infrastructure and operation of a community innovation fund; CHAZ (Churches Health Association of Zambia) – disbursement of sub-grants to faith-based organizations; and ZNAN (Zambia National AIDS Network) – disbursement of sub-grants to secular NGOs and the private sector.

### **NGO Community Role and Current Capacity**

#### **Overview of the NGO Sector**

A comprehensive directory of NGOs in Zambia from 2000 listed 390 NGOs, with 135 working in the area of social welfare; this number has increased significantly since this was published. Of these, only 25 (mostly missionary organizations) existed prior to Independence in 1964. In 1980, there were 50; in 1990, 100. Despite the fact that it is still young, the Zambian NGO sector is emerging as one of the most vibrant in the Southern Africa region.

NGOs in Zambia have a substantial place in the field of health for reasons grounded in history. The health care system in Zambia under the colonial government followed two parallel tracks – there was a well-funded urban Health Services system for Europeans, and there was a poorly funded, mostly rural Native Health Services system for indigenous Africans. Because of the condition of the Native Health Services, much of the responsibility for health care in the rural areas was left to churches, operating parallel to and essentially independently of the public health system. After independence in 1964, church organizations have continued to play a major role in health service delivery, although increasingly in close cooperation with the public health service. The Churches Health Association of Zambia (CHAZ) is the preeminent NGO network coordinating church-related health organizations and their linkage with the public health service.

Because of surging demand for public health service in the past decade, particularly as a result of the HIV/AIDS pandemic, Zambian NGOs have been over-stretched in trying to meet the rapidly increasing demand for their services. This challenge has been compounded by chronic shortages in skilled key personnel. The increasing interest of the international donor community in supporting HIV/AIDS work has created an unanticipated problem of rapid NGO growth

t a pace and scale that outstrips their managerial capacity.

In August 2000, Pact undertook a survey of NGOs responding to the HIV/AIDS crisis in Zambia. This study inventoried approximately 30 NGOs and CBOs throughout the country, along with their roles, needs, activities and partners in their HIV/AIDS programming. The survey revealed a number of trends:

- Most NGOs focus their interventions at the community level because of the recognition that persons within the communities provide the front-line response to the pandemic.
- Rural and urban NGOs/CBOs place substantial emphasis on prevention-oriented approaches of education and sensitization. Focus on orphans and vulnerable children (OVC) and condom promotion is gaining more recognition as a cornerstone of intervention efforts.
- Many NGOs work with and through community-based structures and organizations. Programs at the district and community levels are frequently delivered in isolation, with very little linkage to other programs.
- Urban NGO/CBOs have consistently stronger care and support and programs than their rural counterparts.

In short, NGOs and CBOs in Zambia are a very strong asset for deployment in the battle against HIV/AIDS.

### **Key Challenges and Opportunities**

The Zambian National HIV/AIDS Strategic Framework for 2000-2002 lists several opportunities to strengthen or increase the overall national resources allocated to HIV/AIDS. The framework points to peer-to-peer education efforts being piloted around the country as very promising initiatives and emphasizes the importance of scaling-up HIV/AIDS efforts. Also cited are the strengthening of inter-faith collaboration and response as well as a positive enabling environment that acknowledges and supports NGO and civil society involvement.

However, recent discussions among donors, government officials and NGOs in Zambia have repeatedly pointed to the need to strengthen NGO capacity so that they can effectively meet expectations. The Zambian National HIV/AIDS Strategic Framework lists key obstacles to effective HIV/AIDS programming, including specific challenges facing the NGO sector:

1. Sub-optimal human resources planning in response to the epidemic
2. Under-developed systems for HIV/AIDS advocacy at national and sub-national levels
3. Shortage of skills base for efficacious scale-up of programs
4. Inadequate scope of coverage by NGOs
5. Inadequate inter-organizational cooperation and networking
6. Underdeveloped local resource mobilization mechanisms

Recent discussions by Pact with USAID/Zambia suggest that the Mission is also of the view that NGOs currently need additional skilled staff and institutional development, especially in financial management and results reporting. The need for Zambian NGOs to master organizational basics is essential for the NGOs particularly as they accept the challenge to transcend sectoral barriers in the campaign to address the causes and consequences of HIV/AIDS.

## **Conclusions from Situational Analysis**

Based on its analysis of NGOs and HIV/AIDS in Zambia, Pact concluded that program design should be informed by the following:

- Zambia does not have a shortage of NGOs committed to work in HIV/AIDS. The NGO community as a whole does require improvement in capacity to be effective in light of the size of the challenge, particularly as the NGO community undertakes multi-sectoral or trans-sectoral responses to HIV/AIDS.
- Similarly, Zambia does not need a new institution to serve an umbrella or networking function. However, the proliferation of such institutions has not been conducive to sharing and exchange of best practices between and among the increasing number of NGO actors, nor to promoting effective linkages between NGOs, on the one hand, and the private business sector and Government, on the other hand.
- NGOs in Zambia focused on HIV/AIDS, whether directly or through multi-sectoral approaches, do not necessarily face severe funding constraints. Increasing donor interest in combating HIV/AIDS holds promise of increased financial support for NGOs. There is, however, a potential critical constraint in the capacity for effective NGO stewardship of and attainment of results from deployment of anticipated funding growth.

## **Strategic Approach**

In response to the conditions described in the Situational Analysis, Pact proposes to work with leading Zambian NGO networks, government, the private sector and independent media to promote and strengthen multi-sectoral responses to HIV/AIDS. More specifically, Pact in partnership with Churches Health Association of Zambia (CHAZ), the Zambian Independent Media Association (ZIMA), the Zambia Business Coalition on AIDS (ZBCA), and the Zambian National AIDS Council (NAC), proposes the creation of the Zambian HIV/AIDS Learning Initiative (ZHLI). (See Figure 1, p6).

The goal of the ZHLI is to increase the effectiveness and sustainability of HIV/AIDS multi-sectoral collaboration. New standards for excellence in HIV/AIDS response, tailored to sectoral needs across Zambia, are the signature of Pact's ZHLI strategy. The three pillars of the strategic approach build upon one another to increase the effectiveness of individual organizations while reinforcing their ability to collaborate, share learning and continually improve their practice. The sustainability of the approach lies not only in stronger organizations but also in stronger networks and *cross-sectoral networking*.

## **Organizational Effectiveness**

The initial focus of the project is to lay a solid foundation for organizational effectiveness. NGOs will participate in an NGO excellence program in which they will assess their present capacity, formulate a plan for improvement, and join others in participatory workshops and technical assistance that focus on six foundational themes of organizational effectiveness. The NGO excellence program will equip 50 leading ISOs, NGOs, and networks to foster improved performance among themselves, their members and other stakeholders. Pact will direct technical assistance to Zambian capacity building *service providers*, strengthening the quality of their services and tailoring their capacity building offerings to meet the demand of local social development organizations that participate in the ZHLI.

## **Innovative Learning**

With a programmatic foundation of organizational effectiveness in place, participating ISOs, NGOs and networks in the ZHLI will join one another to formulate innovative responses to their greatest challenges through collaborative learning

eams. Themes for the learning teams will focus on both technical as well as operational innovations and best practices. By expanding upon two current Pact and CHAZ pilot initiatives in Zambia that promote community led responses to HIV/AIDS, the ZHLI will demonstrate how collaborative learning teams create high-value products, services and programs that lead to effective and sustainable HIV/AIDS response for the health, education and agriculture sectors.

Objective	Activities
1. Strengthened operational, technical, and financial management capacity of Zambian NGOs, networks and ISOs leading multi-sectoral HIV/AIDS prevention and care activities.	Organizational Effectiveness <ul style="list-style-type: none"> <li>• NGO excellence program</li> <li>• Service provider enhancement program</li> </ul>
2. Integration of tested innovations, best practices, and lessons learned for effective HIV/AIDS response across all sectors.	Innovative Learning <ul style="list-style-type: none"> <li>• Learning teams</li> <li>• Sharing and learning team (SALT) grants</li> </ul>
3. Expanded collaboration of Zambian NGOs, networks and ISOs among all stakeholders in leading multi-sectoral HIV/AIDS initiatives.	Expanded Multi-sectoral Engagement and Collaboration <ul style="list-style-type: none"> <li>• Executive leadership for cross-sectoral collaboration</li> <li>• Marketplace for innovation</li> </ul>

### ***Service Provider Enhancement program***

As capacity development needs are more clearly articulated through the NGO excellence program (demand side), the ZHLI will identify what capacity-building services and resources exist locally and nationally among professional service providers and academic institutions, as well as expertise held within the ZHLI NGO organizations themselves (supply side). A gap analysis between capacity-building services needed and those available in the marketplace will direct strategic investments by Pact in local capacity building service provider enhancement.

#### ***Marketplace of local capacity building service providers***

As noted above, Pact and its partners will work with 50 NGOs in the NGO excellence program during the first three years of the ZHLI. These organizations will represent a broad range of NGO sectors including HIV/AIDS, education, and agriculture. During this time, locally-based trainers will be included in the program activities of the excellence program.

Beginning in year three, select local service providers working with Pact will be encouraged to take the lead in providing OCA services and organizational effectiveness workshops in the local marketplace. Pact will work closely with these service providers during years three and four, providing technical assistance as well as "incubator" funds that will support the marketing and refinement of these capacity building services. This service "transfer" will promote program sustainability and give local service providers an opportunity to broaden their range of offerings and, thus, increase their value.

## ZHLI Partners

While the primary target group of the ZHLI is non-governmental organizations working in multisectoral HIV/AIDS programming, the activities incorporate actors representing government, business and independent media/radio, and promote linkages across stakeholder groups. All of Pact's partners – both implementing and strategic<sup>1</sup> – are described below.

### IMPLEMENTING PARTNERS:

Churches Health Association of Zambia (CHAZ) – CHAZ was created in 1970 as an umbrella organization for church-administered health institutions. It is one of the oldest and most mature NGOs in Zambia, with its 115 members delivering over 50 percent of formal health services in rural areas and about 30 percent of health care in the country as a whole. CHAZ is designated as one of four implementing parties in the distribution of Global Fund monies. CHAZ operates a large HIV/AIDS program to assist its members in awareness, prevention, care and orphan support. It also has capacity building and grants management units, and uses innovative peer learning methods such as Organizational Capacity Assessments (OCA), Moving Schools (cross-visits) and Sharing and Learning Teams (SALT).

*CHAZ and Pact have a strong working partnership. A previous Pact project, CABUNGOZ, (Capacity Building of selected Health and Governance Organizations in Zambia), focused on strengthening the capacity of CHAZ, and assisted CHAZ in developing tools, manuals and capacity building programs needed to strengthen its partners.*

CHAZ, as a subrecipient implementing partner in the ZHLI, will provide facilitators for organizational capacity assessment and strengthening activities under the direction of the Pact Zambia OD Coordinator. CHAZ received intensive training in the OCA methodology in 1999 and has been using it regularly since that time. CHAZ will also provide one full-time staff member who will be dedicated to the development and support of ZHLI Sharing and Learning Teams. CHAZ will be represented on the ZHLI advisory committee and will support the dissemination of ZHLI information to its constituents.

Media Institute of Southern Africa (MISA) – MISA is a membership network for independent media groups throughout Zambia, including private, church, community and rural radio stations. It provides training and legal assistance to members and has established standards for professional performance and ethics. It has been active in the areas of constitutional reform and health/HIV/AIDS issues. MISA has had loose alliances with development NGOs in the past, and indicates that it sees strong potential for additional collaboration in the future.

MISA and Pact established a productive working relationship through collaboration on a successful grant to increase public debate and influence laws on the regulation and licensing of media organizations.

MISA, as a subrecipient, will work with Pact and MISA-identified technical advisors to assess how rural radio can best support ZHLI objectives. Following the year 1 assessment, MISA will develop a strategic approach to rural media that will be used to market follow-on activities, such as training MTCA facilitators in the use of sound media, to potential donors for match generation.

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<sup>1</sup> *Implementing partners* receive program funds to directly implement specific ZHLI activities. *Strategic partners* play a role in providing input on overall program directions, linking the Pact program to other relevant initiatives in Zambia, and disseminating information.

## STRATEGIC PARTNERS:

National AIDS Council (NAC) – As a strategic partner and the lead agency for the government to oversee the implementation of the multisectoral HIV/AIDS/STI/TB Intervention Strategic Plan and the lead manager of Global Fund resources, NAC will play a key role in identifying ongoing performance issues for the NGO sector. Pact and other ZHLI partners will coordinate closely with NAC in modifying, as required, the NGO excellence program elements to better address needs around NGO technical, financial and operational performance. NAC will also act as the focal agency to disseminate ZHLI resources back into the ministries of health, agriculture and education.

Zambia Business Coalition on AIDS (ZBCA) – ZBCA is an umbrella organization established to advocate for business action on HIV/AIDS, strengthen and support responses aimed at prevention and control of HIV/AIDS, provide care and support to the affected and infected, and alleviate the impact of the epidemic on the work place. Thirty-one companies have joined the organization since its inception in 2000. Its most active programs are assisting business to develop HIV/AIDS workplace policies, condom distribution, sensitization of employee relationships, and addressing specific needs of females in the work force.

As strategic partner and the lead network of business organizations addressing HIV/AIDS issues in the workplace, ZBCA will play an outreach role to its members, encouraging their active participation in relevant ZHLI activities such as the multisectoral tools for community action (MTCA) workshops and thematic topics of particular interest. They will also support the aggregation of resources around issues relevant to HIV/AIDS in the workplace, sharing best practice across the ZHLI and disseminating promising practices to member businesses.

Zambia National HIV/AIDS Network (ZNAN) – ZNAN is a membership organization promoting collaboration and coordination among NGOs/CBOs involved in HIV/AIDS prevention and care. Formed in 1994, ZNAN has approximately 340 members listed in its membership directory. Its primary activities are 1) information dissemination; 2) capacity building of members; 3) advocacy; 4) membership networking; 5) maintaining an informational database; 6) program monitoring and evaluation; and 7) establishment of provincial committees. ZNAN will play a role in promoting various components of the ZHLI with its constituents and in supporting the dissemination of best practices that are generated by the program.

All partners – strategic and implementing – have the opportunity to participate in the ZHLI Advisory Committee, which will convene regularly to provide input into the strategic directions of the program.

**Data Chart for Performance Monitoring Plan  
DCHA/ PVC-ASHA**

**Skill Rating Scale**

**Project Partner: PACT/ Men Make a Difference (MENDIFF) NGO Partner**

The purpose of this tool was to identify areas where an organization was becoming more independent from systems training, and technical assistance support. It was adapted to absorb some of the common measurements used with our partners, and to reflect some of the key areas of the PMP and the research areas we are assessing. It is designed to be a "proxy measurement" for some of the informal indicators that may be evident when monitoring, or interviewing program and project staff.

*Scale for Indigenization (Independence)*

- 1 - not functioning
- 2 – dependent
- 3 – cooperative
- 4 – consultative
- 5 – independent

*Scale for Quality (Ability)*

- 1 – not functioning
- 2 - unsatisfactory
- 3 – needs improvement
- 4 - adequate
- 5 - excellent

<b>Technical Skills</b>	<b>Indigenization (1-5)</b>	<b>Quality (1-5)</b>
1. There are policies clarifying the technical areas employed in development (by sector/ core capacity)	2	3
2. Baseline surveys are done in areas of program concentration	3	4
3. There are established and shared plans for the transfer of technical skills and trainings	2	2
4. Effective use is made of local technical resources	3	3
5. There are policies providing for continuing education for staff in technical/ skill areas.	2	3
Average of Individual Item Scores	2.4	3

<b>Board Development and Control Skills</b>	<b>Indigenization (1-5)</b>	<b>Quality (1-5)</b>
1. Has purpose statement	3	1
2. Has goals	3	
3. Has clearly understood and stated values	3	1
4. Has strategies	3	1
<b>Establishing Boundaries with Policies and Procedures for...</b>		

Representation of constituencies	2	2
6. Internal board practices	2	2
7. Decision making	2	2
8. Budgets; financial record keeping	1	2
9. Monitoring and evaluation	3	2
10. Fundraising	2	2
11. External relations	3	2
<b>Determining Standards of Performance for...</b>		
12. Job descriptions in place	2	2
13. Objectives stated and clear	2	2
14. Chain of responsibility in place	2	2
<b>Skills for Board Members</b>		
15. Decision making	3	1
16. Evaluating Proposals	3	1
17. Making presentations	3	1
18. Working on committees	3	1
<b>Average of Individual Item Scores</b>	<b>2.7</b>	<b>1.5</b>

<b>Management Skills</b>	<b>Indigenization (1-5)</b>	<b>Quality (1-5)</b>
1. General Meetings are held periodically to discuss common problems and goals	2	3
2. Group has identified community problems it wishes to address	3	4
3. Group has defined and formulated a purpose statement	3	4
4. Group has defined and formulated goals	2	3
5. Group has identified barriers to goals	2	3
6. Group has defined and formulated strategies	2	3
7. Group has defined and formulated objectives; key indicators of success	1	1
8. Group monitors success monthly	1	1
9. Staff monitor progress against individual goals and objectives	1	1
10. Implementation plans include time frames and assigned responsibilities	1	1
11. Plans have identified community resources	3	2
12. Evaluations of the plan and program are carried out, revisions made – at least annually, and more frequent as necessary	1	1

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3. Group submits reports to others in chain of accountability at agreed – to intervals	2	2
<b>Average of Individual Item Scores</b>	<b>1.8</b>	<b>2.2</b>

<b>Financial Record Keeping and Planning Skills</b>	<b>Indigenization (1-5)</b>	<b>Quality (1-5)</b>
1. There are plans for raising funds locally for programs	2	2
2. There is an annual budget	2	2
3. All income and expenses are appropriately documented	2	2
4. Expenses are monitored in relation to the budget	2	2
5. There is a monthly financial report	2	2
<b>Average of Individual Item Scores</b>	<b>2</b>	<b>2</b>

**Data Chart for Performance Monitoring Plan  
DCHA/ PVC-ASHA**

**Skill Rating Scale**

**Project Partner: PACT/ KABWE Home Based Care NGO Partner**

*Scale for Indigenization (Independence)*

- 1 - not functioning
- 2 – dependent
- 3 – cooperative
- 4 – consultative
- 5 – independent

*Scale for Quality (Ability)*

- 1 – not functioning
- 2 - unsatisfactory
- 3 – needs improvement
- 4 - adequate
- 5 - excellent

<b>Technical Skills</b>	<b>Indigenization (1-5)</b>	<b>Quality (1-5)</b>
1. There are policies clarifying the technical areas employed in development (by sector/ core capacity)	3	3
2. Baseline surveys are done in areas of program concentration	3	1
3. There are established and shared plans for the transfer of technical skills and trainings	4	3
4. Effective use is made of local technical resources	4	4
5. There are policies providing for continuing education for staff in technical/ skill areas.	3	3
Average of Individual Item Scores	3.4	2.8

<b>Board Development and Control Skills</b>	<b>Indigenization (1-5)</b>	<b>Quality (1-5)</b>
1. Has purpose statement	3	3
2. Has goals	3	3
3. Has clearly understood and stated values	2	3
4. Has strategies	2	3
<b>Establishing Boundaries with Policies and Procedures for...</b>		
5. Representation of constituencies	3	4
6. Internal board practices	3	3
7. Decision making	3	3
8. Budgets; financial record keeping	3	3
9. Monitoring and evaluation	3	3
10. Fundraising	2	2

1. External relations	2	2
<b>Determining Standards of Performance for...</b>		
12. Job descriptions in place	2	3
13. Objectives stated and clear	2	2
14. Chain of responsibility in place	3	3
<b>Skills for Board Members</b>		
15. Decision making	3	1
16. Evaluating Proposals	2	1
17. Making presentations	2	1
18. Working on committees	2	1
<b>Average of Individual Item Scores</b>	<b>2.8</b>	<b>2.4</b>

<b>Management Skills</b>	<b>Indigenization (1-5)</b>	<b>Quality (1-5)</b>
1. General Meetings are held periodically to discuss common problems and goals	3	4
2. Group has identified community problems it wishes to address	4	4
3. Group has defined and formulated a purpose statement	3	4
4. Group has defined and formulated goals	3	4
5. Group has identified barriers to goals	4	3
6. Group has defined and formulated strategies	4	3
7. Group has defined and formulated objectives; key indicators of success	2	2
8. Group monitors success monthly	3	3
9. Staff monitor progress against individual goals and objectives	2	3
10. Implementation plans include time frames and assigned responsibilities	2	2
11. Plans have identified community resources	4	2
12. Evaluations of the plan and program are carried out, revisions made – at least annually, and more frequent as necessary	3	3
13. Group submits reports to others in chain of accountability at agreed – to intervals	3	3
<b>Average of Individual Item Scores</b>	<b>3.1</b>	<b>3.1</b>

<b>Financial Record Keeping and Planning Skills</b>	<b>Indigenization (1-5)</b>	<b>Quality (1-5)</b>
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1. There are plans for raising funds locally for programs	4	3
2. There is an annual budget	3	3
3. All income and expenses are appropriately documented	3	3
4. Expenses are monitored in relation to the budget	2	3
5. There is a monthly financial report	3	3
Average of Individual Item Scores	3	3

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**International Development Enterprises (IDE)**  
**Current Matching Grant and NGO Sector Strengthening Partner**

**LOP:** 09/01 - 09/04  
09/03 – 09/08

**Key Staff:** Peter Elkind,  
Chief of Party  
[idelkind@zamnet.zm](mailto:idelkind@zamnet.zm)

Peter Manda,  
Director of Programs  
[idemanda@zamnet.zm](mailto:idemanda@zamnet.zm)

Pamela Thole,  
Capacity Building Manager  
[pamthole@zamtel.zm](mailto:pamthole@zamtel.zm)

**Issue Areas:** Pending Final Evaluation (Peer Evaluation/ USAID Mission)  
IDE Zambia/ National NGO issues  
Board Development Issues  
Mobilization and Impact in Remote Provinces  
Participatory Community Level Monitoring and Evaluation

**PVC-ASHA Management Areas:**

- Board Development of a National/ Regional Organization
- Increased Accessibility with Strategic Partnerships
- Field Monitoring Weaknesses and NGOSSP and Matching Grant
- Staff Capability, Partners and Human Resources
- Sub Grants and Mechanisms for NGO Institutional Support

**Mission Relevance and Management Areas:**

- Mission Relationship and IDE
- Current Partnership with CLUSA
- IDE National Staff and NGO Relationships
- Cross Learning and Training with Regional Field Staff
- Mechanisms for Support, Collaboration and OD Management Areas

**Data Chart for Performance Monitoring Plan  
DCHA/ PVC-ASHA**

**Skill Rating Scale****Project Partner: IDE Zambia<sup>2</sup>**

The purpose of this tool was to identify areas where an organization was becoming more independent from systems training, and technical assistance support. It was adapted to absorb some of the common measurements used with our partners, and to reflect some of the key areas of the PMP and the research areas we are assessing. It is designed to be a "proxy measurement" for some of the informal indicators that may be evident when monitoring, or interviewing program and project staff.

*Scale for Indigenization (Independence)*

- 1 - not functioning
- 2 - dependent
- 3 - cooperative
- 4 - consultative
- 5 - independent

*Scale for Quality (Ability)*

- 1 - not functioning
- 2 - unsatisfactory
- 3 - needs improvement
- 4 - adequate
- 5 - excellent

<b>Technical Skills</b>	<b>Indigenization (1-5)</b>	<b>Quality (1-5)</b>
1. There are policies clarifying the technical areas employed in development (by sector/ core capacity)	2	4
2. Baseline surveys are done in areas of program concentration	3	3
3. There are established and shared plans for the transfer of technical skills and trainings	2	3
4. Effective use is made of local technical resources	3	3
5. There are policies providing for continuing education for staff in technical/ skill areas.	2	3
Average of Individual Item Scores	2.4	3.2

<b>Board Development and Control Skills</b>	<b>Indigenization (1-5)</b>	<b>Quality (1-5)</b>
1. Has purpose statement	2	2
2. Has goals	2	2
3. Has clearly understood and stated values	1	1
4. Has strategies	1	1
<b>Establishing Boundaries with Policies and Procedures for...</b>		

<sup>2</sup> IDE Zambia is a Nationalized NGO.

Representation of constituencies	1	2
6. Internal board practices	1	2
7. Decision making	1	2
8. Budgets; financial record keeping	1	2
9. Monitoring and evaluation	1	2
10. Fundraising	1	2
11. External relations	1	2
<b>Determining Standards of Performance for...</b>		
12. Job descriptions in place	3	3
13. Objectives stated and clear	2	2
14. Chain of responsibility in place	3	3
<b>Skills for Board Members</b>		
15. Decision making	1	1
16. Evaluating Proposals	1	1
17. Making presentations	1	1
18. Working on committees	1	1
<b>Average of Individual Item Scores</b>	<b>1.4</b>	<b>1.8</b>

<b>Management Skills</b>	<b>Indigenization (1-5)</b>	<b>Quality (1-5)</b>
1. General Meetings are held periodically to discuss common problems and goals	3	4
2. Group has identified community problems it wishes to address	3	3
3. Group has defined and formulated a purpose statement	3	4
4. Group has defined and formulated goals	2	4
5. Group has identified barriers to goals	2	3
6. Group has defined and formulated strategies	2	3
7. Group has defined and formulated objectives; key indicators of success	2	2
8. Group monitors success monthly	2	3
9. Staff monitor progress against individual goals and objectives	2	3
10. Implementation plans include time frames and assigned responsibilities	2	2
11. Plans have identified community resources	2	2
12. Evaluations of the plan and program are carried out, revisions made – at least annually, and more frequent as necessary	3	3

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3. Group submits reports to others in chain of accountability at agreed – to intervals	3	3
<b>Average of Individual Item Scores</b>	<b>2.4</b>	<b>3</b>

<b>Financial Record Keeping and Planning Skills</b>	<b>Indigenization (1-5)</b>	<b>Quality (1-5)</b>
1. There are plans for raising funds locally for programs	2	3
2. There is an annual budget	3	3
3. All income and expenses are appropriately documented	3	3
4. Expenses are monitored in relation to the budget	2	4
5. There is a monthly financial report	3	4
<b>Average of Individual Item Scores</b>	<b>2.5</b>	<b>3.4</b>

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**Zambia Monitoring Plan – October 26 – November 2, 2004**

**Note:**

*This document will be used to involve the PVO, field partners, and Mission staff in the Monitoring of the PVC-ASHA projects in Zambia. Please share this form with key staff and partners and feel free to comment on content for improvement. The key issues will be jointly identified and compared with the current work plan that is used by field staff. This is also an opportunity to highlight key areas where this grant and project has contributed positively to program implementation or operation. Please feel free to add sections that you think are relevant for your partners.*

Matching Grant	Country	Field Staff Contact	HQ Staff	Mission Staff	Sector	Issue Areas
Private Agencies Collaborating Together (PACT) 9/03-9/08	Zambia	<p>Jack McCanna Chief of Party <a href="mailto:jackm@pactz.org">jackm@pactz.org</a></p> <p>Brenda Liswaniso Field Program Manager <a href="mailto:brendal@pactzm.org">brendal@pactzm.org</a></p>	<p>Evan Bloom Vice President of Capacity Building <a href="mailto:ebloom@pacthq.org">ebloom@pacthq.org</a></p> <p>Elizabeth Kummer Senior Program Officer for Organizational Capacity Building <a href="mailto:ekummer@pacthq.org">ekummer@pacthq.org</a></p>		Levitt-Dayal, Marta (USAID/ZAMBIA/SO9)	

NGOSSP Grant	Country	Field Staff Contact	HQ Staff	Mission Staff	Sector	Issue Areas
International Development Enterprises (IDE) 9/03-9/08	Zambia	<p>Peter Elkind, Chief of Party, IDE Zambia, <a href="mailto:idelkind@zamnet.zm">idelkind@zamnet.zm</a></p> <p>Peter Manda, Director of Programs, IDE Zambia, <a href="mailto:idemanda@zamnet.zm">idemanda@zamnet.zm</a></p> <p>Pamela Thole, Capacity Building Manager, IDE Zambia, <a href="mailto:pamthole@zamtel.zm">pamthole@zamtel.zm</a></p> <p>IDE Zambia, Plot No. 1800, Nchenja Road, Northmead, Lusaka, Zambia Phone: 260-1- 239-001, Fax: 260-1- 221-028, <a href="mailto:idezambia@zamnet.zm">idezambia@zamnet.zm</a></p>	<p>IDE Headquarters, Primary Contact: Elaine Peters, <a href="mailto:epeters@ideorg.org">epeters@ideorg.org</a>; and John Magistro, <a href="mailto:jmagistro@ideorg.org">jmagistro@ideorg.org</a></p>	<p>Mlotha Damaseke, SO5, USAID/Zambia, <a href="mailto:mdamaseke@usaid.gov">mdamaseke@usaid.gov</a></p> <p>Cris Muyunda, SO5, USAID/Zambia, <a href="mailto:cmuyunda@usaid.gov">cmuyunda@usaid.gov</a></p>	Economic Growth, Agricultura, Health	

Field Staff Contact: List field staff contacted on TDY and list staff position. Contact Information should be included to denote follow-up for CTO staff/ PVO HQ staff.

Mission Staff: Mission staff familiar with Project Goals, implementation plan and staff.

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Issue Areas: Issue Areas as identified by CTO, PVC staff, Technical advisors, Mission staff or PVO Headquarters. Represents areas of monitoring focus or issues of field coordination, program implementation or research.

**Project Monitoring Checklist/ Key Program Issue Areas**

- Grant partners have identified key issue areas for coordination, project management, and knowledge management.
- Sub Grantee Partners have been identified and contacts established
- Risk/ Situational Analysis has been done, mechanisms identified and key programmatic issues addressed.

**Performance Management Needs Identified**

- Regularly collect, review and report on data related to all project indicators, targets and other donor requirements according to the Work Plan.
- Use the data to refine the project approach (as necessary).
- Clearly compare actual results against targets during review of monitoring data.

**Knowledge Management Methods**

How does this project contribute information to the Mission/ Mission Presence? What formalized mechanisms are used in-country? Who receives communications?

How is attribution tracked on Project with multiple funding mechanisms?

What information is shared with local partners or USAID operating units operating in the same Province?

How are "shared partners" monitored between projects? (i.e. NGOs that are being funded by multiple projects)

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**Partner Issues Identified**

*What are the key issues that have been identified with this grant? What are some of the “lessons” that are being tracked to share in reference to this project for evaluative purposes or for a shared forum between the Mission and other PVO/NGO partners?*

**Mission Issues Identified**

*What are the key issues that have been identified with this grant that relate specifically to Mission relationship/ coordination? What are some of the “lessons” that are being tracked to share in reference to this project for evaluative purposes or for a shared forum between the Mission and other PVO/NGO partners?*

**Host Country Government/ Local Government Structures/ Traditional Leaders and Associations**

*What are the key issues that have been identified with this grant that relate specifically to State/ Local Governance relationship/ coordination? What are some of the “lessons” that are being tracked to share in reference to this project for evaluative purposes or for a shared forum relating to these issues?*

**Highlighted Areas Relevant to Zambia**

Collaborative Monitoring with Zambia/ SO Teams USAID Team

Partner Mapping in Provinces with HIV/AIDS Interventions

Resource Development for Organizational Development for Zambian NGOs, CBOs, and FBOs