

PD-ABY-473

**Quarterly Progress Report 2
NGO Small Grants Program**

January – March, 2001
Contract: FAO-Q-10-96-90006

Submitted By:

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in Program Implementation and Advocacy
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Submitted to:

Ms. Shirley Toth, COTR & Project Officer
USAID
G/WID, RRB 3.08-021 &
Mr. James Jeckyl, Contracting Officer
USAID/M/OP/B/LA
Office of Procurement

The Small Grants Supporting Women's NGOs in Program Implementation and Advocacy

Summary

The focus of the activities for the NGO Small Grants Program this quarter was to announce the competitive grants in 15 countries and set up an efficient and cohesive review process for each of the proposals received.

1) Major Activities Completed, Underway and Planned

a) Completed

Web Announcement Developed

The web-based announcement was designed and posted on the GenderReach website on January 8, 2001. The Invitations for Application were downloadable from this page. During this quarter, there were 379 visitors to the main small grants information page, 131 visitors to the economic opportunities page, 98 visitors to the working conditions page and 95 visitors to the rights page.

NGO and Local Organization Identified

Many local organizations, especially in Latin America, gained information about the program and accessed the invitation for applications from the web announcement on the GenderReach website.

Invitation for Applications Issued

In addition to announcing the project on the GenderReach website, Invitations for Application for each theme were sent to each target Mission, both electronically and by DHL courier on January 8, 2001. Proposals were due on February 9 and February 13.

Selection Criteria Refined

Outside experts on each thematic area were invited to meet with the project team to provide feedback on selection criteria developed under each theme. Carol Yost with The Asia Foundation, and Molly Reilly with Women Law and Development International, shared ideas on the selection criteria for Women's Property and Inheritance Rights. Mary Rojas with WIDTECH and a microfinance specialist with Conservation International provided suggestions on the criteria for Conservation-Based Income Generating Opportunities for Women. Sharon Phillips with G/WID shared her comments on selection criteria for Women's Working Conditions. These meetings were completed by February 10, 2001.

Screening and Selection Committee Members Identified

Screeners included project team members and a group of Spanish speakers hired for one day to help with the initial screening of proposals from Latin America. Selection Committees were identified in collaboration with G/WID.

Grants Administration System Set-up

The proposal component of a database to track proposals was set up this quarter. This ensured that all proposals received were recorded and their status was updated as they went through the review process.

Proposal Review Started

Proposals review was started by the selection committees in Washington DC starting in late February and will be completed by early April. Pre-award proposals will be sent to target missions in mid-April.

b) Underway

Proposal Review

The primary activity this quarter was the proposal review process. In response to the IAs, over 198 proposals addressing one of the three themes were received. Unlike grant competitions in the past few years, 95% of the proposals were submitted by electronic means, either by e-mail or fax. Our first step was to acknowledge receipt of proposals and do an initial screen against a basic set of criteria. (Screening Criteria Attachment). Proposals were then sent for further review or for translation. A total of 120 proposals in Spanish and Portuguese were sent for translation. It was determined that a second screening was necessary to further refine the number of proposals to send on to review committees. This was conducted by members of the project team. Four selection committees were identified in collaboration with G/WID to review proposals thematically. These included; Women's Working Conditions, Conservation-Based Income-Generating Opportunities for Women, Women's Property and Inheritance Rights – Africa and Women's Property and Inheritance Rights – Asia. A regional specialist, thematic specialist, USAID representative and contractor representative made up each committee. Selection criteria for each theme have been finalized based on input from outside experts. (Selection Criteria Attachment)

c) Planned

Review Committees Short-listed Proposals –

Clarification questions from the review committees will be requested for each proposal which has been short-listed. In addition, each organization will be asked to complete a financial questionnaire. *Target Date: April 10, 2001*

Financial Compliance Review

Financial Questionnaires (attached) which grantees have completed will be analyzed to see if there are gaps in the financial practices of the pre-award grantees. Working closely with DAI contracts, the project team will create a memorandum of negotiation for each pre-award grantee, who will be required to address any financial compliance issues prior to being submitted as a pre-award recommendation. *Target Date: April 20, 2001*

Submission of Pre-Award Recommendations

During the next quarter the pre-award recommendations will be submitted for USAID Contracts approval and small grants. *Target Date: May 1, 2001*

Development of Grants Module

The grants module including the grant agreement format will be developed during the next quarter. *Target Date: April 30, 2001*

2) Timeline of Events

See attached timeline (Attachment 5)

3) Significant Project Results to Date

The significant project results during this quarter were effectively announcing the small grants program and receiving over 198 proposals for review. Further, a clear strategy was developed to efficiently screen proposals and send an acknowledgement to organizations that submitted a proposal.

4) Problems with Implementation

Zimbabwe Mission

In early January the Democracy and Governance Officer at the Zimbabwe Mission notified us that although their Mission had been identified as a target country, they would prefer not to be included in the grants competition at this time due to upcoming elections.

Translation

Due to the overwhelming response from Spanish speaking countries, 12 different translators worked to translate proposals in mid-February. This resulted the translations being of varied quality. In addition to being very costly, although many of these proposals met minimum screening criteria and were sent for translation, during the second screening it was clear that many were not technically viable for funding and were therefore not sent for further review by the committee.

5) Adjustments to Plan

The screening process took longer than anticipated. The timeline was designed to have only one screening when in fact two screenings were necessary. This delayed the first meetings of the project committees by two weeks.

6) Achievements toward G/WID Targets by Grantees

Grantees have yet to be selected.

Attachments:

- 1) Screening Selection
- 2) Selection Criteria
- 3) Financial Questionnaire
- 4) Memorandum of Negotiation
- 5) Timeline

NGO Small Grants Proposal Screening Check List

Organization Name _____

Country _____

Theme _____

Criteria	OK	Not OK
1) Organization type Must be either: a) local NGO b) local labor union c) local community-based organization d) local educational institution		
2) Legal Status		
3) Experience in Theme Area		
4) Addresses Theme		
5) Less than or equal to 16 months		
6) Less than or equal to \$25,000 (or \$50,000 if complementary grants)		
7) Organization Chart (included)		
8) Financial Statement (included)		
Typewritten		
Ten – twelve pages or less		

Action: Send to Review Committee _____

Send for Translation Spanish _____ Portuguese _____

Is not Eligible _____

Why? _____

Clarify with the Mission _____

Screened by: _____

Date: _____

Translated by: _____

Date Sent _____ Date Returned _____

EVALUATION SCORE SHEET

Proposal #: DAIP169

Proposal Link: 

Organization: The Women's Media Centre of Cambodia

Country: Cambodia

- Women's Property and Inheritance Rights**
- Women's Working Conditions**
- Conservation-based Economic Opportunities**

Grant Proposal - Evaluation Form

Technical Screening	Yes/No	Comments
This project builds on or enhances an existing project or ongoing activity. (2d, 4d)	<input checked="" type="radio"/> Yes <input type="radio"/> No	
The target group is primarily women in a focused area. (2e & 9)	<input checked="" type="radio"/> Yes <input type="radio"/> No	R- but would also reach men - a plus
Cost-sharing information included. (6)	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Criteria	Score	Comments
1. The objectives of this project and its discrete activities are clearly articulated. (2b & 3a)		
2. The project has the potential to have substantial impact on its target group. (indicators: e.g., advocacy campaigns conducted, awareness raised) (3 & 4)		
3. The proposal demonstrates an understanding of the issue and community perception. (4a, 4d)		
4. The activities planned are timely and appropriate and fit within a larger strategy. (4b, 4c)		
5. The activity furthers CEDAW objectives by reducing discrimination in women's property and inheritance rights. (4e)		
6. There is a thorough and reasonable implementation plan which fits within the proposed timeframe and budget. (5, 6)		
7. The staff is well qualified. (8)		

8. This organization is well established and has experience working on projects addressing women's property and inheritance rights. (1, 7)		
9. The project has potential to share the learning from this activity with a wider audience. (overall)		
10. The project is innovative. (4d, overall)		
TOTAL SCORE (0-50)	Calculate Cumulative Score	

Score – Based on a sliding scale of 0 – 5 (0 being the lowest and 5 being the highest)

Action:

Further Issues for Clarification: ● Yes ○ No

Clarifications to Address:

1. As noted on page 4, section 3a of your proposal, please explain how the radio and television will serve as the most effective manner to reach lawmakers and judges.
2. Please describe how accessible radios and televisions are to the general population?
3. Please propose a way to disseminate copies of the recorded drama to a wider audience (i.e. schools) for repetitive utilization and submit a \$5000 budget as a possible complimentary grant.
4. Please resubmit your budget showing the required cost sharing distributions.

- Recommend for Pre-Award**
- Recommend as Alternate**
- Decline**

Reason/Comments:

Catherine=27.5 Rebecca=38 Peter=21

How effective can the drama be?

Everybody rates this one quite highly!!!! In fact, it was mentioned that if possible, they would suggest giving a complementary grant to this org.

Catherine's Green Sheet;

- The use of media is nice, but program may be ill-conceived
- If target group for 3 spots are lawmakers, is radio/tv the best way to reach them?

Rebecca's Green Sheet;

- How many people have access to TV and radio?
- How long are the spots?
- When will they be shown?
- Do we have to fund drama/ What about showing the spot more times - keep them coming over the

EVALUATION SCORE SHEET

Proposal #: DAIP092

Proposal Link: 

Organization: Programa de la Mujer para el Desarrollo Economico y Social (KICHEN KONJEL)

Country: Guatemala

- Women's Property and Inheritance Rights**
- Women's Working Conditions**
- Conservation-based Economic Opportunities**

Grant Proposal - Evaluation Form

Technical Screening	Yes/No	Comments
This project builds on or enhances an existing project or ongoing activity. (2d, 4e)	<input type="radio"/> Yes <input type="radio"/> No	
The target group is primarily women.(2e)	<input type="radio"/> Yes <input type="radio"/> No	
The target group is working primarily in export-oriented businesses. (2e & f)	<input type="radio"/> Yes <input type="radio"/> No	
Cost-sharing information included. (6)	<input type="radio"/> Yes <input type="radio"/> No	
Criteria	Score	Comments
1. The objectives of this project and its discrete activities are clearly articulated. (2b & 3a)		
2. The project has the potential to have substantial impact on its target group. (indicators: e.g., awareness raised or labor laws enforced) (3 ,4)		
3. The proposal demonstrates an understanding of the issue or problem. (4a, 4d)		

<p>4. The activities aim to improve working conditions for women, e.g.</p> <ul style="list-style-type: none"> ● awareness raising about local labor laws and codes and/or avenues of redress for laborers with complaints about working conditions ● efforts to promote quick and fair resolution of labor disputes, ● development and enforcement of national laws protecting workers, ● advocacy for corporate codes of conduct. <p>(4b and 4c)</p>		
<p>5. There is a thorough and reasonable implementation plan which fits within the proposed timeframe and budget. (5, 6)</p>		
<p>6. The staff is well qualified. (8)</p>		
<p>7. This organization is well established and has experience working on projects addressing women's working conditions. (1, 7)</p>		
<p>8. The project has potential to share the learning from this activity with a wider audience. (overall)</p>		
<p>9. The project is innovative. (overall)</p>		
<p>TOTAL SCORE (0-45)</p>	<p>Calculate Cumulative Score</p>	

Score – Based on a sliding scale of 0 – 5 (0 being the lowest and 5 being the highest)

Action:

Further Issues for Clarification: Yes No

Clarifications to Address:

- Recommend for Pre-Award
- Recommend as Alternate
- Decline

Reason/Comments:

EVALUATION SCORE SHEET

Proposal #: DAIP048

Proposal Link: 

Organization: Asociacion para la Investigacion y Desarrollo Integral

Country: Peru

- Women's Property and Inheritance Rights**
- Women's Working Conditions**
- Conservation-based Economic Opportunities**

Grant Proposal - Evaluation Form

Technical Screening	Yes/No	Comments
This project builds on or enhances an existing project or ongoing activity. (2a, 2d)	<input type="radio"/> Yes <input type="radio"/> No	
The target group is primarily women which are from indigenous, rural-based and grassroots communities. (2e & 9 map)	<input type="radio"/> Yes <input type="radio"/> No	
Cost-sharing information included. (6)	<input type="radio"/> Yes <input type="radio"/> No	
Criteria	Score	Comments
1. The objectives of this project and its discrete activities are clearly articulated. (2b & 3a)		
2. The project has the potential to have substantial impact on its target group. (indicators: e.g., income increases, empowerment) (3,4)		
3. There is a realistic business plan that will show a positive cash flow. (4 a and b)		
4. The proposal demonstrates a clear link to conservation (4c and d).		
5. There is a thorough and reasonable implementation plan which fits within the proposed timeframe and budget. (5, 6)		
6. The staff is well qualified. (8)		
7. This organization is well established and has experience working with conservation or income-generating projects. (1, 7)		

8. The project has potential to share the learning from this activity with a wider audience. (overall)		
9. The project is innovative. (overall)		
TOTAL SCORE (0-45)	Calculate cumulative score	

Score – Based on a sliding scale of 0 – 5 (0 being the lowest and 5 being the highest)

Action:

Further Issues for Clarification: ● Yes ○ No

Clarifications to Address:

1. Please clarify if the kutsu is native to the area and if it is invasive or not.

Favor de explicar si el kutsu es una planta oriunda (nativa) de esta area, y si es invasiva o no.

2. Please explain if the indicated hectares are per person, in other words, will there be 30 hectares of kutsu and 30 of guaba.

Donde hablan de las hectareas cultivadas, favor de explicar si estas son una hectarea de cada planta, o una hectarea por persona, esto es 30 ha. de guabas y 30 de kutzu.

3. Please indicate who owns the land.

Favor de indicar de quien es la tierra donde se va a cultivar el kutzu y la guaba.

4. We feel that the project has a small number of beneficiaries. Please indicate if there is a way to increase the amount.

Pensamos que el numero de personas que se beneficiaran es bastante bajo, favor de indicar si hay alguna forma de incrementar este numero.

- Recommend for Pre-Award**
- Recommend as Alternate**
- Decline**

Reason/Comments:

Too few people
40% of budget going towards salaries

**Accounting System Requirements and
Financial Capability Questionnaire
for
NGO Small Grant Recipients**

The main purpose of this attachment is to understand the systems adopted by your institution for financial oversight and accounting of small grant funds, especially those provided through the U.S. Federal Government. The questionnaire will assist the NGO Small Grants Program and accounting staff to identify the extent to which your institution's financial systems match the requirements of the U.S. Federal Government. This information will help the NGO Small Grants Program to work with you and your institution to review any problem areas that may be identified, thereby avoiding any problems or oversights, which would be reportable, should an audit of the program or institution be required.

In order to determine sound financial practices, the Information Concerning Financial Management Systems Questionnaire (Section II) should be completed by the chief financial officer of your organization. This questionnaire is informational only and will not have any bearing on the NGO Small Grant agreement to support your institution, and will be administered only after evaluation of the technical merit of your grant proposal. Please answer all questions to the best of your knowledge.

If you have any questions or concerns, please feel free to contact the Project Director of the NGO Small Grants Program.

Accounting System Requirements

1. **Accounting Systems Information** - Organizations receiving awards are required to have an adequate accounting system. Adequate accounting systems provide assurances to the NGO Small Grants Program that organizations can account for expenditure of grant funds in accordance with applicable regulations, and terms and conditions of the award.

At a minimum, adequate accounting systems provide for:

- identification of costs (budgeted costs and actual expenses) by project/grant;
- identification of costs as direct, indirect, and unallowable;
- complete and accurate financial reports (including balance sheets and income statements); and
- Maintenance of adequate source documentation (purchase orders, invoices, canceled checks, etc.).

Organizations being considered for an award are required to support the existence of an adequate accounting system. If an organization has been audited, the organization should provide a copy of the review and/or audit report resulting from the audit or review. All organizations should complete and provide the "Information Concerning Financial Management Systems" form, (*Appendix A.*). The NGO Small Grants Program will review this form. Possible accounting system weaknesses in your submission, and suggestions for correcting these weaknesses will be discussed with the submitting organization.

2. **Time and Effort Reporting** - Time and effort records must be maintained for an organization's employees so that salary charges to an award can be verified. An adequate time and effort record contains the following information: (1) the name and signature of the employee; (2) the hours an employee worked each day during a given pay period; (3) the activities of the employee during the pay period (i.e., project, general and administrative, vacation, sick, leave without pay, etc.); and, (4) the name and signature of the employee's supervisor.

Corrections to a time and effort record should be in ink and initialed by the employee. Organizations should provide a copy of their time and effort record as an attachment to the "Information Concerning Financial Management System" form. The following sample timesheet is provided to assist you in creating a time and effort record form should your organization not currently maintain these records.

Monthly Time Record																	
Employee Name											Employee Signature						
Supervisor Name											Supervisor Signature						
Month:	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	Total
Project:																	
Holiday																	
Vacation																	
Sick leave																	
Other:																	
Total																	

Note: Corrections should be made in ink and initialed by employee.

SECTION I. AWARDEE ORGANIZATION AND MANAGEMENT SUMMARY

1. Common Name of Organization:		
2. Acronym (if any)		
3. Legal Name (if different)		
4. Address (Street, City, Country /State, Postal Code)		
5. Parent or Affiliated Organization (if any)		
6. Former Name (if any)		
7. Type of Organization (Check appropriate box)		
<input type="checkbox"/> Local educational institution <input type="checkbox"/> Local NGO <input type="checkbox"/> Other (Identify)		
<input type="checkbox"/> Local CBO <input type="checkbox"/> Local Labor Union		
8. Awardee Organization		
a. President/Chief Executive Ofc. (Dr., Mr., Mrs., Ms., Miss)	Title Email Address	Telephone Number () FAX: ()
b. Award Letter Addressee (Dr., Mr., Mrs., Ms., Miss)	Title Email Address	Telephone Number () FAX: ()
c. Chief Business Officer	Title Email Address	Telephone Number () FAX: ()

SECTION II: INFORMATION CONCERNING FINANCIAL MANAGEMENT SYSTEMS

A. <u>General Information</u>
Name of Organization: _____
Have external accountants performed an audit of your institution's financial statements in the last two years? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, please attach a copy of the most recent report.

B. <u>Accounting System</u>	
1. Which of the following best describes the accounting system? <input type="checkbox"/> Manual <input type="checkbox"/> Automated <input type="checkbox"/> Combination	5. Does the accounting system identify the receipt and expenditure of funds separately for each grant and contract? <input type="checkbox"/> Yes <input type="checkbox"/> No Comments:
2. Is there a chart of accounts: <input type="checkbox"/> Yes <input type="checkbox"/> No Comments:	6. Does the accounting system provide for the recording of grant/contract costs according to categories of the approved budget? <input type="checkbox"/> Yes <input type="checkbox"/> No Comments:
3. Is there a double entry accounting system used? <input type="checkbox"/> Yes <input type="checkbox"/> No Comments:	7. Does your institution maintain a record of how much time employees spend on different projects or activities? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, attach sample timesheet.
4. What books of account are maintained? a. General Ledger <input type="checkbox"/> Yes <input type="checkbox"/> No b. Project Cost Ledger <input type="checkbox"/> Yes <input type="checkbox"/> No c. Cash Receipts Journal <input type="checkbox"/> Yes <input type="checkbox"/> No d. Cash Disbursements Journal <input type="checkbox"/> Yes <input type="checkbox"/> No e. Payroll Journal <input type="checkbox"/> Yes <input type="checkbox"/> No f. Income (sales) Journal <input type="checkbox"/> Yes <input type="checkbox"/> No g. Purchase Journal <input type="checkbox"/> Yes <input type="checkbox"/> No h. General Journal <input type="checkbox"/> Yes <input type="checkbox"/> No i. Other (describe) <input type="checkbox"/> Yes <input type="checkbox"/> No Comments:	8. Is the organization familiar with the cost principles (Federal Acquisition Regulations, Part 31.2, OMB Circular A-122) and procedures for the determination and allowance of costs in connection with federal grants and contracts? <input type="checkbox"/> Yes <input type="checkbox"/> No Comments:
	9. Does your institution have written accounting policies and procedures? <input type="checkbox"/> Yes <input type="checkbox"/> No

Funds Management

Name of Organization: _____

1. Is a separate bank account maintained for grant funds?
 Yes No

Comments:

2. If a separate account is not maintained, can the grant funds and related expenses be readily identified?
 Yes No

Comments:

3. Does the organization have procedures to minimize time elapsing between the transfer of funds and disbursement by the organization whenever funds are advanced?
 Yes No

Comments:

D. Internal Controls

1. Are the duties of the bookkeeper separated from the cash functions (receipt or payment of cash)?
 Yes No

Comments:

2. Are checks signed by individuals whose duties exclude recording cash received, approving vouchers for payment and payroll preparation?
 Yes No

Comments:

3. Are accounting entries supported by appropriate documentation (e.g., purchase orders, vouchers, etc.)?
 Yes No

Comments:

4. Are employees who handle funds required to be insured against loss by reasons of fraud or dishonesty?
 Yes No

Comments:

E. Purchasing Equipment

Are inventory records maintained?

Yes No

Comments:

Prepared by: _____

Telephone Number: _____

Title: _____

Date: _____

Bank Wire Information:

Your Organization's/Bank Account Name: _____

Your Organization's/Bank Account Address:

Your Organization's Bank Account Number (#) _____

Name of Your Organization's Bank: _____

Your Organization's Bank City: _____

Your Organization's Bank Country: _____

Your Organization's Bank Branch: _____

Your Organization's Bank ABA Routing Number (#) and/or SWIFT Number (#): _____

Correspondent Bank (in the US) for the Your Organization's Bank: _____

Correspondent Bank City and State: _____

Your Organization's Bank Account Number (#) with Correspondent Bank: _____

Correspondent Bank ABA Routing Number (#) and/or SWIFT Number (#): _____

17

NGO Small Grants Program Timeline

Activities/ November 2000 - April 2001	NOV	DEC	JAN	FEB	MAR	APR	Status
1) Hire Staff							Complete - Subcontracts Signed
2) Draft Background / IA Materials							
a) Theme Piece							Approved 12/06/00
b) Selection/Eligibility Criteria							Approved 12/20/00
c) Info Announcement to Selected Missions							Sent to Missions from GWID 12/20/00
d) Draft IAs to GWID							Approved 01/05/01
e) Translation of IAs							Completed 01/04/01
3) Solicit Proposal							
a) SSO1 Announced			1/8				Announced via Missions 01/08/01
b) SSO3 Announced			1/12				Announced via Missions 01/08/01
c) SSO1 Proposals Due				2/9			Completed
d) SSO3 Proposals Due				2/13			Completed
4) Conduct Preliminary Proposal Review (Ad Hoc Committee)							
a) Form preliminary review committee							Complete
b) Refine evaluation and selection criteria							Complete
c) SSO1 Review							Complete
d) SSO3 Review							Complete
5) Submit Recommendations to USAID Contracts							
a) SSO1							Planned next quarter
b) SSO3							Planned next quarter
6) Send Pre-Award Proposals for Mission Review							
a) SSO1 Proposals Sent							
b) SSO3 Proposals Sent							
c) SSO1 Mission Review Deadline							
d) SSO3 Mission Review Deadline							
7) Consult with Pre-Award Grantees							
a) SSO1							
b) SSO3							
8) Award Grants							
a) SSO1							Next Quarter
b) SSO3							Next Quarter
9) Report							
a) Develop Reporting Formats							Drafted
b) Grantee Reports Due							
c) Project Report due to GWID							Jan. reporting adjusted due to simultaneous program announcement.

NGO Grants Timeline

Activities/May 2001 - Nov 2002	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	Status
9) Report (Continued)																				
a) Develop Formats																				
b) Grantee Reporting Due																				
c) Project Reporting to GWID																				
d) Final Project Report																				
10) Monitoring and Evaluation																				
a) Develop Indicators																				
b) Review Grantee M&E Plans																				
c) M&E Local Specialists Recruited																				
d) M&E Site Visits																				
e) M&E Report																				
11) Organize and Conduct Final Conference on Property & Inheritance																				
a) Venue Selection / Local Partner Identified																				
b) Format/Organization																				
c) Invitees																				
d) Preparation Site Visit																				
e) Conference																				
12) Disseminate Findings																				