



**U.S. Agency for International Development
Bureau for Global Health, Office of HIV/AIDS**

**Working with USAID: An Introductory Workshop
for Community- and Faith-Based Organizations**

Grand Hyatt at Washington Center
Washington, D.C.

November 5–6, 2003

Prepared by

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Acronyms and Abbreviations

ACVFA	Advisory Committee On Voluntary Foreign Aid
APS	Annual Program Statement
ARV	antiretroviral
CBO	community-based organization
CDO	cooperative development organization
CTO	Cognizant Technical Officer
DCAA	Defense Contract Audit Agency
FAR	Federal Acquisition Regulation
FBO	faith-based organization
M&E	monitoring and evaluation
MTC	mother-to-child
NGO	nongovernmental organization
NICRA	Negotiated Indirect Cost Rate Agreement
OFBCI	Office of Faith-Based Community Initiatives
OMB	Office of Management and Budget
OVC	orphans and vulnerable children
PEPFAR	President's Emergency Plan for AIDS Relief
PPR	Past Performance Reference
PVC	Office of Private and Voluntary Cooperation
PVC-ASHA	Office of Private and Voluntary Cooperation-American Schools and Hospitals Abroad
PVO	private voluntary organization
RFA	Request For Application (for grants)
RFP	Request For Proposals (for contracts)
UNICEF	United Nations Children's Fund
U.S.	United States
USAID	United States Agency for International Development
USG	United States Government

Wednesday, November 5, 2003

I. Introduction

About 190 people from 145 private voluntary organizations (PVOs) attended “Working with USAID: An Introductory Workshop for Community- and Faith-based Organizations,” which was held at the Grand Hyatt Hotel in Washington, D.C., November 5–6, 2003, and sponsored by the United States Agency for International Development (USAID) Bureau for Global Health, Office of HIV/AIDS. USAID, U.S. Department of State, and congressional staff also attended the workshop. With a goal of introducing community and faith-based organizations to USAID, the workshop gave these organizations an overview of USAID’s objectives in HIV/AIDS under the Presidential Initiative and its goals for working with these groups as mandated in two Executive Orders. The workshop also explained the bidding process for USAID grants, cooperative agreements, and contracts; registration to work with USAID; and the means to gain entry into the system by networking and working with existing USAID programs and projects with other PVOs.

Many representatives of community-based organizations (CBOs) and faith-based organizations (FBOs) in the audience were new to the donor assistance field and did not have experience working with USAID or with other donor agencies; nonetheless, they were eager to learn the procedures. Several CBO and FBO representatives mentioned that learning to work with USAID was a little intimidating. The speakers however, assured the audience there were many benefits to be gained by involving themselves in the procurement process. USAID’s strong interest in involving new FBOs and CBOs in the development process, particularly through USAID Office of HIV/AIDS programs, was evident throughout the workshop.

II. Workshop Themes and Topics

II.A. Key Themes

The workshop’s key themes were:

- the process by which FBOs and CBOs can work with USAID, particularly in the HIV/AIDS arena; and
- the preparatory steps required for an FBO or CBO to be eligible to bid on projects, to network, and to market itself effectively.

II.B. Workshop Topics and Discussion Questions

The workshop topics and discussion questions are detailed below.

II.B.1. USAID and FBOs/CBOs

USAID officials opened the workshop with remarks that highlighted the Agency's interest in working with FBOs and CBOs, particularly in light of the Presidential HIV/AIDS Initiative and the Executive Orders pertaining to working with such organizations.

Katherine Crawford, USAID/Global Health Bureau/Office of HIV/AIDS, opened the workshop, welcomed the audience, and introduced Dr. E. Anne Peterson, Assistant Administrator, Bureau for Global Health. Ms. Crawford spoke of USAID's strategy for extending its partnerships worldwide. Dr. Peterson discussed USAID's role as a development agency, its program implementation expertise, global health programs, and history of partnerships with nongovernmental organizations (NGOs), the business sector, multisectoral agencies, CBOs, and FBOs.

The audience received information on the technical areas, and on countries and regions where USAID works; its HIV/AIDS focus areas, goals and objectives; and the types of programs it will and will not fund. Dr. Peterson spoke of the Presidential Initiatives and President Bush's commitment to foreign aid, the President's Emergency Plan for AIDS Relief (PEPFAR), and the Faith-Based Initiative. She mentioned the need to overcome barriers and develop new and easier ways to obtain funding. She highlighted the role of FBOs and CBOs, their strong roles in the community through time, and a recent United Nations Children Fund's (UNICEF) study that promotes the use of congregations to care for orphans in affected countries.

Dr. Peterson described USAID's HIV/AIDS strategy, which emphasizes prevention, treatment, care and support, youth and orphans, surveillance, and research. She also described what was new at USAID in terms of

Key Information for FBOs, CBOs, and PVOs

- www.usaid.gov - Main USAID web site
- http://www.usaid.gov/pop_health/aids/index.html USAID Office of HIV/AIDS web site
- http://www.usaid.gov/our_work/cross-cutting_programs/private_voluntary_cooperation/ PVC-ASHA web site
- http://www.usaid.gov/procurement_bus_opp/procurement/ombudsman.html USAID Ombudsman Jean Horton web site
- www.synergyaids.com - The Synergy Project web site
- http://www.usaid.gov/our_work/global_partnerships/fbci/ USAID OFBCI
- www.grants.gov - New U.S. government web site on grants
- PACT email addresses: Gbeans@pacthq.org reachgrants@pacthq.org
- Community REACH Program RFAs: www.Pactworld.org/reach.
- <http://www.whitehouse.gov/government/fbci/> The White House Office of Faith-Based Community Initiatives (OFBCI)
- <http://www.fedbizopps.gov/> The single government point-of-entry for federal government procurement opportunities over \$25,000
- www.omb.gov The Office of Management and Budget (OMB) web site:
- To obtain a Data Universal Numbering System (DUNS), call toll-free: 1-866-705-5711 or www.dnb.com.

policies, partners, and initiatives. She said stronger links were needed between the public, private, and PVO sectors. In terms of orphans and vulnerable children (OVC), she mentioned that a new Request for Application (RFA) or Annual Program Statement (APS) would be issued within the month.

A change in USAID's HIV/AIDS strategy concerns its partners. They can now promote part of USAID's "Balanced ABC approach—Abstinence, Be Faithful, Correct and Consistent use of Condoms." They are no longer required to undertake all three (A, B, and C) tenets of the strategy. However, an organization's message on the tenet it does not promote must be based on data. (For example, if a partner conducts A and B interventions, then any message on C must be based on available data.)

USAID advised the audience that the Agency would be scaling up antiretroviral (ARV) and non-ARV treatment programs to meet the Presidential Initiative's goals of reaching 2 million people by 2008. Dr. Peterson noted that greater emphasis would also be put on non-ARV treatment as anecdotal evidence of significant life extension becomes available. In conclusion, Dr. Peterson said that this is a unique time, one accompanied by new interest, new leadership, new partnerships, and new funding to fight the HIV/AIDS pandemic.

Ambassador Randall Tobias, Global HIV/AIDS Coordinator, U.S. Department of State, discussed the 2003 Presidential HIV/AIDS Initiative and the President's Emergency Plan for AIDS Relief. The initiative "demonstrates our compassion and brings our resources and technology to bear." He said that President Bush intends to commit \$15 billion over five years to the initiative. As coordinator, Ambassador Tobias will work with USAID and other U.S. Government (USG) agencies, use government resources, and provide leadership so that the work is as coordinated and productive as possible. The approach will be driven by a field-oriented vision, with accountability. He plans to develop and implement U.S.-based approaches on a country-by-country basis, and combine skills, resources, and knowledge in an integrated fashion. The initiative's goals include having 2 million people under treatment by 2008; preventing 7 million new infections; providing care for 10 million people and for OVC; preventing mother-to-child transmission; and working on prevention of medical transmission.

Of the program's \$15 billion in funding, \$5 billion will be used for baseline programs, \$1 billion will be invested in the Global Fund, and \$9 billion will be targeted for the 14 countries that have been most heavily affected (i.e., that account for about 50 percent of HIV infections). The initiative will spend about \$2 billion in the first year and ramp up to spend \$5 billion by year five. Funding is being debated in the U.S. Congress. Ambassadors and USAID Mission Directors in the 14 PEPFAR countries are developing country-specific plans with national governments. The Administration's goal is to achieve compassionate results. Ambassador Tobias added that FBOs and CBOs need a level playing field to achieve the government's objectives. He looks to workshops such as this one to provide tools, share ideas, and learn from each other. He challenged the audience to find ways to help those afflicted with HIV/AIDS and to build a sustainable response.

Ambassador Tobias mentioned the Prosperity Corps, which President Bush announced recently, for health and medical volunteers. USAID will acknowledge the best of these volunteers in an awards program.

John Gardner, Office of General Counsel, USAID, spoke on the broad trend of court jurisprudence away from strict interpretation of church-versus-state policies, toward a much more welcoming attitude of government engaged with religious groups. The current jurisprudence is friendlier to U.S. faith-based organizations. He said there has been “a gradual recognition on the part of the U.S. Supreme Court that the U.S. constitutional amendments are a whole and not separate. The court has to bear in mind all the amendments and ensure that free speech rights are not abridged.” He described President Bush’s role in foreign aid and defense, the HIV/AIDS pandemic, and its impact on the United States. Gardner also stated that USG funds cannot be used to proselytize nor can U.S.-funded activities be restricted according to a participant’s religion, background, and ethnicity.

Audience questions tended to be very specific (e.g., how to split an employee’s salary under a U.S.-funded project if the person were spending part-time on religious work and part on development assistance). For the most part, Gardner said that he could not answer such questions without more detailed information.

II.B.2. How to Work with USAID

For the remainder of Day One of the workshop, **Robert Lloyd**, a consultant for public management and government relations, provided an overview of how to work with USAID. Mr. Lloyd focused on understanding the bidding rules, and setting up systems required in order for the organizations to be responsive to USAID’s needs and requirements.

II.B.2.a. Working with USAID: An Overview

Mr. Lloyd focused first on how to work with USAID. He discussed:

- the types of business management decisions required by an organization to work with the USG;
- the types of relationships an organization has when it works directly with USAID (grantee, subgrantee, contractor, subcontractor) or through another organization.
- sources of authority;
- the steps of the award process; and
- how an organization can involve itself with USAID.

In terms of the types of financial relationships, Mr. Lloyd discussed federal procurement versus federal assistance, including the Federal Acquisition Regulations (FAR), and the differences between grants and cooperative agreements, between subgrants and contracts under grants, and the relevant Office of Management and Budget (OMB) Circular (A-133, Section 210).

Questions and Answers

The audience asked how to enter into a cooperative agreement, how to submit unsolicited proposals, and whether USAID was really interested in entering into new relationships with new organizations.

Mr. Lloyd stated that the U.S. Congress told USAID that it needed a “more open and transparent system” for procurement and that some of the rules are going to be revised. There is technical assistance and support to help new organizations through existing USAID contractors and grantees. He also mentioned that the U.S. Department of Health and Human Services Compassion Fund was established to help FBOs apply for USG funds.

II.B.2.b. PVO Registration and the USAID Award Process

Mr. Lloyd discussed how a PVO registers with USAID. He spoke about the nine criteria needed to register and the process for obtaining and administering a USAID award. The process includes these steps: preaward, solicitation, application, Agency review, award, postaward (focusing on payment, expenditures, documentation, and reporting), and the “afterlife” of the award, which includes the closeout, audit, and final closeout process, and continuing accountability of the recipient for federal funds.

Questions and Answers

Participants raised questions regarding the use of existing grants, automated vs. manual drawdown of funds, and USAID registration requirements when an organization already performs work abroad.

II.B.2.c. Direct vs. Indirect Funding Relationships

Mr. Lloyd discussed organizations that are preparing to receive USAID funds. He explained the direct funding relationship and the three sources of authority for federal assistance activities: statutes, government-wide directives, and regulations, with statutes taking precedence over the others. Mr. Lloyd also discussed award terms and conditions. He explained the following:

- Federal Assistance Management Reform (PL 106-107), which included simplification and standardization (i.e., standardizing RFAs across government agencies), and the President’s Management Agenda;
- E-Government, which is an attempt to convert widely used information services to an electronic basis (i.e., www.Firstgov.gov, www.grants.gov); and
- The Faith-Based and Community Initiative, through which President Bush has issued two Executive Orders to establish offices and the processes for how these initiatives should work.

Mr. Lloyd discussed the Federal Standards for Recipient Systems, a preaward financial responsibility review, and offered an explanation of what it covers, including the financial management standards.

Questions and Answers

Participants asked about organizational registration requirements, paying back interest on a federal grant or subgrant, the difference between a registration review and a preaward financial review, and the best ways to network with other organizations.

In response to a question as to whether USAID intended to work in post-conflict countries, Ms. Crawford explained that USAID provides funds for HIV/AIDS activities to the Democratic Republic of Congo and Liberia, usually in the form of relief funds, which may be converted to funds that can be used for development purposes.

Another participant questioned a perceived bias against states in the southern United States. Ms. Crawford responded, saying that USAID has no such bias and indeed encourages new partnerships.

II.B.2.d. Procurement, Property Management, and Personnel

Mr. Lloyd described the purchasing/procurement system standards, including policies and procedures; codes of conduct; acquisition planning; solicitation procedures; management of competition; and special USAID rules on source, origin, and nationality (e.g., Buy America Act, Fly America Act, free-world restrictive policies). Mr. Lloyd also discussed source evaluation and selection procedures, transparent purchasing, contract award, and contract administration systems.

Questions and Answers

Participants asked where they could obtain standard forms and explanations regarding procedures, allowable items, facility purchase and lease options, and regulations that govern the purchase of pharmaceuticals in Africa.

Mr. Lloyd explained that USAID is reviewing rules and systems for overseas purchases of HIV/AIDS pharmaceuticals and that it is possible to obtain waivers to purchase some items currently restricted by the Buy America and Fly America Acts.

Mr. Lloyd described property management standards as procedures that safeguard one's purchases. His description covered the basics of acquisition; property records; periodic inventory; controls to assess loss, damage, or theft; maintenance and disposition procedures.

The Association of Private Voluntary Organization Financial Managers provides information regarding grants management.
Tel: 203-454-1736
Email: apvofm@aol.com
Web: www.apvofm.org

Mr. Lloyd explained that under USG personnel policies, an organization must justify staff costs, fringe benefits, and related costs. In his explanation Mr. Lloyd discussed position descriptions; compensation levels; fringe benefits; policies on hiring, promotion, and dismissal; travel policies; and the need for consistent policies for employee health, morale, and welfare.

An organization has the ability to restrict hiring within a particular faith. However, according to statutes, Mr. Lloyd noted, when an organization accepts federal funds, it may lose this hiring flexibility. To clarify the rules that govern faith-based hiring, Mr. Lloyd referred the audience to a document entitled “Protecting the Civil Rights and Religious Liberty of Faith-Based Organizations.”

Mr. Lloyd answered questions regarding property management standards, regulations that govern the management of grant funds to non-Americans, and how to differentiate a manager’s time on USAID and non-USAID activities using the chart of accounts. Mr. Lloyd noted that an organization with several donors is expected to adhere to the more rigorous of a donor’s policies.

Regarding indirect funding relationships when an organization applies for USAID funds, Mr. Lloyd discussed how PVOs are able to find and evaluate opportunities. He listed several Websites (see text box on page 8), and discussed the Office of Faith-Based Community Initiatives at the White House and at USAID. He referred participants to the following resources:

- The Catalog of Federal Development Assistance, available for purchase through the OMB Website: www.omb.gov.
- *The Federal Register*, which contains all proposed and final regulations and all final notices: www.access.gpo.gov.
- USAID guidelines and Office of Management and Budget policy directive of June 23, 2003, which imposes a standard format for RFAs.
- How to obtain a Data Universal Numbering System (DUNS) number (call toll-free: 1-866-705-5711, or visit www.dnb.com), which is now required for all government bidders.

II.B.2.e. Funding Application

Mr. Lloyd reviewed Standard Form 424, the budget information required on SF 424A, and the Statement of Assurances. Mr. Lloyd also discussed the Negotiated Indirect Cost Rate Agreement (NICRA) and the project narrative of an RFA, and provided tips on visual presentation, and the importance of following directions and presenting a balanced approach.

Mr. Lloyd explained the evaluation process for a PVO application, which includes the following steps:

- Program staff members perform a technical review.
- Financial or agreement officers perform a budget cost analysis. (Mr. Lloyd added that the cost justification is critical).

- A Preaward Financial Responsibility Review is usually conducted at the Agreement Officer's request by the Office of the Inspector General, but is often performed by a certified public accountant contractor or by the Defense Contract Audit Agency, which may not be familiar with grant assessment.

If a PVO receives USAID funding, the key players during the award negotiation are the Cognizant Technical Officer (CTO) and the agreement officer. Mr. Lloyd stressed that informal commitments are not valid during award issuance and modification, and that a senior Contracting Officer must ratify any changes to an award agreement. He discussed the standard terms and conditions, as well as special terms and conditions that USAID could impose. More rigorous terms apply to non-U.S. companies. Mr. Lloyd also explained programmatic performance and a quarterly monitoring report that covers major activities and subawards, noting that grantees must notify USAID of developments that may affect award activities. Mr. Lloyd also mentioned award administration and compliance, and discussed “*The Washington Post* test” (i.e., what would happen if the problem appeared in a newspaper?).

Thursday, November 6, 2003

II.B.3. Marketing To and Partnering With Other Organizations

Discussions in Day Two of the workshop centered on the need to market with other PVOs and programs that have USAID contracts or grants; how to register with USAID as a PVO; how to prepare a funding application; and USAID's monitoring and evaluation indicators.

Roxana Rogers, USAID Office of HIV/AIDS. Ms. Rogers welcomed the participants and briefly reviewed the previous day's focus on technical information, USAID's HIV/AIDS work, and the history of work that CBOs and FBOs have performed for USAID. Rogers noted that USAID needs to work with CBOs and FBOs at the community level, and that their involvement would make USAID's work more effective. She asked the participants to identify challenges and to develop relationships with USAID and the overseas work of its implementing partners, noting that USAID, through its implementing partners, works with 142 NGOs in Nigeria, many of which are FBOs.

Katherine Crawford moderated the session "Expanding Partnerships in HIV/AIDS: Challenges and Constraints and Discussion with Partners," which brought together several implementing partners of the USAID Office of HIV/AIDS. Ms. Crawford provided an explanation of how to access subgrants and subagreements through existing USAID grants maintained by these partners.

Gail Goodridge, Deputy Director, Family Health International (FHI), IMPACT Project. Ms. Goodridge discussed the project's work of providing HIV/AIDS prevention, care, support, and antiretroviral services. The IMPACT Project provides technical assistance to NGOs, FBOs, and CBOs, and monitoring and evaluation support. Ms. Goodridge recommended that FBOs visit a local FHI country office to learn about the project and about FHI's local partners. Ms. Goodridge explained that through the IMPACT Project, FHI awards grants of \$500 to \$500,000 for short-term and long-term projects. IMPACT works with governments and NGOs to identify prevention, care, and treatment gaps, and to then implement an "expanded, comprehensive response."

Patricia Mechael of the CORE Initiative. Ms. Mechael explained that CORE is a relatively new project that is being led by CARE. The initiative's goal is to build community responses to HIV/AIDS by providing capacity-building and organizational development support to NGOs, FBOs, and CBOs in more than 90 countries. CORE works with the International Center for Research on Women, the World Council of Churches, and the Johns Hopkins University Center for Communication Programs. The initiative works through existing offices of CORE consortium members, providing prevention, care and support, and stigma-reduction services, and by adhering to the guidelines that promote greater involvement of people living with HIV/AIDS.

The CORE Initiative conducts its work through two primary funding mechanisms:

- **Small grants** of \$5,000 or less, which are awarded through a competitive process. Grant awards are designed to reduce an organization's barriers to obtaining funds by working to improve its institutional capacity, to become more viable, and to identify innovative practices that allow an organization to expand.
- **Multicountry demonstration projects** of \$5,000 to \$250,000 for one year. CORE awards large grants at the district, national, and regional levels.

Polly Mott, Community REACH. REACH is a small project funded through a USAID cooperative agreement as a global partnership between Pact and The Futures Group. The goal of Community REACH, which is being implemented in 23 priority countries, is to quickly disburse funds to community projects in its second year. RFAs are available at www.pactworld.org/reach and are awarded through a competitive process. Multiyear grants are worth \$100,000 and greater, with most being distributed to CBOs. Community REACH has attracted 20 new groups to date, including a program in Brazil.

Ms. Crawford noted that USAID has stringent procurement rules; most purchases must be awarded through a competitive bid process. Even smaller grant applications must be reviewed by an in-country panel, which chooses the award winner. Ms. Crawford recommended that PVO representatives ask their local USAID Missions for clarification if they are not selected to receive a grant.

Ms. Crawford and other panelists noted that through the CORE Initiative, USAID has the following goals:

- To link U.S. universities with partner organizations in Africa.
- To establish priority programs for youth, orphans, and vulnerable children; and to promote abstinence and partner reduction. The youth RFA will be issued through CORE in the near future.
- To emphasize prevention interventions for youth in vulnerable and exploitative settings as focus program areas for upcoming RFAs, which will be issued by USAID/Washington and by individual country Missions.

Panelists noted that it is important for PVOs to seek funds from other donors, as well.

Questions and Answers

Questions from the audience centered on the following topics:

- How to apply to an RFA, when to talk to USAID Mission representatives and in-country organizations, and what problems are associated with follow-up. One participant said that Missions and in-country organizations discourage participation by explaining their partnership arrangements have already been formed.

- Addressing the critical link between violence and children. One participant noted that the International Center for Research on Women is working on gender-based violence and women's vulnerability issues, but that increasingly, community-based responses are needed.
- Ms. Crawford stated that the focus of HIV/AIDS prevention efforts in Nigeria is changing because legislation has mandated that 55 percent of program expenditures be devoted to care, support, and treatment efforts. The IMPACT Project will work to implement this mandate.
- USAID's work on a Mission level vs. a regional level and new legislation that defines the role of embassies. Ms. Crawford explained that USAID has several regional programs in Africa, Asia, and the Caribbean that are examining cross-border issues and providing technical assistance to specific countries. PEPFAR will target 14 countries; each country will need to submit plans that propose a centralized approach because plans will be reviewed and approved by the State Department. Ongoing programs in other countries will continue using a decentralized approach.

Participants raised this issue of confusion regarding the roles of USAID/Washington vs. field Missions and whether an organization that already has a grant with USAID needs to reapply or re-register to perform work in another sector. (The answer is that an organization does not need to reapply or re-register.) USAID representatives explained that regional offices fund regional programs and that in-country program representatives should contact their local USAID Mission to obtain program information.

II.B.4. Introduction to the Office of Private and Voluntary Cooperation (PVC) and the PVO Registration Process

Judith Gilmore, PCV Director; and Mary Newton, PVC Registrar. Ms. Gilmore explained that the PVC Office registers PVOs, helps them to build their capacity, and offers a series of grant programs. PVC is now the PVC-ASHA (American Schools and Hospitals Abroad) Office. Ms. Gilmore defined a PVO as an organization that has registered with USAID and is based in the United States, whereas an NGO is based abroad. Ms. Gilmore further defined a CDO as a cooperative development organization.

PVC-ASHA works with organizations that reach the grassroots level and are more involved at the community level, especially as USAID becomes more of a manager of development programs. The goal is to mobilize grassroots resources.

Gilmore explained how a PVO registers with USAID, and included the history of the process and the reasons for registration, adding that USAID has a congressional mandate to involve PVOs in its work. Local organizations may apply directly to a Mission for funding and the Mission must certify whether an organization is financially viable.

USAID reviews applications for PVO status from U.S.-based organizations and may either deny registration or request additional information. A PVO may resubmit its application. The PVO registration process takes six to eight weeks after receipt of application. Registration forms are available on the PVC-

ASHA Website. Registered firms are listed in the “red book,” which is distributed to all USAID offices and Missions. PVOs must obtain at least 20 percent of their funding from private (i.e., nongovernmental) sources. There is no cost for registration.

Participants requested additional information about the Advisory Committee on Voluntary Foreign Aid (ACVFA). Panelists suggested that participants call the PVC-ASHA Office (202-712-0840) to request mailings and notices of thrice-yearly meetings. The USAID Administrator is usually the keynote speaker.

Questions and Answers

Participants presented questions regarding non-Americans serving on a PVO board of trustees, whether subgrantees were required to register (the answer is yes if the subgrantee wishes to receive funds), and whether registration is required if an organization submits an unsolicited proposal (the answer is yes, registration is required). Registration may be completed in anticipation of receiving USG funds.

Ms. Gilmore noted that the NGO Strengthening Grant was awarded this year to U.S. PVOs that are working to support local NGOs, and that the grant will probably be re-awarded in 2005. The Child Survival RFA is now funded through the Global Health Office; Susan Yull is the contact person.

II.B.5. Fundamentals of Preparing a Funding Application

Georgia Beans, Grants Manager, Community REACH, PACT. Ms. Beans noted that most Missions are revising their HIV/AIDS strategy, and that workshop participants should visit the Mission Websites and review the latest strategies. She encouraged participants to contact the USAID Ombudsman, Jean Horton (telephone, 202-712-1431; fax, 202-216-3131; email, AandAOmbudsman@usaid.gov; Web site, http://www.usaid.gov/procurement_bus_opp/procurement/ombudsman.html) concerning problems they might encounter working with USAID.

To respond to a funding application, Ms. Beans advised organizations to do the following:

- Read the evaluation criteria.
- Read the “musts” and “required” information.
- Read the “desired” information.
- Keep budget notes. State whether an estimate is based on actual costs or an approximation.

Ms. Beans reminded participants to bear in mind the following points:

- Cost reimbursable means repayment for “actual” costs, not the estimated or budgeted costs.
- USAID is now required to check Past Performance References (PPRs) for all grants and contracts.
- Dun & Bradstreet assigns each organization a unique identifier, referred to as a DUNS number.

Questions and Answers

The audience asked how proposals are evaluated (response: usually with field input), and which PPR was the best one to use (response: preferably a PPR from a party that has previously funded the organization so it can speak to the organization's management, and financial and technical capabilities).

Ms. Beans added that narratives sometimes contain a page limit; she advised participants to be as concise as possible within the page limit but to make sure that the program is well defined. Budgets should include details in a budget narrative; and an annual report can be submitted as a capability statement. A concept paper for USAID should contain no more than five pages.

For additional HIV/AIDS data and grant information, Ms. Beans directed participants to The Synergy Project (www.synergyaids.org), which captures HIV/AIDS data for USAID, and the *USAID HIV/AIDS E-Newsletter* (November 2003), which features information on the Community REACH RFAs. Ms. Beans also advised the audience to consider other donors, such as the Global Fund to Fight AIDS, Malaria and Tuberculosis; the European Union; the World Bank; and the Swedish International Development Agency, which are major players in promoting HIV/AIDS work among community groups.

II.B.6. Overview of USAID's Program Monitoring and Evaluation Requirements

Mary Freyder, Monitoring and Evaluation Specialist, USAID/Global Health Bureau/Office of HIV/AIDS. Ms. Freyder explained USAID's monitoring and evaluation requirements in the context of its monitoring and evaluation reporting requirements to UNAIDS and other donors.

Questions and Answers

The audience asked about using different program indicators. Ms. Freyder explained that USAID recognized targets as being "fluid," and requiring adjustments over time, and that detailed critical assumptions should be included when setting targets. Freyder noted that UNICEF has posted well-developed health indicators on its Website (www.unicef.org) and that projects that work in different cultural contexts will have different behavioral indicators. She added that USAID tends to use generic indicators.

II.B.7. Closing Statement

Michael Magan, Director, Center for Faith-Based and Community Initiatives, USAID. Mr. Magan closed the workshop by restating USAID Administrator Andrew Natsios' dedication to working around the world and his commitment to the community- and faith-based initiative. The Center for Faith-Based and Community Initiatives is based in the USAID Administrator's office. Mr. Magan said he hoped that the workshop had given participants some ideas of how USAID works. He noted that USAID has a decentralized focus, and he encouraged the audience to contact his office to express their concerns and success stories, and to share what they had learned at the workshop with others in their communities. Mr.

Magan reiterated that USAID was trying to “break down barriers and work with new partners.” He also restated that it was important that PVOs develop relationships with USAID career staff in both Washington and the field. He welcomed the audience’s participation and encouraged them to become proactive.

A participant thanked Mr. Magan for the opportunity to learn more about USAID and the PVO role in its work, and said workshop had been outstanding.

III. Evaluation Results

About 27 percent (53 out of 190) of the participants completed the evaluation form; overall, participants found the workshop valuable. Participants were asked to respond to the following questions:

- Which sessions were the most valuable and why?
- Which sessions could be improved or expanded for future orientations?
- Which handouts and presentations materials were most useful?
- Comment on the overall flow of the meeting (timing, facilitation, facility).
- Any suggestions for future meetings?

III.A. Results and Suggestions

The results and suggestions that follow were culled from completed participant evaluation forms.

- Which sessions were the most valuable and why?

Many participants noted they found all sessions to be useful, helpful, and practical; and that sessions provided insightful and accessible information. Robert Lloyd's overview of the grants process was most often mentioned as containing clear, objective, dispassionate, invaluable, and user-friendly information. Respondents noted that the panel on Day Two, and the presentations by Dr. E. Anne Peterson (overview), Judith Gilmore and Mary Newton (PVC-ASHA), Georgia Beans (writing a funding application), and Mary Freyder (monitoring and evaluation) were useful, helpful, and excellent. One participant described the partnerships panel as containing "added value."

- Which sessions could be improved or expanded for future orientations?
- Any suggestions for future meetings?

Participants offered suggestions for future orientations. Many people noted they were overwhelmed by the amount of information presented and by the acronyms and jargon used in the presentations. Several asked for a simpler or more condensed version of "How USAID Works." Others wanted specific information on how USAID is organized and how it funds programs, more time for the question-and-answer sessions, more information on specific topics (i.e., PVO registration, monitoring and evaluation, subgrants, completing a funding application, unsolicited proposals, and role of CBOs that are not faith-based), "dos and don'ts" for FBOs on legal issues, and more creative visuals.

Participants offered the following suggestions for enhancing future workshops:

- o Improve the distribution of invitations and provide more advance notice of the meeting and agenda.
- o Make an effort to involve participants in the program design and provide outreach to "nontraditional partners," such as dispersed communities in Africa and the Caribbean.

- o Provide greater opportunities for participants to network.
 - o Provide a glossary of terms and a time line of key events in the past year vis-à-vis the Presidential Initiatives.
 - o Reorder the presentations to start with the RFA process, then how to approach the RFA, and then how to apply.
 - o Provide a session on some tangential responses to HIV/AIDS (e.g., gender and discrimination) and cultural competency.
 - o Provide some follow-up information to the meeting and take the presentation “on the road.”
- Which handouts and presentations materials were most useful?

Overall, participants found the information in the binder to be useful, citing these particular documents:

- o The President’s Executive Orders
 - o Grant-writing handouts
 - o Rules and regulations, including OMB circulars
 - o PowerPoint handouts
 - o Funding application
 - o Reference materials
- Comment on the overall flow of the meeting (timing, facilitation, facility).

Most participants found the meeting to be well organized, with good logistics. Participants noted the lunches were good (“5 stars”) and the hotel was convenient. Some participants, however, believed “too much money had been spent” on the conference. Many people appreciated that the workshop kept to the schedule. Some participants liked that a workday followed the meeting; others preferred the meeting to begin near the end of the week. A few complained that the conference room was too cold. Some suggested using a more affordable hotel so that commuters could remain in town for the two days.

Other comments included:

- Formally indicate the opportunity to display materials at the meeting. [N.B. This had been announced.]
- Provide tables with power strips for laptops.
- Identify participants by country or by specialty so that others working in those countries or in that specialty may find each another.
- Offer an opportunity to sign up to meet with USAID officials on the third day of the workshop.
- Provide a follow-up activity when the RFA for orphans and vulnerable children or youth is issued.

- To promote mobility, arrange for The Synergy Project to organize a venue for small, competent NGOs that could be mentored to become partners with USAID, so they do not remain a perpetual subcontractor.

Several participants believed the workshop was a “great opportunity to network and learn about all the terrific work being done.” Many noted they appreciated the opportunity to attend the conference and ask questions, and they found the workshop to be helpful. A special thank you went to Synergy Project staff and others who worked behind the scenes. One respondent thought the effort needed to propose, implement, and evaluate a project was “too much work for a small organization” and was unrealistic. A few were disappointed that some speakers could not answer all the questions. One participant wrote that it was “insulting to have one of the speakers say that certain groups will receive only the ‘condom’ message and not the ‘abstain/be faithful’ message. All human beings are entitled to receive the ‘abstain/be faithful’ message.”

III.B. Issues and Recommendations

The evaluations and comments about the workshop indicate that some uncertainty remains regarding how to best work with USAID and whom to talk with at USAID/Washington and in the field; additional information would help clarify these issues.

Several participants noted that an information packet or an email message that includes the following items would be helpful:

- USAID’s latest organizational chart
- A flowchart showing where FBOs/CBOs can access USAID (i.e., through Missions, regional offices, Washington headquarters, other contractors and grantees)
- A list of relevant Web sites, including where to look on USAID’s site for Mission Websites
- An acronym list and a glossary of common USAID terms
- A completed sample funding application
- Contact information for the CORE Initiative, the IMPACT Project, and the Community REACH Project
- An information sheet explaining how to register with the PVC-ASHA Office
- Information explaining how to contact other groups working on HIV/AIDS issues

A follow-up activity with some of the participants would be useful when the next HIV/AIDS RFA is issued, and again six months later, to evaluate how well participant are able to access USAID funds and to address any issues and questions.

Appendix A
Workshop Agenda



**U.S. Agency for International Development
Bureau for Global Health
Office of HIV/AIDS**

*Working with USAID:
An Introductory Workshop for Community and Faith-based Organizations*

Grand Hyatt at Washington Center - 1000 H Street, NW - Washington, DC

November 5 and 6, 2003

Wednesday, 5 November 2003

- 8:00 **Welcome and Introductions**
- 8:40 **Opening Remarks**
- E. Anne Peterson, Assistant Administrator, Bureau for Global Health, USAID
- 9:10 **The Presidential HIV/AIDS Initiatives**
- Ambassador Randall Tobias, Global HIV/AIDS Coordinator, Department of State
- 9:40 **Policies Governing USAID's Works with Faith-based Organizations**
- John Gardner, Office of General Counsel, USAID

Robert Lloyd, Consultant on Public Management and Government Relations, will present the following sessions:

- 10:00 **How Do You Work With USAID?**
- Types of Financial Relationships
 - Registering your Organization with USAID
 - Process for Obtaining and Administering a USAID Award
 - Questions and Answers
- 10:45 **Break**

- 11:00 **Getting Ready For USAID Aid**
Direct Funding Relationship
- Do we need to change or add to our organizational structure?
 - What kinds of policies and procedures do we need to have?
Financial Management, Purchasing, Property Management, Personnel
 - Partnerships with USAID Missions, Regional HIV/AIDS Programs,
and Regional Offices
- Indirect Funding Relationships
- Sub-grants through Partnerships with Implementing Partners
 - Questions and Answers
- 12:15 **Lunch**
- 1:15 **Applying for USAID Funds**
- Finding and Evaluating Opportunities
 - USAID Guidelines
 - Preparing the Application
 - Questions and Answers
- 2:15 **How Will Our Application Be Evaluated?**
- Technical Review
 - Cost Analysis of the Budget
 - Pre-award Financial Responsibility Review
 - Questions and Answers
- 3:30 **Break**
- 3:45 **What Will Happen If We Get Funded?**
- Post-award Administration
 - Programmatic Implementation
 - Continuing Accountability
 - Questions and Answers
- 4:45 **Conclusion of Day One**

Thursday, 6 November 2003

- 8:30 **Breakfast**
- 9:00 **Welcome**
- Roxana Rogers, Deputy Director, Office of HIV/AIDS, USAID
- 9:15 **Expanding Partnerships in HIV/AIDS: Challenges and Constraints and Discussion with Partners**
- Kate Crawford, Office of HIV/AIDS
Gail Goodridge - IMPACT
Patricia Mechael – CORE Initiative
Polly Mott – Community REACH
- 10:40 **Break**
- 11:00 **Introduction to Office of Private and Voluntary Cooperation**
- Judith Gilmore and Mary Newton, Office of Private Voluntary Cooperation, USAID
- 12:00 **Lunch**
- 1:15 **The Fundamentals of Preparing Funding Applications**
- Georgia Beans, Grants Manager, Community REACH, PACT
- 2:45 **Break**
- 3:00 **Overview of USAID’s Program Monitoring & Evaluation Requirements**
- Mary Freyder, Office of HIV/AIDS, USAID
- 4:00 **Closing Remarks**
- Michael Magan, Director, Center for Community and Faith-based Initiatives, USAID
- 4:15 **Conclusion of Day Two**

Appendix B

Organizational Participant List

Organizational Participant List

Working with USAID: An Introductory Workshop for Community- and Faith-Based Organizations November 5–6, 2003

1. Aadamiga USA
2. Abstinence Educators' Network, Inc
3. Acres of Love
4. Advocates for Youth
5. African Missions, North America
6. African Salvation Group Corp
7. Agathos Foundation
8. AIDS ACTION
9. AIDS Empowerment and Treatment International
10. AIDS Mark
11. AIDSail
12. AMFA Foundation
13. Anglican Diocese of Swaziland
14. APUA
15. Asian Pacific AIDS Intervention Team (APAIT)
16. Association of Christian Schools International
17. Association of Nutrition Services Agencies
18. Association of Public Health Laboratories
19. Balmin Gilead
20. Baptist World Aid
21. BW Ministries
22. CARE
23. Caribbean Public Health Coalition on AIDS, Inc.
24. Catholic Healthcare West
25. Catholic Medical Mission Board
26. Catholic Relief Services (CRS)
27. CE Plus
28. Center for Community Health, Education, and Research
29. Center for Faith-based and Community Initiative
30. Childreach / Plan USA
31. Children's AIDS Fund

32. Christ's Hope USA
33. Christian Children's Fund
34. Christian Medical Association - Washington Bureau
35. Church World Service
36. CitiHope International
37. Community Education Group
38. Community REACH
39. Community Vision Service
40. CORE Initiative
41. CRS
42. Catholic University of America-Law
43. Culture of Life Foundation
44. DAH Consulting, Inc.
45. Department of State
46. Doctors of the World
47. Enterprise Development International
48. Episcopal Church
49. Episcopal Relief and Development
50. Extreme Response
51. Family Research Council (FRC)
52. Family Violence Prevention Fund
53. Food for the Hungry, Inc
54. Food for the Poor, Inc.
55. Foundation of Compassionate American Samaritans
56. Friends of Granada, Inc
57. Friends of Mwangaza, Inc
58. Global AIDS Interfaith Alliance
59. Global Development Foundation
60. Global Health Council
61. Global Health Services for the Christ Dental Association
62. Global Hope Foundation
63. Global Outreach Uganda
64. Global Partnership on AIDS and Orphans
65. Healing Hands International, Inc.
66. Heifer International
67. Heritage Community Services
68. HIV/AIDS Coordinator for Africa Inland Mission International
69. Holy Family Hospital
70. Hope In View, Inc.
71. Human Life International

72. ICSPR
73. Implementing AIDS Prevention and Care Project
74. INMED Partnerships for the Children
75. Institute for Youth Development
76. Intelligent Designs
77. Interchurch Medical Assistance
78. International Church of the Foursquare Gospel
79. International Association of Physicians in AIDS Care
80. Islamic Relief
81. JDC-International Development Program
82. Johns Hopkins University
83. JRI Health
84. Kalafong AME Mission Church
85. Liberian Council for Relief & Development
86. Lott Carey Baptist Foreign Mission Convention
87. Lott Carey International (LCI)
88. Lutheran World Relief
89. MaterCare (USA)
90. Medical Ambassadors International
91. Medical Missionaries
92. Medical Service Corp International
93. Metro Teen AIDS
94. Nazarene Compassionate Ministries, Inc (NCMI)
95. NBEA/ICCARE
96. Nigeria 'N Focus
97. Nigerian Ministers Council
98. Office of General Counsel, USAID
99. Office of Minority Health
100. Office of Private Voluntary Cooperation, USAID
101. Olive Branch International, Inc.
102. Operation Blessing International
103. Pan African Children's Fund
104. People to People
105. PIONEERS
106. Places of Hope
107. Playback Theater
108. POLICY Project
109. Population Council
110. Potomac Investment Capital
111. Prescription for Hope

112. Project HOPE
113. Prometra, USA
114. Population Services International
115. Pure Style, Inc.
116. Reach Africa NOW
117. Reach the Children
118. Reproductive Health Core
119. Reproductive Healthcare International
120. RIGHT Incorporated
121. S.T.A.R.
122. Safe Healthcare International Institute
123. Sankofa
124. SAYS AFRICA
125. Shalom Outreach
126. Sheperdstone
127. SIL International
128. SisterLove, Inc.
129. Sisters Together and Reaching, Inc.
130. SLAO
131. St. John Catholic Church
132. Stanford University
133. STAR
134. Sudanese Network for Relief and Development
135. The Amazon Africa Aid Organization
136. The Axios Foundation
137. The Constituency for Africa
138. The Foundation for Hospices in Sub-Saharan Africa
139. The Moravian Board of World Mission
140. The Salvation Army World Service Office
141. The Synergy Project
142. Tonac Management Systems
143. U.S. House of Representatives
144. United Families International
145. United Methodist Committee on Relief
146. United States Agency for International Development
147. Unity Health Care
148. University of the Haitian Academy
149. Us Helping Us, Inc.
150. Vellore Christian Medical College Board
151. Volunteers of America

152. WATTCH
153. Word of Life Fellowship, Inc
154. World Concern
155. World Relief
156. World Vision
157. World Witness
158. World Youth Alliance
159. Worldwide Orphans Foundation
160. Youth for Christ International Ministries
161. Zambian Children's Fund

