

**OFFICE OF PRIVATE AND VOLUNTARY  
COOPERATION**

**BUREAU FOR HUMANITARIAN RESPONSE**

**RESULTS REVIEW  
FY 1998**

**AND**

**RESOURCE REQUEST  
FY 2001**

**April 1, 1999**

The attached result information is from the FY 1998 results review and resource request (R4) for BHR/PVC and was assembled and analyzed by USAID/PVC. The R4 is a "pre-decisional" USAID document and does not reflect results stemming from formal USAID Reviews.

Additional information on the attached can be obtained from Adele Liskov USAID/BHR/PVC. Related document information can be obtained from:

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## **Please Note:**

The attached FY 2001 Results Review and Resource Request ("R4") was assembled and analyzed by the country or USAID operating unit identified on this cover page.

The R4 is a "pre-decisional" USAID document and does not reflect results stemming from formal USAID review(s) of this document.

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*Released on or after Oct. 1, 2001*

**MEMORANDUM TO: ASSISTANT ADMINISTRATOR HUGH PARMER,  
AA/BHR**

**FROM: ADELE LISKOV, BHR/PVC**

**SUBJECT: 1998 Results Review and Resource Request (R4)**

I am pleased to present PVC's annual Results Review and Resource Request (R4) for FY 1998. This report marks the completion of three years of implementing PVC's strategy approved in October 1996.

The office is at a transition point in implementing the Strategic Plan, integrating it into the daily operations of the programs, and in building the performance monitoring system. The initial focus was on engaging the staff in the collection, year-to-year comparison and the use of the data to improve program operations. After three years, the IR teams are fully engaged and self-sufficient in collecting and interpreting data and have become more critical and discriminating regarding both the quality of the data collected and the utility of this information for managing program outcomes. PVC has made progress institutionalizing the strategy and utilizing performance data for program operations. We are increasingly emphasizing the issues that are important for program management and developing the next generation of performance indicators.

The current strategy will end in FY2000, and the office is now ready to put into place a process to analyze the Strategic Plan and indicators in light of our experience. Our objectives are to validate the result framework, to streamline the performance monitoring system, and to identify program analysis that is fundamental to program management. Refinements and changes to the performance monitoring plan will be considered within the context of streamlining the results reporting system and managerial feasibility.

It has become apparent that in order to effectively manage the data collection and to incorporate improved data gathering systems, PVC needs to invest in a Performance Management Plan-Management Information System which will allow cross-program analysis and electronic management of our grants. The office is building the foundations for an office-wide management information system. At this point PVC is unable to consolidate data across programs. Each division has its own management information system, program support mechanisms, and uses different databases or spread sheets to consolidate program information. Thus, cross-program comparisons or analysis on overarching issues requires additional work to consolidate data sets. PVC is working with our information support contractor, Dimensions International, with guidance from PPC and Global Bureau Central contractors, to have in place a program data base that will allow staff to track program performance and thereby improve grant management practices. An essential component of this database will be its ability to accept annual reporting data from PVC's PVO partners through recently-perfected WEB technologies.

Other management actions taken this year include an evaluation needs assessment launched upon review of the 1998 applications and last year's R4. The evaluation needs assessment undertaken by the office led to discussions on the mechanisms and resources that are currently in place to support the achievement of PVC's strategic objective and intermediate results. The PVO capacity measurement tool, DOSA (Discussion-Oriented Self Assessment), has identified, for two years now, clear gaps in specific elements of PVO capacity. In the coming year PVC will address how to better target our resources to resolve specific issues identified in the R4 process.

The competitive grant programs, as well as the non-competitive Denton Program, are in greater demand by the PVOs and other organizations than can be met with available funding. Grants in the competitive range are beginning to be rejected due to resource constraints only. The Matching Grant Program, in particular, continues to be most affected by the directives process, which increasingly drives the program and seriously questions the premise of a competitive program designed to support PVO activities in Agency's priority sectors.

Increased partnering between U.S. PVOs and local NGOs and increased transfer of institutional and technical capacity has emerged as a direct outcome of PVC's capacity-building efforts with U.S. PVOs. Grantees who have attained levels of capacity in child survival, health, and microenterprise are, through PVC's Child Survival and Matching Grant Programs, contributing to local NGO capacity building and to the sustainability of local institutions and their programs. PVC is moving in the direction of increasing its support for local capacity building and NGO strengthening. . Since PVC established its subgoal to strengthen local NGOs, a great deal has been learned from PVC-sponsored research and from operational expertise in PVO/NGO partnering emphasized by our grant programs. PVC's leadership role in launching the International Forum on Capacity Building has placed PVC in the forefront of the Agency in this increasingly critical area as USAID intensifies its efforts to strengthen the capacity of local NGOs.

A major achievement last year was the request by the Administrator for PVC to extend its expertise in capacity building to Missions. An additional \$2.5 million over last year's OYB level was approved for this purpose. PVC is now designing a mechanism to address Mission needs and demand for information and technical assistance in order to improve local civil society organizations' capacity to deliver programs, and to provide TA in financial and institutional sustainability. With the Administrator's commitment of \$2.5 for NGO strengthening, PVC will launch a program to address Mission concerns and to provide needed assistance to their staff and partners. This program will directly contribute to the achievement of IR3—Strengthened U.S. PVO and NGO Partnerships, as well as make an important contribution to the achievement of PVC's Strategic Objective and overall goal.

PVC has worked very hard and long to recruit staff to fill three important vacancies. I am pleased to report that two of these positions have now been filled. We are awaiting OPM

clearance on the third. The microenterprise, health, and NGO capacity building staff positions will strengthen PVC's ability to manage the \$250+ million grant portfolio and institute the new local NGO strengthening program.

As the main point of contact for Agency partners, PVC's close collaborative working relationship with U.S. PVOs has been challenged by the lack of readily available meeting space and required advance notice, affecting the traditional "drop by" friendliness enjoyed prior to the move. In addition, not having all of PVC's staff on one floor contributes to a lack of wholeness and constrains opportunities for office sharing and learning and drastically inhibits the effectiveness of the IR teams. The off-site presence of our program support contractor has affected its responsiveness to the office.

PVC's performance over the last year has continued to provide a solid basis for moving toward achieving our SO. Our programs have become stronger as a result of applying three years' data analysis on the development of our RFAs and the management and evaluation of our programs. We have emphasized advances in the state of the art of our programs, and have outlined in the pages that follow a more in depth discussion of our program activities and achievements.

## **Part I - OVERVIEW AND FACTORS AFFECTING PROGRAM PERFORMANCE**

PVC's performance in relation to its management of the strategy has continued to be strong. As the following sections will indicate, PVC's programs have increasingly been shaped by use of performance data in several areas. PVC's performance has met and exceeded expectations in some areas at SO and IR levels (see Part II and performance tables). PVC has devoted increased attention to those few areas where performance was short of expectations as well as to areas where program evolution suggests that IR and/or indicator revision is needed.

The overriding factor this past year has been the tremendous amount of learning that has been gained from the performance data. Following last year's R4, an action agenda was established to address areas of weak performance or gaps in documentation. Thirty operational changes were identified. In this way, PVC has institutionalized management for results. For the past two years, following the R4 review meeting, PVC has conducted an internal office-wide "stocktaking" to review the performance data and identify priority actions that will improve our ability to document and utilize data so that weak performance can be better addressed and understood. While items on this agenda will take several program cycles to complete, nearly half of the actions identified in the review are either underway or completed. Specific actions and results include:

- **Strengthened the RFA Process.** Revisions were made in the RFAs in all programs to align them more closely with PVC's Strategy, i.e., the RFA application review process was revised for the Ocean Freight program placing greater weight on performance issues. Various elements in the program cycle (applicant debriefing and detailed implementation plan (DIP) review process) were revamped to provide more direct feedback and assistance to the PVOs on program design issues that the performance data identified as weak. As a result, a new planning matrix was added to all RFAs to address difficulties PVOs have in developing measurable program objectives and valid indicators.
- **Revamped the Monitoring and Evaluation Process.** PVC completed a monitoring and evaluation needs assessment, drafted a two-year Evaluation Plan, and initiated program-specific actions to maximize the collection of evaluation data that will be more useful for program management purposes and allow us to aggregate data within and across programs. To systematize the office approach to program monitoring, development was started on a site visit checklist. This will make better use of the limited program monitoring that is possible with the current travel budget constraints. When fully implemented, the site visit data will be entered into the database as well. And, greater emphasis has been placed on operational analysis at the project level and on portfolio analysis at the program level. For example, the office commissioned a microenterprise study to identify key issues, best practices and impact and sustainability of the broad spectrum of microenterprise approaches used by cooperatives, credit unions and PVOs.
- **Made Sustainability Planning a Priority.** The office has insufficient data on program sustainability and has taken a series of steps to strengthen and accelerate PVO planning and action on this issue. The Child Survival program highlighted sustainability in the Detailed Implementation (DIP) reviews, concentrating on the development and use of sustainability indicators. Matching Grants assisted PVOs to conduct sustainability audits, developed and

piloted a business planning workshop, and provided training and assistance in developing linkages with commercial businesses. The impact of these interventions will not be realized for several years.

The office continued to use performance to improve its programs. In addition to using the R4 performance data for program decision-making, the office took a number of actions to streamline operations and to decrease the transaction costs and management burden. For example, the Child Survival program brought on-line a new technical support contractor to provide a broader range of technical and capacity building assistance to child survival and health PVOs.

As the broader Agency and external context for PVC's strategic plan continues to be favorable to the implementation of our programs and to nurturing the strong USAID-PVO partnership, there are strong prospects for making progress through the next budget year. We have set plans in motion to improve program integration through data documentation and to apply the lessons learned from program performance reported in the R4 and from program reviews. We also expect program management to be more streamlined over the next year. The Farmer-to-Farmer Program's five-year cycle is ongoing, with no RFA anticipated until FY 2002 to coincide with the expiration of the current farm bill. The Development Education Program moved from a one-year to a two-year grant cycle, lessening the program management burden and increasing the likelihood that project activities will have sufficient time to generate results. The Ocean Freight Reimbursement Program will no longer administer a special NIS program, in addition to the worldwide program, as it has done for the past three years with funds from the Department of State.

The Administrator is actively promoting the initiation of a new program to assist Missions with NGO institutional strengthening and capacity building. An important determinant of progress this year in extending our expertise to Missions and local NGOs in this area will be whether the funds approved in last year's budget review will be forthcoming. This is critical in light of the \$2 million reduction in PVC's program budget for FY 1999.

## **Part II - RESULTS REVIEW BY STRATEGIC OBJECTIVE**

### **PVC's Strategic Objective**

PVC's primary mandate is to strengthen the capacity of the U.S. PVO community to enable it to provide more sustainable development assistance. The Office's Strategic Objective (SO), "*increased capability of PVC's PVO partners to achieve sustainable service delivery,*" reflects this mandate. PVC's aim is continuous improvement in the institutional capacity, as represented by PVC's grantees, to respond effectively to the full range of challenges facing developing countries. The key elements in the SO are institutional strengthening, service delivery and sustainability. The five Intermediate Results (IRs) are:

- Operational and technical capacity of PVC grantees improved
- Strengthened partnership between USAID and U.S. PVOs
- Strengthened partnership between U.S. PVOs and local NGOs

- Improved Mobilization of Resources by PVC’s PVO partners
- U.S. Public Awareness Raised.

Each IR contributes to the achievement of the SO. PVC has taken steps to ensure that the IRs and the associated indicators cut across all office programs. The work of the IR teams have complemented the work of various office divisions and have increasingly emphasized a sense of shared responsibility for managing progress towards achievement of the SO. Each IR team, for example, has been responsible for collecting and analyzing its performance data for the R4.

### Summary Table

#### SO: Increased Capability of PVC’s PVO Partners to Achieve Sustainable Service Delivery

Strategic Objectives and Intermediate Results	Indicators	Rating (Exceeded, Met, Failed to Meet)	Comments
SO Indicators	1. Change in the mean capacity score of PVC-supported PVOs on PVC-developed capacity self-assessment instrument	Mixed	Preliminary data (1/3 of PVOs reporting)
	2. Change in the number of members of formal networks or associations of voluntary organizations	Exceeded	
	3. Change in key measures of child survival program performance	NA	Measured every 3 years (FY98 is yr.2)
	4. Change in key microenterprise (ME) measures of performance	Exceeded	
	5. Percent change in key measures of sustainability: a)% of ME programs that are operationally sustainable; b) % of programs with evidence of financial input at local level	NA	(a) data not available till 5/99 ; (b) will not be measured until evaluations are restructured
IR1: Operational and Technical Capacity of US PVOs Improved	Percent PVOs that develop quality program plans	Mixed	Targets met in 2 of 5 sub-indices
	Percent of PVOs that adopt a systematic approach to program monitoring and impact evaluation	NA	Not measured, indicator & data source will be redeveloped
IR2: Strengthened Partnership between USAID and US PVOs	Percentage of recommendations presented by ACVFA that are adopted by USAID	NA	No target set

Strategic Objectives and Intermediate Results	Indicators	Rating (Exceeded, Met, Failed to Meet)	Comments
	Percentage of USAID program funds channeled through US PVOs	Failed to meet	1997 data (M/Bud memo 6/98)
<b>IR3:</b> Strengthened US PVO and NGO Partnership	Percent of PVC grants where there has been a clear transfer of resources by the PVOs to local level partners	Exceeded	A new set of indicators will be considered for IR3
	Percent of PVC grants where the PVO has clearly established formal partnerships with local partners	Exceeded	
	Percent of PVC grants in which local partners have access to the internet	Met	
<b>IR4:</b> Improved Mobilization of Resources by PVC's PVO Partners	The percent of PVC grantees with a non-diversified funding base	Failed to meet	Trends on sub-target is on track
<b>IR5:</b> US Public Awareness Raised	Percent PVC grantees that measure changes in the awareness and understanding of US audiences of the importance of global sustainable development	NA	Not measured in FY98 Survey in FY2000

## Key Results

At the SO level PVC measures three dimensions - change in PVO institutional capacity, service delivery, and sustainability.

### Institutional Capacity:

Data collection for the Discussion-Oriented Self-Assessment (DOSA) has been proceeding with the cohort of grantees. Final data collection for the DOSA, which is PVC's main instrument for measuring a change in institutional capacity, will be completed this spring. Preliminary results from one third of the organizations confirms the modest measurable increase recorded last year in improved institutional capacity, while indicating a recurring cohort-wide pattern in two areas. Generally, PVO's rank human resources management lowest of the six capacity areas and external relations only slightly higher. Conversely, Service delivery and financial resource management are ranked highest by most organizations. This consistent shape of the data distribution suggests that investments made by USAID and other donors in service delivery and financial management have paid off. IR1 data on the technical capacity of PVOs is consistent with this finding. The areas that hold the most potential for change are human resource development and external relations. Members of the DOSA cohort have expressed high interest in obtaining follow-on technical

assistance to address institutional weaknesses that have been identified by the DOSA. PVC is exploring ways to supplement assessment with intervention approaches.

In addition to organizational changes measured by DOSA, PVC is tracking membership in formal networks that provide a forum for inter-organizational learning, peer consultation and practitioner knowledge. Membership in the two networks (CORE and SEEP) being tracked increased. In addition, it is notable that a number of new networks have coalesced around special interest issues and initiatives that PVC has set in motion. These networks have resulted in new forms of joint learning and collective action. For example, informal networks have resulted from TA and support PVC provided to the business/PVO partnerships initiative (CorCom), and the International Forum on Capacity Building, and exploration of an environment PVO network is currently in progress. With the proliferation of new networks, PVC will rethink the measurement of this indicator in FY99, reaching a decision whether it would be desirable to capture a broader range of “social capital” building activities (joint ventures, networks and linkages) that are critical to implement effective development innovations.

### Service Delivery

Data on change in PVO capacity to deliver sustainable child survival services is calculated on a three-year mean and will not be reported in this R4. However, there is good evidence from the IR that the technical capacity of PVC’s partners to design state-of-the-art (SOTA) technical interventions in all program areas are uniformly high. This is an important cross-check on the institutional capacity of the PVOs. The challenge facing PVC is to adjust these SO level indicators to more closely match service delivery trends in the health sector. PVO field programs are increasingly working on quality of care, health communication/behavior change and organizational strengthening issues. While the current set of SO level indicators do not directly address these issues, it should be noted that the CORE network of Child Survival PVO implementers have created a very active committee to analyze and address this issue.

The PVOs implementing microenterprise projects continue to improve operations – the number and dollar amount of loans increased, as did the percent of women borrowers, which increased from 66% in 1996 to 77% in 1997. Collaboration between the Global microenterprise office and BHR/PVC is culminating in a more detailed analysis of the microenterprise data and a deeper look at sustainability issues in these programs. Finally, PVC expects to link the microenterprise and child survival databases into the new PVC performance monitoring database currently underway. PPC is providing guidance to the office on this work.

The office anticipates making a number of revisions to the indicators to increase sensitivity to the nuances of yearly change and to examine the level at which the objectives and indicators are set. This will result in both eliminating and broadening some indicators. For example, last year PVC discussed including a set of Farmer to Farmer service delivery indicators at the SO level. PVC believes that results data emerging from the program’s performance monitoring system has evolved to the point that it can provide valid estimates of program performance. For example, FTF data indicates that as a result of short-term volunteer technical inputs: 33% of the host organizations adopted new or innovative practices; 22% reported increased production; and 20% increased their financial performance.

### Sustainability

PVC has placed additional emphasis on sustainability in all of its programs. While the office does not expect to see immediate evidence of this in the key SO level indicator, some results are beginning to be seen at the IR level. This year 54% of the applications in response to the Child Survival RFA had acceptable sustainability plans, as compared to 39% last year.

PVC has put into place a cluster of actions that are intended to increase financial planning for sustainability among the PVO partners. The Matching Grant Program required business plans as part of the DIP process; designed a training program to assist recipients to build skills in developing business plans to ensure sustainability of program benefits; Sustainability Development Services provided TA to grantees to enhance strategic and business planning; and, CorCom conducted planning meetings to engage the PVO community in developing corporate partnerships.

### Improved Operational and Technical Capacity (IR1)

This indicator looks at PVO planning capacity through rating the quality of project designs. PVC's continued emphasis on managing for results at the annual RFA meeting and during review of the DIPs has resulted in a general improvement in PVO project planning. Although all targets in all sub-areas were not met, PVC is comfortable with the steady increase in all areas of planning capacity since the 1996 baseline. The data shows that PVOs have clearly moved towards project designs with results-oriented (as opposed to input oriented) objectives. Continued emphasis will be placed on the challenge of performance monitoring and data for decision making. Specific attention needs to be directed towards helping PVOs define what level in the chain of results they need to set their objectives and indicators. While the PVOs are adept at using the common intervention and technical indicators, they are less experienced in using capacity building indicators. The IR Team is moving towards broadening this IR to capture change in the full program cycle --- design through implementation and use of performance data to restructure programs beyond the PVC-funded project

### Strengthened Partnership between USAID and US PVOs (IR2)

The office gauges progress in the partnership between USAID and U.S. PVOs, an important element of increasing PVO capability to achieve sustainable service delivery, by reporting on the degree to which the Advisory Committee on Voluntary Foreign Aid (ACVFA) receives Agency endorsement and action on implementing its policy agenda. The listing of Agency actions taken on ACVFA recommendations has been maintained in a "report card." As evidenced by the cumulative percent of recommendations adopted, the effectiveness of the ACVFA has increased and the partnership between USAID and U.S. PVOs strengthened. The new ACVFA membership has less of an Agency reform agenda than the last membership and has expanded into interesting new directions on results reporting, civil society, and non-presence issues. This indicator will be reassessed in the coming months to ensure their future appropriateness.

In addition to ACVFA's policy agenda, PVC tracks the Agency's progress to reach the 40% of development assistance to PVOs, called for by Vice President Gore and endorsed by Agency leadership. PVC uses this as a barometer of the Agency's partnership with U.S. PVOs by virtue of the amount of development assistance that is channeled through the PVO community. This data has been utilized in the Agency reporting to the Senate and in internal documents. Estimated

figures for FY 1998 report a decrease in funding channeled to PVOs from last year (32.8% estimated in 1998; (33.6% actual in 1997). At the rate of change, it appears unlikely that the Agency will meet the 40% by FY 2000. As stated above, discussion as to the relevancy of IR 2 indicators will take place in the near future.

#### Strengthening US PVO and NGO Partnership (IR3)

Linking US PVO development activities to the strengthening of local level partner organizations has been a priority for PVC for the past three years. PVC has very effectively used the RFA process to encourage US PVOs to shift from a direct service delivery role to an intermediary role to support the capacity development of local partners. These efforts have been successful. The targets of all three indicators have either been met or are near completion. The IR team is of the opinion that the current IR and indicators do not adequately capture the dynamism of the USAID-PVO-NGO partnership and has been exploring with its external PVO team members how to redesign the IR and indicators. There is consensus within the IR3 team that one of the indicators should focus on the quality of the partnership rather than the existence of a partnership, which has been the primary focus for the past three years. More importantly, as the new \$2.5 million dollar NGO Capacity Building Initiative will be absorbed under IR3, some adjustments to the IR and its indicators will be needed to properly reflect the results expected from this new intervention. The team plans to have a proposal in place for discussion at the yearly stocktaking meeting in PVC.

#### Improved Mobilization of Resources by PVC's PVO Partners (IR4)

There was a slight increase in the percent of PVOs with a non-diversified funding base in 1997. PVC believes that this ratio of public to private support is essentially at a plateau. The major changes over the past three years are within the "total private support" category. Among the PVC's partners there was a change in private revenue as a portion of total private support. This indicates that more of our partners are diversifying their source of income and engaging in revenue generating activities to stabilize and diversify their funding base. This trend is particularly pronounced among the larger PVOs (revenues > \$50 million), where there has been a steady increase from 1995 to 1997 in (a) private support, (b) private contributions, and (c) private revenue. From 1995 to 1997, mid-size PVOs (revenue from \$25 to \$50 million) have seen an increase in the dollar-value of in-kind contributions and a decrease in private revenue. The dollar amount of total private support in this mid-size group also appears to be declining. To get a better estimate of PVC's effect on PVO financial diversity, the office will continue to track changes in the total private support category and the private revenue stream. The team will consider adding an indicator that is more sensitive to the specific actions PVC is taking to build fiscal diversity in PVC-funded grantees. For example, the Sustainable Development Services project that is charged with assisting PVOs build financial diversity and sustainability reported a substantial increase in the number of PVOs in their working group using revenue generating approaches (39% in 1997 to 81% in 1998).

#### US Public Awareness Raised (IR5)

Based on the results of the phone survey for the FY97 R4 report and the survey conducted at the 1998 RFA meeting, the IR team determined that there was insufficient reason to collect data on the indicator on a yearly basis. PVC management agreed with the proposed plans to conduct the survey in FY2000. The actions taken by PVC that place a priority on informing and educating the public about development needs and successes have largely been successful. The grant

applications across all programs submitted to PVC for assistance contain thoughtful sections on what the PVO applicant is doing to raise public awareness of their activities. For example, the Farmer to Farmer (FTF) program collects data on grantee and volunteer efforts to raise public awareness. The data indicates that over the past two years 50% of the 1,345 FTF volunteers performed public outreach activities on return from their short-term assignments. The IR team will continue to focus on an action agenda to keep this issue a priority, e.g., develop a toolbox for the PVC website that contains information on effective public awareness campaigns, highlighting specific PVO accomplishments. For the annual PVC stocktaking, the team will explore what directions this IR could take in the next reiteration of PVC's strategic plan.

## **2. Performance and prospects**

PVC has actively pursued the key actions outlined in last year's R4: increasing emphasis on PVO/NGO partnering in all RFAs; providing TA and training support for PVO/NGO partnering; expanding collaboration with other Bureaus to improve information sharing and to document and disseminate innovative Agency approaches to capacity building of local NGOs; and increasing direct support to USAID missions for local NGO capacity building.

The internal yearly review of data has also enabled the office to discuss general trends and specific measurement issues that affect our ability to achieve and document performance:

- The plateau in immunization coverage rates seen in a number of countries worldwide will affect PVC's ability to demonstrate progress using the current set of child survival indicators. It is unlikely that we will continue to see an increase in the immunization coverage and indeed we could see a decrease in immunization coverage rates in countries that have reduced investments in core child survival interventions. The Child Survival Division in conjunction with its technical support contractor and the Global Bureau are exploring how the Agency is going to address this issue.
- Demonstrating changes in the sustainability of PVC-funded programs continues to be a measurement and management challenge. We anticipate that it will take several years for the actions taken this fiscal year to result in improved capacity to document program sustainability.
- On the IR level, while the PVOs have moved to more results-oriented objectives in their project design, approximately half of the designs submitted had acceptable indicators. The office is taking steps to assist the PVOs with performance monitoring issues and anticipates continued progress in this area.
- As more mature, high performing PVOs graduate from the Matching Grant Program, the introduction of new, nascent microenterprise PVOs will slow the rate of change in the current indicator.
- The decrease in PVC's budget for FY 1999 is accelerating changes in the Matching Grant Program. With minimal resources available outside the microenterprise earmark, a majority of the Matching Grant portfolio will be in this sector. The program is at risk of no longer mirroring the Agency's strategic objectives, as it has traditionally done.
- To improve our ability to document improvements in PVO capacity, PVC is discussing refinements to the DOSA that will increase its sensitivity and enhance its usefulness as a management tool. PVC anticipates seeing small, steady improvements in DOSA scores.

### **3. Possible adjustments to plans**

This year, PVC will hold a more intensive retreat to do a three-year review of the strategic plan. The office will undergo a DOSA self assessment similar to that taken by our grantees to measure the capacity of PVC as an organization, conduct the annual R4 stocktaking, and put into place the process for updating the strategic plan and performance monitoring plan. After completing three years of data collection and analysis, the office will review the performance monitoring systems, the current make-up of IR teams, identify staff constraints and vulnerabilities in proceeding to make revisions, and assign responsibilities for performance measurement.

### **4. Specific actions the office is taking to manage for results**

The yearly action agenda developed at the post-R4 retreat is an example of how PVC is using performance data that identifies weakness to make operational changes within the programs. For example, the challenges of collecting sustainability data from the project evaluations led to an internal review of the evaluations, resulting in revised evaluation guidance and increased cross-program discussion and learning. This has improved program integration. Secondly, when performance targets were met or the trend indicated that prospects for final achievement was quite strong, PVC either introduced a second set of indicators or collected additional information on which to develop the next generation of indicators. For example, the targets for IR3 are being met, and the IR3 team is now in the process of refocusing the indicator on quality issues. Finally, the IR teams have been particularly effective in transferring best practices and approaches across sectors and programs. For example, a planning matrix that was typical in many of the best designed PVO applications in the Child Survival program was adapted by PVC for use in all the RFAs.

In addition to working towards a more consistent office-wide approach in key operations, PVC is placing emphasis on detailed program-specific data and analysis. The Child Survival Division is re-examining the wealth of data available from PVO projects to develop a child survival annex for next year's R4 report that will be specifically targeted for use in the APR. The current study initiated by the Cooperative Development and Matching Grants programs examines the comparative advantage and lessons learned from cooperative lending and microenterprise development approaches to micofinance. The development and implementation of the office wide database and management information system will support overarching analysis and lead to more effective use of the data and cross-office learning.

**Table 1: SO1 Performance Indicator 2**

<b>Performance Indicator 2:</b> Change in the number of members of formal networks or associations of voluntary organizations			
<b>Unit of Measurement:</b> Combined PVO membership of two networks	<b>Year</b>	<b>Planned</b>	<b>Actual</b>
<p><b>Data Source:</b> Networks records</p> <p>1997: CORE 31 and SEEP 44 members.</p> <p>1998: Core 32 and SEEP 50 members</p> <p><b>Indicator Definition:</b> Measures change in collaboration and self strengthening</p> <p><b>Comments 1998:</b></p> <ul style="list-style-type: none"> <li>• While membership in these two PVC-supported networks has increased, it is important to note that a number of new networks have coalesced around special interest issues and initiatives that PVC has set in motion. These informal networks have resulted in new forms of joint learning and collective action. For example PVC has provided support to a number of new NGO alliances and to business/PVO partnerships</li> <li>• PVC was a key actor in conceptualizing and supporting the emergency of the International Forum on Capacity Building. The May 98 start-up meeting in Brussels provided an arena for Northern and Southern NGOs to set capacity-building priorities. The preparation for the meeting catalyzed intensive regional interest and discussions on implementing capacity building initiatives.</li> <li>• With the proliferation of new networks PVC will rethink the measurement of this indicator in FY99. The objective will be to capture a broader range of “social capital” (joint ventures, networks and linkages) building activities that are critical to implement effective development innovations.</li> </ul>	<b>1996 (B)</b>	-	62
	<b>1997</b>	65	75
	<b>1998</b>	79	82
	<b>1999</b>	83	
	<b>2000</b>	87	

**Table 2: IR1 Performance Indicator 1**

<b>Performance Indicator 1: Percent PVOs that develop quality program plans</b>					
<p><b>Unit of Measurement:</b> Percent (%)</p> <p><b>Data Source:</b> During the applications review score sheets are filled out by MG technical reviewers and CS PVC staff. <b>Indicator Definition:</b> Indicator measures the change in the quality of PVO program planning. <b>Population:</b> All applications in the MG and CS divisions. Applications scored in 1996, 1997 and 1998 were 76, 61 and 73, respectively. <b>Calculation:</b> Numerator: number of program applications that scored acceptable with minor changes, good and excellent. Denominator: total applications</p> <p><b>Criteria developed for five sub areas:</b> 1) Measurable and quantifiable results-oriented objectives (Obj), 2) Appropriate indicators (Ind); 3) Use of state of the art (SOTA) technology, 4) Sustainability (Sust) plans, and 5) Partnerships (Partn). <b>Scoring system:</b> 1) Excellent; 2) Good; 3) Acceptable with minor changes; 4) Acceptable with major changes; and 5) Unacceptable</p> <p><b>Comments 1998:</b></p> <ul style="list-style-type: none"> <li>• There continues to be a steady increase in most areas since the 96 baseline (the decrease from 61% to 52% in the “Ind” category may be the result of incomplete sample in the CS applications in 97).</li> <li>• Improvements can be tied to USAID’s focus on managing for results and the stress that PVC placed on this issue in both the 97 and 98 RFAs. Marked improvements were seen in the MG program in the objectives, indicators and SOTA categories. Marked improvements were seen in the CS program in the sustainability and partnerships.</li> <li>• The PVO capacity to identify valid indicators is a major area of concern that will require additional resources if progress is to be made.</li> <li>• The IR team is looking to improve the quality and consistency of data to be collected in 1999.</li> <li>• DevEd and FTF plans were scored in 1998 but scores were not included in the calculations.</li> </ul>	<b>Year</b>	<b>Quality Scored</b>	<b>Planned</b>	<b>Actual</b>	
		<b>1996 (B)</b>	Obj	-	53%
			Ind	-	39%
			SOTA	-	83%
			Sust	-	37%
			Partn	-	58%
		<b>1997</b>	Obj	58%	57%
			Ind	44%	61%
			SOTA	≥90%	97%
			Sust	42%	52%
			Partn	63%	72%
		<b>1998</b>	Obj	65%	63%
			Ind	65%	52%
			SOTA	≥90%	95%
			Sust	55%	52%
			Partn	75%	77%
		<b>1999</b>	Obj	≥65%	
			Ind	≥65%	
			SOTA	≥90%	
			Sust	≥60%	
Partn			≥80%		

	<b>2000</b>	Obj	≥70%	
		Ind	≥70%	
		SOTA	≥90%	
		Sust	≥60%	
		Partn	≥80%	

**Table 3: IR2 Performance Indicator 2**

<b>Performance Indicator 2: Percentage of USAID program funds channeled through US PVOs</b>			
<p><b>Unit of Measurement:</b> Percent</p> <p><b>Data Source:</b> USAID/M</p> <p><b>Indicator Definition:</b> Measures the amount of development assistance going to the PVO community</p> <p><b>Comments 1998:</b></p> <ul style="list-style-type: none"> <li>This indicator is calculated by the Management Bureau.</li> <li>*Data for FY98 and FY99 are estimates.</li> </ul>	<b>Year</b>	<b>Planned</b>	<b>Actual</b>
	<b>1995 (B)</b>	-	30.5%
	<b>1996</b>	N/A	34%
	<b>1997</b>	37%	33.6%
	<b>1998 (T)</b>	40%	32.8%*
	<b>1999</b>	40%	33.6%*
	<b>2000</b>	40%	

**Table 4: IR 3 Performance Indicator 1**

<b>Performance Indicator 1: Percent of PVC grants where there has been a clear transfer of resources by PVOs to local level partners.</b>			
<b>Unit of Measurement:</b> Percent (%)	<b>Year</b>	<b>Planned</b>	<b>Actual</b>
<b>Data Source:</b> Phone survey			
<b>Indicator Definition:</b> Measures the change in resource transfer to Southern NGOs.	<b>1996 (B)</b>	-	55%
<p><b>Sample:</b> Random sample of cooperative agreements from the MG, CS, CD and FtF programs were drawn; 30 in FY96, 61 in FY97 and 72 in FY98. Project managers were interviewed in all years. In FY97, survey was expanded to include actual funds transferred and external resources mobilized.</p> <p><b>Comments 1998:</b></p> <ul style="list-style-type: none"> <li>An increase from 64% in 1997 to 81% in 1998 was observed. In the RFA from the last two years grantees were required to have a local partner. The increase may be the result of greater awareness about partnerships and greater transfer of resources due to changes in the RFA. Targets are expected to be met.</li> </ul>	<b>1997</b>	60%	64%
	<b>1998</b>	75%	82%
	<b>1999</b>	90%	
	<b>2000</b>	100%	

**Table 5: IR3 Performance Indicator 2**

<b>Performance Indicator 2:</b> Percent of PVC grants where the PVO has clearly established formal partnerships with local partners.			
<b>Unit of Measurement:</b> Percent (%)	<b>Year</b>	<b>Planned</b>	<b>Actual</b>
<p><b>Data Source:</b> Phone survey</p> <p><b>Indicator Definition:</b> Measures the change in the percent of PVC grants in which the grantee has established formal partnerships with at least one local partner.</p> <p><b>Sample:</b> Random sample of cooperative agreements from the MG, CS, CD and FtF programs were drawn; 30 in FY96, 61 in FY97 and 72 in FY98. Project managers were interviewed in all years.</p> <p><b>Comments 1998:</b></p> <ul style="list-style-type: none"> <li>Local partners are now required in the MG and CS RFAs and are part of all CD and FtF activities. The IR3 team is planning to redevelop this indicator.</li> </ul>	<b>1996 (B)</b>	-	50%
	<b>1997</b>	65%	75%
	<b>1998</b>	≥75%	100%
	<b>1999</b>	≥75%	
	<b>2000</b>	>95%	

**Table 6: IR3 Performance Indicator 3**

<b>Performance Indicator 3:</b> Percent of PVC grants in which local partners have access to the internet.				
<p><b>Unit of Measurement:</b> Percent (%)</p> <p><b>Data Source:</b> Phone survey</p> <p><b>Indicator Definition:</b> Measures the change in access to communication technologies</p> <p><b>Sample:</b> Random sample of cooperative agreements from the MG, CS, CD and FtF programs were drawn; 30 in FY96, 61 in FY97 and 72 in FY98. Project managers were interviewed in all years.</p> <p><b>Comments 1998:</b></p> <ul style="list-style-type: none"> <li>The target for 1998 was met and a slow increase is expected for the next two years. Indicator depends on availability of internet and cost of the service. The survey found that only 16% of grantees are helping their partners with Y2K problems.</li> </ul>	<b>Year</b>	<b>Planned</b>	<b>Actual</b>	
		<b>1996 (B)</b>	-	46%
		<b>1997</b>	54%	70%
		<b>1998</b>	75%	74%
		<b>1999</b>	80%	
		<b>2000</b>	80%	

**Table 7: IR4 Performance Indicator 1**

<b>Performance Indicator 1:</b> The percent of PVC grantees with a non-diversified funding base				
<p><b>Unit of Measurement:</b> Percent (%) PVC grantees with a "less-diverse funding base". <b>Data Source:</b> VOLAG. Data reported is for 1997. <b>Sample: Population:</b> All active PVC grantees in CS, MG, FtF, CD division; 46 in 1996, 48 in 1995. <b>Criteria:</b> The degree of "privateness" was calculated for each PVO. PVOs were categorized into "diverse funding base" and "less-diverse funding base". PVOs with 70% of total revenue coming from US government sources were classified as "less-diverse". Corrections were made in 1995 data (B). <b>Indicator Definition:</b> Indicator measures the PVO dependence on USAID funds.</p> <p><b>Comments 1998:</b></p> <ul style="list-style-type: none"> <li>There was a slight increase in the percent of PVOs with a non-diversified funding base in 1997. The current privateness data is relatively high. It may be unrealistic to expect that this ratio will change substantially over time.</li> <li>In addition to looking at the larger public/private ratio, PVC has been tracking changes in the various streams that make up total private support. Total private support includes three revenue streams: in-kind contributions, private contributions and private revenue. Over a three-year period the dollar amount of total private support to PVOs increased. There was a noticeable increase from 1995 to 1996 and 1997. However, when examined by PVO size, total private support remained relatively static for most organizations. The exception was among the largest PVOs (revenues &gt; \$50 million), where there was a steady increase from 1995 to 1997 in (a) private support, (b) private contributions; and (c) private revenue. From 1995 to 1997, mid-size PVOs (revenue from \$25 to \$50 million) saw an increase in the dollar amount of in-kind contributions and a decrease in the private revenue stream. The dollar amount of total private support in this mid-size group also appears to be declining.</li> <li>To track PVC effect on PVO financial diversity PVC will continue to track changes in the private revenue stream and consider bring on-line an additional indicator that is sensitive to the specific actions PVC is taking to build fiscal diversity in PVC-funded grantees.</li> </ul>	<b>Year</b>	<b>Planned</b>	<b>Actual</b>	
		<b>1994</b>	-	16%
		<b>1995 (B)</b>	-	17%
		<b>1996</b>	17%	13%
		<b>1997</b>	11%	18%
		<b>1998</b>		
		<b>1999</b>		
		<b>2000</b>		

## **Part III: Resource Request**

### **Rationale for Program Resource Level**

PVC manages six competitive grant programs and one non-competitive program in support of capacity building and field activities of more than 70 PVOs in more than 120 countries. Applications for PVC's programs have dramatically increased over last years' 50% increase in the number of applications and total funding requests of over \$50 million. This year, funding requests exceed \$110 million. PVC will again this year reject proposals that review committees have recommended for funding. As stated in last year's R4, PVC requires additional resources just to sustain and accelerate the progress that is being made toward achieving its key intermediate results such as strengthened partnerships between U.S. PVOs and local NGOs, and PVO resource mobilization.

Following last year's BBS review in which BHR requested additional funds to assist Missions with local NGO capacity building, as well as to intensify efforts in challenging areas such as improving relations between local NGOs and host-country governments, a new program was mandated by the Administrator. In his decision memo of October 2, 1998, the Administrator authorized an increase in PVC's OYB by \$2.5 million to do NGO strengthening at the Mission level. Last year's OYB was \$47.6, a level that if straight-lined, would be insufficient to enable PVC to design and initiate the new program in FY 2000. For that reason, PVC's request for FY 2000 is at variance with the CP level. \$50 million is the minimum required to incorporate sufficient funds to implement this modest yet highly visible program.

As it turned out, however, our budget was reduced in FY 1999. BHR received a major reduction in DA of \$2 million. The full burden of this reduction has fallen on PVC since our entire budget is funded by DA, except for the Farmer-to-Farmer Program. This unexpected cut has created severe program disruption when compounded by earmark directives that parallel neither the mortgage commitments nor sectors that reflect the FY 1998 PVO proposals recently reviewed in the annual competition. Our current OYB of \$45.7 million places PVC at the lower FY 1996 budget level and represents a 4% reduction below last year's \$47.6 million level. This serious reduction will affect PVC's ability to support new PVO activities this year. The unanticipated budget reduction will be absorbed primarily by the Matching Grant Program, an extremely important and popular program, which provides capacity building in support of PVO programs in all Agency sectors. At the reduced level, the program is barely be able to support its mortgage commitments this year for programs that run 3-5 years, with enough funds left over to initiate a less than adequate number of new grant proposals recently recommended by the review committee.

As USAID and its development partners grapple with post-Cold War realities, it has become increasingly apparent that broad-based participation in development is essential to advance our goal of democratization and enhance the prospects for sustainability of our investments. PVC directly encourages our PVO partners to transfer institutional and technical capacity to local NGOs through its Matching Grants program; we also provide training to U.S.PVOs to build their

capacity to engage in productive partnerships with local organizations. These efforts are bearing fruit; however, Missions have let us know that they, too, need information and technical assistance in order to develop and support successful civil society/NGO programs -- particularly in the area of NGO capacity building The Administrator, acknowledging Mission needs, approved an additional \$2.5 million in FY 2000 funds for a new program to provide direct support to USAID Missions to increase their ability to work effectively with local NGOs and strengthen their capacity. PVC will convene an Agency-wide design group, drawing on Mission staff and the Capacity Building Working Group to develop the results framework for this new program.

**PVC BUDGET SUMMARY**

	<b>FY 1996</b>	<b>FY 1997</b>	<b>FY 1998</b>	<b>FY 1999</b>	<b>FY 2000</b>	<b>FY 2001</b>
<b>TOTAL</b>	<b>\$45.2</b>	<b>\$46.6 M</b>	<b>\$47.6 M</b>	<b>\$45.2</b>	<b>\$50 M</b>	<b>\$50 M</b>

The CP level for FY 2000, \$47.8 million, will only restore PVC to the FY 1998 level. This is the minimum necessary to sustain existing programs. This level was the basis upon which BHR/PVC made its BBS request to initiate the NGO strengthening program. PVC requires additional funds above the FY 2000 CP level implement the NGO strengthening program in FY 2000. It is for this reason that PVC is requesting a modest 4% over the CP level.

**Performance and Allocation**

Great efforts have been made and successes achieved toward PVC’s strategic objective and in establishing PVC’s leadership role for the PVO community and the Agency in PVO capacity building. Strong performance during the last two years has been documented, with steady progress made in achievement of PVC’s SO and IRs, as discussed earlier in this report.

Despite strong performance, PVC’s FY 1999 OYB was reduced by 4%. Given the possibility that performance can influence resource allocations, PVC presents a strong case for the \$50.3 million level requested for FY 2000. This would restore PVC to last year’s level necessary to sustain its current portfolio and provide additional funds to implement the NGO strengthening program mandated by the Administrator.

PVC requests the \$50.3 million level for both FY 2000 and FY 2001. This will ensure some continuity of the program in the area of PVO/NGO partnering and local NGO development, including capacity building for local NGOs. The funds will also permit PVC to pursue some highly promising approaches to PVO/business partnerships through CorCom (Corporate Community Investment) for increased PVO private resource mobilization in support of IR 4. In addition, some of PVC’s capacity building support mechanisms are entering their final year of activity. These activities assist PVOs with sustainability and business planning, PVO/NGO

partnering methodologies, and other capacity building support. PVC will develop the next generation of capacity building technical assistance for PVOs during the coming year. The requested budget level for FY 2000 will be a critical element in planning to develop technical assistance that will meet grantees' capacity building needs for several years to come.

Another element critical to PVC's success in achieving its strategic objective is a higher proportion of discretionary funding and relief from even higher and narrower earmark directives. FY 1999 has presented PVC with more earmark restrictions than ever before despite the fact that these are soft directives not stemming from legislative bill language. There is little opportunity within the Agency to present results information and to offer a well-substantiated rationale to assist in reducing or eliminating some directives. This has been further exacerbated by the 4% cut, making it almost impossible to apply the earmark categories to currently funded programs. This combination has posed the most serious budget dilemma for PVC than it has had in many years, if not historically. This has made the preservation of a competitive approach to fund worthy PVO activities more difficult.

The directives proposed for FY 2000 even further constrain PVC's ability to manage a comprehensive and responsible program. The NGO Strengthening Program is, by its very nature, a program to build civil society (DG). We are directed to design this program at the same time the budget for DG is less than half of the FY 1998 level. An examination of the new Primary and Secondary Codes clearly reveals that Economic Growth has become far more restrictive and now focuses primarily on market development. The addition of an Agriculture directive would be helpful since cooperative development programs focus in this area. However, PVC was not allotted any funding from that category, although we have a large portfolio of agriculture programs (approximately \$2.2 million). In addition, the level for Basic Education for FY 2000 is higher than this year's, which we are unable to program in FY 1999.

PVC has welcomed, and even solicited, the opportunity to provide results and impact data showing that the objectives of the surgeries for blind children earmark established almost ten years ago have been achieved. The one million dollars restricted for this activity each year denies these funds to other worthy PVO activities requesting support each year. Nevertheless, PVC will obligate \$2 million in FY 98 and 99 funds for this activity this year to carry blind children's surgeries for the next five years. This is being done with the request again this year and expectation that PVC will be given an opportunity to share achievements and to convince stakeholders that it is time to reassess this directive. PVC requests an opportunity to provide information on sectors supported in the Matching Grants Program, in particular, so that budget directive allocations can be better rationalized, providing sufficient allotments in democracy and environment, health, and economic growth next year. The basic education direction does not reflect PVC's grant portfolio and will be held over until next year should a grant proposal in this area be presented for funding consideration.

### **Workforce and Operating Expenses**

PVC's programs supporting the capacity building SO and intermediate results are labor intensive on both program and management sides. Part of this is due to high staff motivation and PVC's

vigorous efforts to strengthen PVOs and their NGO partners. Staffing constraints over the last three years have thus impeded our ability to accelerate our progress toward achieving the objectives outlined in this report. The other main constraint is funding levels that have eroded overall levels and forced higher directives, limiting flexibility and innovation. The demands of performance monitoring and reporting have not diminished as a result of recent streamlining of the R4, as data must still be tracked and refinements developed and operationalized for corrective action and programmatic growth. PVC has brought on two RSSAs to help meet the demands of the performance monitoring and reporting, which is instrumental to greater efforts toward program integration in grant management and documentation, and to provide support for IR 3 activities to strengthen PVO/NGO partnerships. PVC now has 19 direct hire positions since the loss of a FTE last year. Seventeen direct hire staff are currently on board. An important vacancy to manage the large microenterprise portfolio has been filled, and a candidate has been selected for the child survival and health position. The Deputy Director is currently managing the office in an Acting capacity until a new Director is named. PVC complements its direct hire staff with two PSCs in the Farmer to Farmer Program.

PVC urgently requires two additional FTEs for FY2000 and 2001 to raise the USDH staffing level from 19 to 21. One is a new USDH project officer for PVO Child Survival program which has become the office's largest program and currently has only two USDH project officers to manage more than seventy PVO activities around the world, representing a value of over \$60 million. In addition, the second most active sector after microenterprise in the Matching Grant portfolio is health. Currently, PVO health activities are not being managed due to the lack of a PHN officer to manage the growing portfolio of health activities in the division.

PVC is requesting an increase in its OE travel budget in order to properly manage its grant activities. PVC is requesting a \$20,000 increase between FY 99 and 2001. The requests include an additional \$4,000 for an annual retreat which has become necessary for stocktaking following the R4 and to assess annual performance. The request is the minimum travel budget necessary for management of matching grants and child survival grants to PVOs in order to provide monitoring of new programs and to ensure closer monitoring of our programs as called for in the new evaluation and program monitoring plan. In addition, it has become necessary to maintain involvement in the International Forum on Capacity Building and to develop the NGO strengthening program, which will require additional travel. It should be noted that OE funds are required to maintain the management and professional support services contract which carries out the analyses for the Congressionally-mandated PVO privateness requirement and PVO registration, as well as to compile emphasis area coding information and other reports.

**PVC WORKFORCE AND OPERATING EXPENSES**

<b>FY Program Budget</b>		<b>FTEs (USDH)</b>	<b>OE Travel Budget</b>
<b>FY 1996</b>	<b>\$45.2M</b>	<b>20</b>	<b>\$50,852</b>
<b>FY 1997</b>	<b>\$46.6 M</b>	<b>20</b>	<b>\$55,000</b>
<b>FY 1998</b>	<b>\$ 47.6 M</b>	<b>19</b>	<b>\$50,000</b>
<b>FY 1999</b>	<b>\$45.6 M</b>	<b>19</b>	<b>\$54,000</b>
<b>FY 2000</b>	<b>\$50.0 M</b>	<b>21</b>	<b>\$74,000</b>
<b>FY 2001</b>	<b>\$50.0 M</b>	<b>21</b>	<b>\$74,000</b>

## FY 1999 Budget Request by Program/Country

Program/Country: BHR/PVC  
(Enter either DA/CSD; ESF; NIS; or SEED)

14-Apr-99  
03:19 PM

Approp Acct: DA/CS  
Scenario: Base Level

FY 1999 Request															Est. S.O. Expenditures	Est. S.O. Pipeline End of FY 99
Unilateral	Total	Micro-Enterprise	Agriculture	Other Economic Growth	Children's Basic Education (*)	Other HCD	Population	Child Survival (*)	Infectious Diseases (*)	HIV/AIDS (*)	Health Promotion (*)	Environ	D/G			
SO 1: INCREASED CAPABILITY OF PVC'S PARTNERS TO ACHIEVE SUSTAINABLE SERVICE DELIVERY																
Unilateral	0															
DV	23,926	8,000		13,726								1,000	1,200			
	23,926	8,000	0	13,726	0	0	0	0	0	0	0	1,000	1,200	0	0	0
Unilateral	0															
CD	21,750				720	1,000		19,030		1,000						
	21,750	0	0	0	720	1,000	0	19,030	0	1,000	0	0	0	0	0	0
Unilateral	0															
	0															
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Unilateral	0															
	0															
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Unilateral	0															
	0															
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Unilateral	0															
	0															
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Total Unilateral	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
<b>TOTAL PROGRAM</b>	<b>45,676</b>	<b>8,000</b>	<b>0</b>	<b>13,726</b>	<b>720</b>	<b>1,000</b>	<b>0</b>	<b>19,030</b>	<b>0</b>	<b>1,000</b>	<b>0</b>	<b>1,000</b>	<b>1,200</b>	<b>0</b>	<b>0</b>	<b>0</b>

FY 99 Request Agency Goal Totals	
Econ Growth	21,726
Democracy	1,200
HCD	1,720
PHN	20,030
Environment	1,000
Program ICASS	0
GCC (from all Goals)	0

FY 99 Account Distribution (DA only)	
Dev. Assist Program	45,676
Dev. Assist ICASS	
Dev. Assist Total:	45,676
CSD Program	0
CSD ICASS	
CSD Total:	0

Prepare one set of tables for each appropriation Account  
Tables for DA and CSD may be combined on one table.  
For the DA/CSD Table, columns marked with (\*) will be funded from the CSD Account

## FY 2000 Budget Request by Program/Country

Program/Country: BHR/PVC  
(Enter either DA/CSD; ESF; NIS; or SEED)

14-Apr-99  
03:19 PM

Approp Acct: DA/C:  
Scenario: Base Level

FY 2000 Request															Est. S.O. Expenditures	Est. S.O. Pipeline End of FY 00
Unilateral	Total	Micro-Enterprise	Agriculture	Other Economic Growth	Children's Basic Education (*)	Other HCD	Population	Child Survival (*)	Infectious Diseases (*)	HIV/AIDS (*)	Health Promotion (*)	Environ	D/G			
SO 1: INCREASED CAPABILITY OF PVC'S PARTNERS TO ACHIEVE SUSTAINABLE SERVICE DELIVERY															Year of Final Oblig:	
Unilateral	0															
DV	28,110	8,000		16,980								2,600	530			
	28,110	8,000	0	16,980	0	0	0	0	0	0	0	2,600	530	0	0	0
															Year of Final Oblig:	
Unilateral	0															
CD	22,223				1,240	1,203		18,800		980						
	22,223	0	0	0	1,240	1,203	0	18,800	0	980	0	0	0	0	0	0
															Year of Final Oblig:	
Unilateral	0															
	0															
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
															Year of Final Oblig:	
Unilateral	0															
	0															
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
															Year of Final Oblig:	
Unilateral	0															
	0															
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
															Year of Final Oblig:	
Unilateral	0															
	0															
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
															Year of Final Oblig:	
Unilateral	0															
	0															
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
															Year of Final Oblig:	
Total Unilateral	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
<b>TOTAL PROGRAM</b>	<b>50,333</b>	<b>8,000</b>	<b>0</b>	<b>16,980</b>	<b>1,240</b>	<b>1,203</b>	<b>0</b>	<b>18,800</b>	<b>0</b>	<b>980</b>	<b>0</b>	<b>2,600</b>	<b>530</b>	<b>0</b>	<b>0</b>	<b>0</b>

FY 00 Request Agency Goal Totals	
Econ Growth	24,980
Democracy	530
HCD	2,443
PHN	19,780
Environment	2,600
Program ICASS	0
GCC (from all Goals)	0

FY 00 Account Distribution (DA only)	
Dev. Assist Program	50,333
Dev. Assist ICASS	0
Dev. Assist Total:	50,333
CSD Program	0
CSD ICASS	0
CSD Total:	0

Prepare one set of tables for each appropriation Account  
Tables for DA and CSD may be combined on one table.  
For the DA/CSD Table, columns marked with (\*) will be funded from the CSD Account

## FY 2001 Budget Request by Program/Country

Program/Country: BHR/PVC  
(Enter either DA/CSD; ESF; NIS; or SEED)

14-Apr-99  
03:19 PM

Approp Acct: DA/C:  
Scenario: Base Level

FY 20001 Request															Est. S.O. Expenditures	Est. S.O. Pipeline End of FY 01	Future Cost (POST-2001)
Unilateral	Total	Micro-Enterprise	Agriculture	Other Economic Growth	Children's Basic Education (*)	Other HCD	Population	Child Survival (*)	Infectious Diseases (*)	HIV/AIDS (*)	Health Promotion (*)	Environ	D/G				
SO 1: INCREASED CAPABILITY OF PVC'S PARTNERS TO ACHIEVE SUSTAINABLE SERVICE DELIVERY															Year of Final Oblig:		
Unilateral	0																
DV	28,110	8,000		16,980								2,600	530				
	28,110	8,000	0	16,980	0	0	0	0	0	0	0	2,600	530	0	0	0	0
															Year of Final Oblig:		
Unilateral	0																
	22,223				1,240	1,203		18,800		980							
	22,223	0	0	0	1,240	1,203	0	18,800	0	980	0	0	0	0	0	0	0
															Year of Final Oblig:		
Unilateral	0																
	0																
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
															Year of Final Oblig:		
Unilateral	0																
	0																
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
															Year of Final Oblig:		
Unilateral	0																
	0																
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
															Year of Final Oblig:		
Unilateral	0																
	0																
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
															Year of Final Oblig:		
Unilateral	0																
	0																
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
															Year of Final Oblig:		
Unilateral	0																
	0																
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
															Year of Final Oblig:		
Total Unilateral	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
<b>TOTAL PROGRAM</b>	<b>50,333</b>	<b>8,000</b>	<b>0</b>	<b>16,980</b>	<b>1,240</b>	<b>1,203</b>	<b>0</b>	<b>18,800</b>	<b>0</b>	<b>980</b>	<b>0</b>	<b>2,600</b>	<b>530</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>

FY 01 Request Agency Goal Totals	
Econ Growth	24,980
Democracy	530
HCD	2,443
PHN	19,780
Environment	2,600
Program ICASS	0
GCC (from all Goals)	0

FY 01 Account Distribution (DA only)	
Dev. Assist Program	50,333
Dev. Assist ICASS	0
Dev. Assist Total:	50,333
CSD Program	0
CSD ICASS	0
CSD Total:	0

Prepare one set of tables for each appropriation Account  
Tables for DA and CSD may be combined on one table.  
For the DA/CSD Table, columns marked with (\*) will be funded from the CSD Account

Workforce Tables

Org <u>BHR/PVC</u>																	
End of year On-Board									Total SO/SpO	Org. Mgmt.	Fin. Mgmt	Admin. Mgmt	Con-tract	All Legal	Other	Total Mgmt.	Total Staff
<b>FY 1999 Estimate</b>	SO 1	SO 2	SO 3	SO 4	SO 5	SpO1	SpO2										
<b>OE Funded: 1/</b>																	
U.S. Direct Hire	19							19								0	19
Other U.S. Citizens								0								0	0
FSN/TCN Direct Hire								0								0	0
Other FSN/TCN								0								0	0
Subtotal	19	0	0	0	0	0	0	19	0	0	0	0	0	0	0	0	19
<b>Program Funded 1/</b>																	
U.S. Citizens	4							4								0	4
FSNs/TCNs								0								0	0
Subtotal	4	0	0	0	0	0	0	4	0	0	0	0	0	0	0	0	4
Total Direct Workforce	23	0	0	0	0	0	0	23	0	0	0	0	0	0	0	0	23
TAACS								0								0	0
Fellows	2							2								0	2
IDIs								0								0	0
Subtotal	2	0	0	0	0	0	0	2	0	0	0	0	0	0	0	0	2
<b>TOTAL WORKFORCE</b>	25	0	0	0	0	0	0	25	0	0	0	0	0	0	0	0	25

1/ Excludes TAACS, Fellows, and IDIs

Workforce Tables

	SO 1	SO 2	SO 3	SO 4	SO 5	SpO1	SpO2	Total SO/SpO	Org. Mgmt.	Fin. Mgmt	Admin. Mgmt	Con-tract	Legal	All Other	Total Mgmt.	Total Staff
<b>FY 2000 Target</b>																
<b>OE Funded: 1/</b>																
U.S. Direct Hire	21							21							0	21
Other U.S. Citizens								0							0	0
FSN/TCN Direct Hire								0							0	0
Other FSN/TCN								0							0	0
Subtotal	21	0	0	0	0	0	0	21	0	0	0	0	0	0	0	21
<b>Program Funded 1/</b>																
U.S. Citizens	4							4							0	4
FSNs/TCNs								0							0	0
Subtotal	4	0	0	0	0	0	0	4	0	0	0	0	0	0	0	4
Total Direct Workforce	25	0	0	0	0	0	0	25	0	0	0	0	0	0	0	25
TAACS								0							0	0
Fellows	2							2							0	2
IDIs								0							0	0
Subtotal	2	0	0	0	0	0	0	2	0	0	0	0	0	0	0	2
<b>TOTAL WORKFORCE</b>	27	0	0	0	0	0	0	27	0	0	0	0	0	0	0	27

<b>FY 2000 Request</b>																
<b>OE Funded: 1/</b>																
U.S. Direct Hire	21							21							0	21
Other U.S. Citizens								0							0	0
FSN/TCN Direct Hire								0							0	0
Other FSN/TCN								0							0	0
Subtotal	21	0	0	0	0	0	0	21	0	0	0	0	0	0	0	21
<b>Program Funded 1/</b>																
U.S. Citizens	4							4							0	4
FSNs/TCNs								0							0	0
Subtotal	4	0	0	0	0	0	0	4	0	0	0	0	0	0	0	4
Total Direct Workforce	25	0	0	0	0	0	0	25	0	0	0	0	0	0	0	25
TAACS								0							0	0
Fellows	2							2							0	2
IDIs								0							0	0
Subtotal	2	0	0	0	0	0	0	2	0	0	0	0	0	0	0	2
<b>TOTAL WORKFORCE</b>	27	0	0	0	0	0	0	27	0	0	0	0	0	0	0	27

1/ Excludes TAACS, Fellows, and IDIs

Workforce Tables

Org_BHR/PVC								Total						Total	Total	
End of year On-Board							SO/SpO	Org.	Fin.	Admin.	Con-	All	Total	Total		
<b>FY 2001 Target</b>	SO 1	SO 2	SO 3	SO 4	SO 5	SpO1	SpO2	Staff	Mgmt.	Mgmt	Mgmt	tract	Legal	Other	Mgmt.	Staff
<b>OE Funded: 1/</b>																
U.S. Direct Hire	21							21							0	21
Other U.S. Citizens								0							0	0
FSN/TCN Direct Hire								0							0	0
Other FSN/TCN								0							0	0
Subtotal	21	0	0	0	0	0	0	21	0	0	0	0	0	0	0	21
<b>Program Funded 1/</b>																
U.S. Citizens	4							4							0	4
FSNs/TCNs								0							0	0
Subtotal	4	0	0	0	0	0	0	4	0	0	0	0	0	0	0	4
Total Direct Workforce	25	0	0	0	0	0	0	25	0	0	0	0	0	0	0	25
TAACS																
Fellows	2							2							0	2
IDIs								0							0	0
Subtotal	2	0	0	0	0	0	0	2	0	0	0	0	0	0	0	2
<b>TOTAL WORKFORCE</b>	27	0	0	0	0	0	0	27	0	0	0	0	0	0	0	27

<b>FY 2001 Request</b>																
<b>OE Funded: 1/</b>																
U.S. Direct Hire	21							21							0	21
Other U.S. Citizens								0							0	0
FSN/TCN Direct Hire								0							0	0
Other FSN/TCN								0							0	0
Subtotal	21	0	0	0	0	0	0	21	0	0	0	0	0	0	0	21
<b>Program Funded 1/</b>																
U.S. Citizens	4							4							0	4
FSNs/TCNs								0							0	0
Subtotal	4	0	0	0	0	0	0	4	0	0	0	0	0	0	0	4
Total Direct Workforce	25	0	0	0	0	0	0	25	0	0	0	0	0	0	0	25
TAACS																
Fellows	2							2							0	2
IDIs								0							0	0
Subtotal	2	0	0	0	0	0	0	2	0	0	0	0	0	0	0	2
<b>TOTAL WORKFORCE</b>	27	0	0	0	0	0	0	27	0	0	0	0	0	0	0	27

1/ Excludes TAACS, Fellows, and IDIs

Workforce

MISSION :

**BHR/PVC**

**USDH STAFFING REQUIREMENTS BY SKILL CODE**

<b>BACKSTOP (BS)</b>	<b>NO. OF USDH EMPLOYEES IN BACKSTOP FY 1999</b>	<b>NO. OF USDH EMPLOYEES IN BACKSTOP FY 2000</b>	<b>NO. OF USDH EMPLOYEES IN BACKSTOP FY 2001</b>	<b>NO. OF USDH EMPLOYEES IN BACKSTOP FY 2002</b>
<b>01 SMG</b>	1	1	1	1
<b>02 Program Officer</b>	14	15	15	15
<b>03 EXO</b>				
<b>04 Controller</b>				
<b>05/06/07 Secretary</b>	2	2	2	2
<b>10 Agriculture</b>				
<b>11 Economics</b>				
<b>12 GDO</b>				
<b>12 Democracy</b>				
<b>14 Rural Development</b>				
<b>15 Food for Peace</b>				
<b>21 Private Enterprise</b>				
<b>25 Engineering</b>				
<b>40 Environment</b>				
<b>50 Health/Pop.</b>	2	3	3	3
<b>60 Education</b>				
<b>75 Physical Sciences</b>				
<b>85 Legal</b>				
<b>92 Commodity Mgt</b>				
<b>93 Contract Mgt</b>				
<b>94 PDO</b>				
<b>95 IDI</b>				
<b>Other*</b>				
<b>TOTAL</b>	<b>19**</b>	<b>21</b>	<b>21</b>	<b>21</b>

Please e-mail this worksheet  
in either Lotus or Excel to:  
Maribeth Zankowski  
@hr.ppim@aidw  
as well as include it with  
your R4 submission.

\*please list occupations covered by other if there are any

\*\*19 authorized, 17 on board

OC	Resource Category Title	FY 1999 Estimate	FY 2000 Target	FY 2000 Request	FY 2001 Target	FY 2001 Request
11.8	<b>Special personal services payment:</b> IPA/Details-In/PASAs/RSSAs Salaries	Do not enter data on this line.				
	<b>Subtotal OC 11.8</b>	0.0	0.0	0.0	0.0	0.0
12.1	<b>Personnel Benefits</b> IPA/Details-In/PASAs/RSSAs Salaries	Do not enter data on this line.				
	<b>Subtotal OC 12.1</b>	0.0	0.0	0.0	0.0	0.0
21.0	<b>Travel and transportation of person:</b> <b>Training Travel</b>	Do not enter data on this line.				
	<b>Operational Travel:</b>	Do not enter data on this line.				
	Site Visits - Headquarters Personnel	50.0	51.0	70.0	70.0	70.0
	Site Visits - Mission Personnel					
	Conferences/Seminars/Meetings/Retreats	4.0	4.0	4.0	4.0	4.0
	Assessment Travel					
	Impact Evaluation Travel					
	Disaster Travel (to respond to specific disasters)					
	Recruitment Travel					
	Other Operational Travel					
	<b>Subtotal OC 21.0</b>	54.0	55.0	74.0	74.0	74.0
23.3	<b>Communications, Utilities, and Miscellaneous Costs:</b> Commercial Time Sharing	Do not enter data on this line.				
	<b>Subtotal OC 23.3</b>	0.0	0.0	0.0	0.0	0.0
24.0	<b>Printing &amp; Reproduction</b> Subscriptions & Publication:	Do not enter data on this line.				
	<b>Subtotal OC 24.0</b>	0.0	0.0	0.0	0.0	0.0
25.1	<b>Advisory and assistance service:</b> Studies, Analyses, & Evaluations Management & Professional Support Services Engineering & Technical Services	Do not enter data on this line.				
	<b>Subtotal OC 25.1</b>	1,000.0	1,000.0	1,000.0	1,000.0	1,000.0
25.2	<b>Other services</b> Non-Federal Audits Grievances/Investigations Manpower Contracts Other Miscellaneous Services Staff training contracts	Do not enter data on this line.				
	<b>Subtotal OC 25.2</b>	0.0	0.0	0.0	0.0	0.0
25.3	<b>Purchase of goods and services from Government:</b> DCAA Audits HHS Audits All Other Federal Audits Reimbursements to Other USAID Accounts All Other Services from other Gov't. Agencies	Do not enter data on this line.				
	<b>Subtotal OC 25.3</b>	0.0	0.0	0.0	0.0	0.0
25.7	<b>Operation &amp; Maintenance of Equipment &amp; Storage</b>	Do not enter data on this line.				
	<b>Subtotal OC 25.7</b>	0.0	0.0	0.0	0.0	0.0
25.8	<b>Subsistence and support of persons (contract or Gov't.)</b>	Do not enter data on this line.				
	<b>Subtotal OC 25.8</b>	0.0	0.0	0.0	0.0	0.0
26.0	<b>Supplies and Materials</b>	Do not enter data on this line.				
	<b>Subtotal OC 26.0</b>	0.0	0.0	0.0	0.0	0.0
31.0	<b>Equipment</b> ADP Software Purchases ADP Hardware Purchases	Do not enter data on this line.				
	<b>Subtotal OC 31.0</b>	0.0	0.0	0.0	0.0	0.0
	<b>TOTAL BUDGET</b>	1,054.0	1,055.0	1,074.0	1,074.0	1,074.0