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# INTEGRATING ALLIANCES INTO SECTOR ASSESSMENTS

## FRAMEWORK FOR DEVELOPING DEVELOPMENT SECTOR ALLIANCE STRATEGIES AND PROGRAMMING

### **A USAID Framework For Addressing Public-Private Alliance Development Methods**

- Defining Alliance Assessment Needs And Approach
- Identifying Alliance Opportunities
- Developing Partnerships
- Resources And Information For Alliance Development Activities

11 May 2010

This report was prepared for review by the United States Agency for International Development by SSG Advisors LLC. under IQC Number REE-I-00-07-00027-00.

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## **Acknowledgments**

The Alliance Assessment Framework was written by Thomas Buck and Steve Schmida of SSG Advisors and was prepared under IQC Number: REE-I-00-07-00027-00. Its authors would like to express their gratitude to the USAID Missions in Russia, Uganda, and Bangladesh for their support and input to this assessment. In particular, we would like to acknowledge the critical contributions of Denis Korepanov, Svyatoslav Stoyanov of USAID/Russia, Jackie Wakhweya of USAID/Uganda, and Adriana Barel and Farheen Khurram of USAID/Bangladesh, without whom this assessment report would not be possible. The authors would also like to thank Jerry O'Brien, Avery Ouellette, Rob Schneider, and Todd Kirkbride of USAID ODP/PSA, for their critical feedback during the drafting process of the Alliance Assessment Framework.

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## ACRONYMS & ABBREVIATIONS

<b>AEF</b>	Annual Evaluation Form
<b>APS</b>	Annual Program Statement
<b>BTI</b>	Bertelsmann Transformation Index
<b>CbA</b>	Collaboration Agreement
<b>COTR</b>	Contracting Officer's Technical Representative
<b>CSR</b>	Corporate Social Responsibility
<b>DG</b>	Democracy and Governance
<b>EG</b>	Economic Growth
<b>FY</b>	Financial Year
<b>GC</b>	Global Competitiveness
<b>GDA</b>	Global Development Alliance
<b>GDP</b>	Gross Domestic Product
<b>ICT</b>	Information and Communication Technologies
<b>IDP</b>	Internally Displaced Person
<b>IFC</b>	International Finance Corporation
<b>IQC</b>	Indefinite Quality Contract
<b>IT</b>	Information Technology
<b>LOE</b>	Level of Effort
<b>LwA</b>	Leader with Associates
<b>M&amp;E</b>	Monitoring and Evaluation
<b>MOU</b>	Memorandum of Understanding
<b>NGO</b>	Non-Governmental Organization
<b>ODP/PSA</b>	United States Agency for International Development's Office of Development Partners/Private Sector Alliances
<b>PPA</b>	Public-Private Alliance
<b>PPP</b>	Public-Private Partnership
<b>RAB</b>	Regional Alliance Builder
<b>RFA</b>	Request for Applications
<b>RFP</b>	Request for Proposal
<b>SO</b>	Strategic Objective
<b>SOW</b>	Scope of Work
<b>SWOT</b>	Strengths, Weaknesses, Opportunities, and Threats
<b>TO</b>	Task Order
<b>UN</b>	United Nations
<b>UNDP</b>	United Nations Development Programme
<b>USAID</b>	United States Agency for International Development
<b>USG</b>	United States Government
<b>WB</b>	World Bank
<b>WEF</b>	World Economic Forum

# I. EXECUTIVE SUMMARY

Alliances with the private sector now occupy a central position in United States foreign assistance policy. An essential challenge for the U.S. Agency for International Development (USAID) is that alliances are a time-intensive undertaking. USAID Missions must therefore focus scarce human and financial resources on building those partnerships with the private sector that will deliver strategic results in support of USAID goals in a country or a sector.

To meet this challenge, USAID's Office of Development Partners/Private Sector Alliances Division (ODP/PSA) has developed two versions of an Alliance Assessment Framework as a tool for use by Missions and USAID contractors to identify and prioritize strategic alliance opportunities where partnership with the private sector can demonstrably improve results. There are two ways USAID Missions can utilize the Alliance Assessment Framework:

1) As presented in this document, a **Multi-sector (Mission-wide) Alliance Assessment** is ideal for Missions undertaking a strategic planning process and desiring a 360-degree view of how, when, and where private sector alliances can have the most impact across a diverse program portfolio.

2) As illustrated in a second document, a **Single Sector Alliance Assessment** (e.g. health, democracy and governance, education, etc.) focuses on specific opportunities in which private sector business interests overlap with development priorities targeted with the assessment. The Single Sector Alliance Assessment Framework makes it simple to include an alliance component with any sector assessment.

The Framework presented here focuses on the second type of alliance assessment – namely, adding an alliance-mapping element to a planned sector assessment for traditional development programming, which can range across all of USAID's strategic objectives. USAID Missions seeking a more comprehensive overview of alliance opportunities across its program portfolio should refer to *Conducting an Alliance Assessment: A Framework for Developing Alliance Strategies and Programming*, which is available separately. Both of these Frameworks were developed and refined via three pilot assessments in Bangladesh, Russia and Uganda in late 2009-early 2010.

Both Alliance Assessment Frameworks are designed to be practical tools to enable USAID to make better-informed and more strategic decisions regarding when to forge alliances with the private sector.

*"It comes down to fundamentally changing the way we work, and working smarter. First, we need to work in partnership with countries, a broad range of organizations in civil society, the private and public sectors to help achieve a clear set of goals. Together, we will leverage our resources and make sure that we invest in a focused way. That will allow us to make an impact at a much greater scale than we traditionally have achieved."*

— Rajiv Shah  
USAID Administrator

## II. INTRODUCTION TO THE SINGLE SECTOR ALLIANCE ASSESSMENT FRAMEWORK

The Global Development Alliance (GDA) is an innovative public-private alliance model implemented by ODP/PSA, formerly known as USAID's GDA Office. By combining aid dollars with the resources, expertise, and creativity of a range of players, alliances support the improvement of social and economic conditions in developing countries. The GDA business model combines the assets and experience of the private sector, while leveraging their capital and investments, creativity, and access to markets to solve complex development problems facing government, business, and communities.

### PURPOSE

The purpose of the Single Sector Alliance Assessment Framework is to assist USAID Missions to develop a comprehensive approach and conduct assessments and other analyses with a goal of using the GDA business model for targeted USAID strategic objectives and of providing recommendations designed around strategic and/or specific GDA opportunities. This Framework has been designed to assist USAID Missions in order to:

1. Determine and prioritize business and industry sectors where development challenges are intersecting with business opportunities or constraints;
2. Interview key companies, business associations, investment funds, etc. to identify specific areas where private sector business interests intersect development challenges and, in turn, how those intersections relate to USAID Mission-wide or sector specific goals;
3. Define and prioritize strategic alliance opportunities where partnerships can both deliver substantial impacts toward USAID development goals and business value for the private sector; and
4. Provide specific guidance to USAID Mission staff on building and supporting alliances, including next steps, possible funding requirements, time horizons, and staffing implications.

Missions should use this Framework to integrate a GDA lens or perspective into a broader sector assessment (e.g. health, economic growth, democracy and governance, conflict mitigation, etc.), whether as part of internal assessment team or via the use of external consultants/contractors.

### INCORPORATING ALLIANCES INTO USAID SECTOR ASSESSMENTS

As alliances become a more mainstream part of how USAID operates, it is important that 'alliance thinking' be reflected in USAID sector assessments, which in turn inform long-term strategy and programming. This Single Sector Alliance Assessment Framework is meant as a supplement that USAID technical teams can incorporate into their sector assessments. This Framework is intended to provide guidance to an Alliance Assessment Specialist as a member of a larger sector assessment team.

Given the wide variety of USAID assessment methodologies, USAID managers and assessment team leaders need to exercise some care to ensure integration of alliances into the overall assessment. Here are a few practical points for assessment managers and team leaders to remember:

- **Alliances are about leveraging private sector resources, not fundraising.** Often the most valuable resources, market access, expertise and technology, are not resources USAID could acquire on its own. The goal is development impact, not leverage ratios.
- **Alliances are often cross-cutting.** Most USAID assessments are sector specific, e.g Economic Growth, Local Governance, Maternal Health, etc. However, many strategic alliance opportunities with the private sector will be cross-cutting and may include elements from areas beyond the USAID sector assessment.
- **Include the Alliance Assessment Specialist in background research.** Very often, the Alliance Assessment Specialist may not have a deep technical background in the sector under review. Therefore, actively involving him/her in the overall sector background research process is both an opportunity to increase his/her knowledge of the sector and to get a head start in identifying private sector business issues and challenges.

- **Provide adequate lead time and logistics support.** Scheduling meetings with company executives can require significant lead-time. It is recommended that requests for meetings be made not less than two weeks prior whenever possible. If your local logistics team does not include someone with extensive business sector contacts, it may make sense to add an additional logistics specialist focused only on the alliance portion (see annex for job descriptions).
- **Ensure an understanding of alliances on your team.** Just as the Alliance Assessment Specialist needs to become more familiar with the sector being assessed, so too should other assessment team members have a basic understanding of alliances. Doing so will enable your whole team to provide more informed input regarding alliance opportunities identified.
- **Be prepared to look beyond the ‘usual suspects.’** Very often development challenges impact industries in unexpected ways. Therefore, in conducting a sector assessment with an alliance component, it is important to understand how the development challenge (e.g. maternal health) impacts the private sector. You may well find rich alliance opportunities with companies and industries that do not appear directly related to your sector.

### III. ASSESSMENT FRAMEWORK APPROACH

The Single Sector Alliance Assessment Framework can be refined and designed to meet the needs of individual USAID Missions and Operating Units. This Framework may be used to analyze alliance opportunities across an entire country. Alternatively it may be used to analyze opportunities in targeted regional settings.

The Single Sector Alliance Assessment Framework must be sufficiently flexible to allow Missions to use it for a variety of purposes and to answer a range of questions. This Framework provides a means for recommending specific activities to address priority issues. It provides a tailored methodology for inserting an Alliance component into a development sector assessment (such as health, democracy and governance, economic growth, conflict, etc). The Single Sector Alliance Assessment Framework offers Missions the ability to insert or integrate an alliance perspective into their overall strategic planning for a development sector.

As such, assessment findings can be organized by types of recommendations for future action and investment by Missions. Such recommendations could include:

- Recommendations on prioritizing alliance building opportunities and activities;

- Recommendations for management or staffing needs related to alliance building and management;
- Recommendations for Mission alliance building support (e.g. tailored support on developing private sector engagement strategies, or assistance to the contracting office or Regional Legal Advisor);
- Recommendations around private sector engagement (subtopics could include outreach, communications, web development, etc.);
- Recommendations on alliance funding or a funding mechanism; and
- Recommendations for training related to Mission needs.

This Alliance Assessment Framework utilizes a participatory approach designed to address the growing need for USAID to forge strategic partnerships with the private sector and meet the operational realities of participating Missions. To foster a greater sense of ownership and buy-in, Missions undertaking a sector assessment that includes an alliance component are encouraged to participate actively.



# IV. BACKGROUND ON ALLIANCES AND GDA

As documented in several USAID studies and evaluations of performance, the GDA model has resulted in significant successes in the design and implementation of public-private partnership activities and alliances within USAID.<sup>1</sup> Since 2001, over 900 alliances involving more than 1,700 distinct partners have been formed. Partner contributions are estimated at \$9.6 billion with an average GDA leverage of 2.7 to each dollar expended by USAID. The Office of Development Partners/Private Sector Alliances Division (ODP/PSA) has historically supported USAID’s alliance building activities and efforts throughout the developing world. ODP/PSA conducts periodic GDA trainings in Washington and in Missions. In the field, a network of Regional Alliance Builders (RABs) provides on-site technical support to Mission personnel. Currently numbering six, RABs work with individual country Missions in each USAID geographic region to deliver targeted GDA support. The commitment of USAID employees, from Mission Directors to Program Team Members, and their dedication to undertaking the necessary tasks to develop public-private alliances have been essential to the GDA accomplishments to date.

## ALLIANCES DEFINED

USAID defines a public-private alliance, or PPA, as a strategic type of public-private partnership brokered for the purpose of achieving significant development impact. An alliance is an agreement between two or more parties to define and address a specific development problem. Alliance partners combine resources and share risks in pursuit of common objectives, while recognizing that each partner will have objectives not shared by other members of the alliance. There is no maximum number of partners, and each alliance is different.

The purpose of alliances is to deliver greater development impact through the combined strengths of multiple stakeholders. Alliances are possible where private sector interests share a degree of overlap with USAID’s strategic objectives or planned results. Alliances then become a mechanism by which USAID Operating Units tap into additional resources in support of Agency strategic objectives, and for-profit resource partners enlist USAID’s development expertise in support of their direct and indirect business interests. Alliance partners are expected to bring

new resources, ideas, technologies, and/or other partners to address particular development challenges. Conversely, an alliance should not be understood as a matching grant or an activity sponsorship.

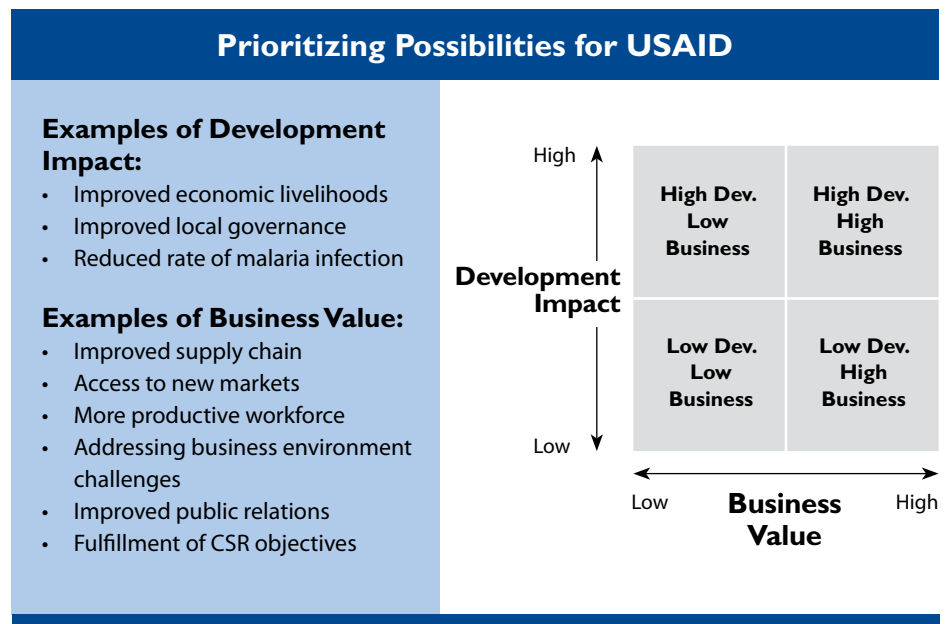
Alliances are distinguished from other public-private partnerships and traditional development interventions by a number of key criteria. They are a *market-driven approach* to partnerships between the public and private sectors to address *jointly defined* business and development objectives. Alliances are *co-designed, co-funded, and co-managed* by partners so that the risks, responsibilities, and rewards of partnership are equally shared.

As defined in the Annual Program Statement (APS), a solicitation mechanism for alliances issued each year by ODP/PSA, GDAs are a specific type of alliance distinguished by one important attribute – namely, the investment goal of a one to one leverage of cash, expertise, systems, networks and other resources (with at least 25 percent of all leverage in the form of cash).

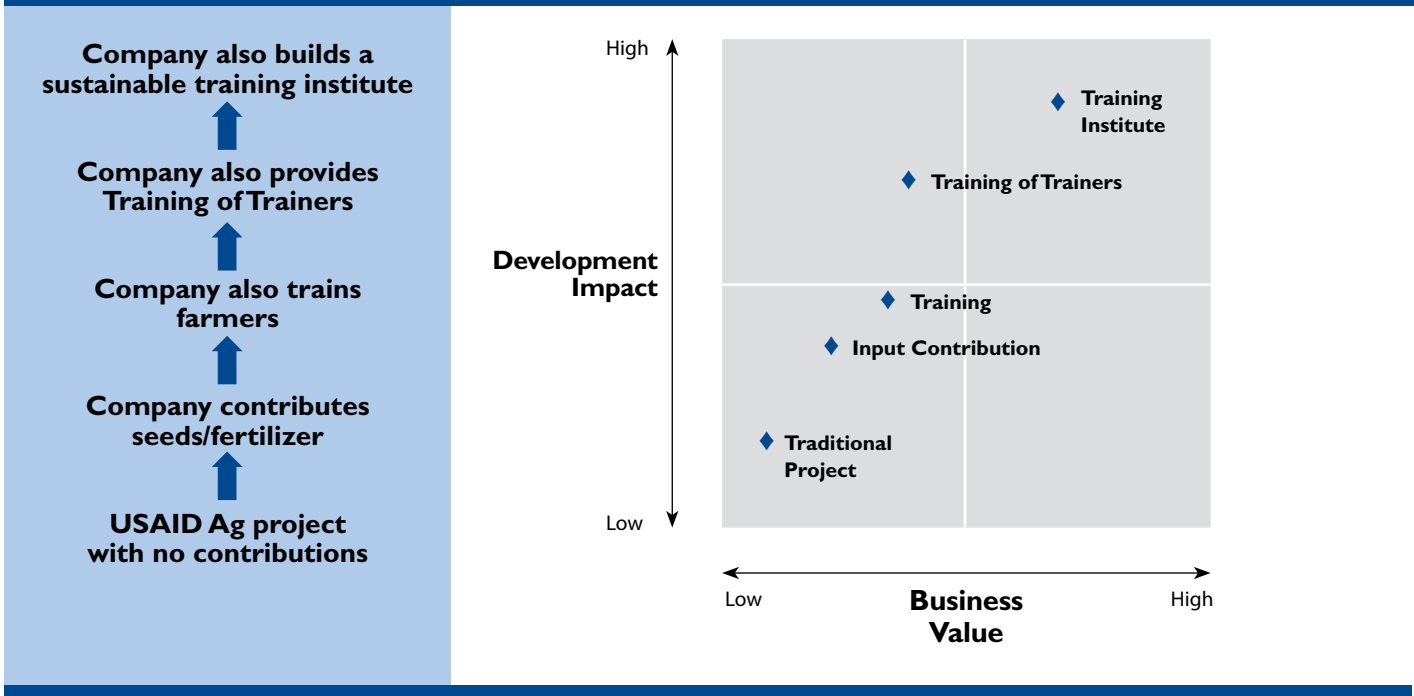
Annex 13 provides the full GDA criteria as defined in the 2010 APS.

## USAID ALLIANCE EVOLUTION

Over the past nine years, USAID’s approach to developing and implementing GDAs and alliances has changed. In its first five years, GDA was characterized as being implementer-led and opportunistic, relying on USAID/Washington Annual Program



## Towards Increased Development Impact and Business Value



Statement funds, supporting private sector philanthropic objectives, and focused on pilots and leveraging cash. Currently, and in contrast, USAID defines a strategic alliance approach as largely Agency-led and linked to Mission strategic objectives, relying on Mission funding, supporting private sector core business interests, and focused on rolling out successful models and leveraging private sector cash plus knowledge, technology, and other resources.

### UNDERSTANDING STRATEGIC ALLIANCES

Rather than the earlier emphasis on being implementer-driven and on leveraging funds, strategic alliance programming currently focuses on linking partnership promotion to Mission development objectives and leveraging other private key sector assets in addition to cash. Further, strategic alliances are viewed as a new generation of multi-stakeholder, public-private or multi-sector partnerships that include local-, national-, and global-level initiatives but are distinguished from the small-scale, short-term partnerships between USAID, companies, governments and civil society that characterized GDAs in their first years of existence.

ODP/PSA has developed a graph exercise that has proven useful in assessing these strategic principles. The diagram on page 7 charts various levels of Mission-defined development goals and impacts along the y-axis and the impact for businesses

and companies on the x-axis. The possible strategic partnerships that address priority Mission objectives while also addressing important private sector goals and objectives are situated in the upper right quadrant. The partnerships that are in that quadrant are expected to have high development impact while simultaneously achieving high impact for companies and businesses and can be determined as the highest priority for USAID engagement. At the same time, the possible strategic partnerships that address priority partner goals and objectives should be considered as a high priority for identified potential partners.

Building an alliance is a dynamic process that can lead to transformational development. Over time, partnerships and alliances can move into the high impact/high leverage quadrant as a project progresses. In the example charted above, a traditional agriculture project with no partnership that could supply fertilizer or other inputs is plotted in the lower left quadrant. An alliance that includes a resource partner interested and willing to provide some basic agricultural inputs would have the higher probability of supporting and achieving USAID’s agriculture development objectives. A project that begins with a private sector partner that provides seeds moves up the scale of priority and also shows a higher prospective level of impact. Through time, the same project can provide inputs such as training and eventually establish a training institute that would increase development impact, increase the level of private sector contributions, and support continuing sustainability.

## V. ASSESSMENT CONTEXT FOR MISSIONS

As alliances have become more common across USAID, there has been a move towards a more strategic and pro-active approach to identifying and building alliances. In the past, many alliances came to USAID either through the APS mechanism or through happenstance meetings of USAID and representatives of a like-minded company. Many alliances created this way were essentially reactive and often not well aligned with a Mission's strategic objectives.

This Single Sector Alliance Assessment Framework enables Missions to take a more proactive and strategic approach to alliance-building by integrating it into the sector assessments a Mission undertakes as part of its programming cycle. By

incorporating an analysis of alliance opportunities into sector assessments, USAID can better integrate strategic alliance opportunities into future programs and procurement actions in that sector, ensuring better results from the alliances it builds with the private sector.

In some cases, a Mission may choose to include an evaluation of current Mission alliance efforts, particularly if there is some desire to either continue, cease or expand an existing alliance initiative. While a review of GDA history in a country can be informative, the emphasis of the Single Sector Alliance Assessment Framework is forward-looking with a focus on providing comprehensive recommendations for integration of alliances into Mission thinking, planning, and strategy.

# VI. ALLIANCE ASSESSMENT STEPS

Single Sector Alliance Assessments are complex endeavors that involve numerous elements and a significant amount of planning. Alliance Assessments will consist of a number of key steps and stages. Section VI presents these core stages while clearly outlining their purpose

and goals (see table below for a summary). This section also focuses on approaches for analyzing findings and recommends methodologies for identifying, prioritizing, developing, and acting on alliance opportunities.

In all, there are ten (10) essential steps to integrating alliances

Alliance Assessment Steps & Goals		
	Steps	Goals
Step 1	<b>Understand Sector Assessment Focus and Priorities</b>	<ul style="list-style-type: none"> <li>• Learning about the Mission’s purpose for the assessment</li> <li>• Gathering key information regarding priority initiatives, earmarks, etc within the development sector</li> </ul>
Step 2	<b>Incorporate Alliance Assessment Elements into SOW and Budget</b>	<ul style="list-style-type: none"> <li>• Define role and deliverables related to alliances</li> </ul>
Step 3	<b>Conduct Background Research</b>	<ul style="list-style-type: none"> <li>• Focus on relevant development sector indicators</li> <li>• Coordination of indicator review with assessment team</li> </ul>
Step 4	<b>Identify Industry/Business Sectors and Companies</b>	<ul style="list-style-type: none"> <li>• Identify sector-related industries and companies</li> <li>• Identify relevant cross cutting industries (e.g. financial services, IT, etc)</li> </ul>
Step 5	<b>Elicit Assessment Team Feedback on Priority Sectors/Companies</b>	<ul style="list-style-type: none"> <li>• Possible Alliance Primer for team members, if needed</li> <li>• Garner input from other team members regarding priority industries/companies.</li> <li>• Based on team input tailor assessment questions/ interview strategy</li> </ul>
Step 6	<b>Prepare Contact Lists/Interviews</b>	<ul style="list-style-type: none"> <li>• Interview list and schedule created (as complete as possible)</li> </ul>
Step 7	<b>Interview Key Informants</b>	<ul style="list-style-type: none"> <li>• Business challenges and issues identified</li> </ul>
Step 8	<b>Alliance Opportunity Screening with Assessment Team</b>	<ul style="list-style-type: none"> <li>• Work with assessment team to ensure alignment with overall Assessment orientation</li> <li>• Ensure that potential alliances are aligned with overall assessment direction</li> </ul>
Step 9	<b>Prioritize &amp; Summarize Alliance Opportunities and Recommendations</b>	<ul style="list-style-type: none"> <li>• Alliance opportunities prioritized</li> </ul>
Step 10	<b>Integrate Opportunities into Assessment Report</b>	<ul style="list-style-type: none"> <li>• Work with assessment team to integrate alliance opportunities into overall assessment findings</li> </ul>

into a sector assessment. The table on page 10 reviews basic descriptions and goals for each step. It is important to note that some steps occur concurrently.

## STEP 1 – UNDERSTAND SECTOR ASSESSMENT FOCUS & PRIORITIES

*In this section, you will learn how to:*

- **Learn a Mission’s purpose for the assessment**
- **Gather key information regarding priority initiatives, earmarks, etc. affecting the sector**

A critical first step in understanding the potential role of alliances involves familiarizing the assessment team with a Mission’s aims for the sector assessment. To explore this potential, the team will engage in a series of interviews with Mission staff to assess the programming context for identifying alliance opportunities. Interviews should take place in part before the scope of work is drafted but will necessarily continue at the Mission once the team has travelled to the location of the assessment. These discussions will help the team understand both priorities and constraints the Mission faces with respect to building alliances. As identified in the Democracy and Governance Assessment Framework,<sup>2</sup> typical Mission constraints could involve any of the following:

- USAID’s interests & objectives in the country;
- The Mission’s current programming;
- Current and future earmarks<sup>3</sup>;
- Its current financial and human resources;
- Its bureaucratic needs, interests, resources, and constraints;
- The Mission’s tolerance for risk and its level of patience;
- Expected investment results and impacts;
- Other donor investments and activities;
- The Mission’s comparative strengths and weaknesses;
- Limitations of opportunities due to existing programming (i.e. mortgaged portfolio)

Discussions will focus on Mission goals and operational plans, key program focus areas, and past successes and failures in alliance building. Clustered discussions will be held on the phone and in person with key Mission staff on the Management Team, in the Program Office, on SO teams, and with other USG agencies and Project Implementers in ways that maximize the efficiency and concrete value for participating staff.

### Step 1 Output

- **A list of key assessment criteria from the Mission**

## STEP 2 – INCORPORATE ALLIANCE ELEMENTS INTO ASSESSMENT SCOPE OF WORK & BUDGET

*In this section you will:*

- **Define role and deliverables related to alliances**

Once an understanding of the Mission context has been achieved, the scope of work (SOW) should be negotiated and finalized. The SOW will be influenced by the following considerations:

- This Framework envisions a single experienced Alliance Assessment Specialist as the primary alliance-oriented assessment team member. This specialist should be experienced in alliance analysis, brokering, or management. It is not assumed that the Alliance Assessment Specialist will be technically proficient in the specific technical development sector being assessed, although the specialist should have firm understanding of development impact and USAID programming generally. The Alliance Assessment Specialist must be competent with the mechanics of alliance and partnership building.
- The assessment team should choose a Logistics Coordinator that has familiarity with the country’s private sector in addition to traditional development assessment subjects (i.e. NGOs, donors, government agencies, etc.). Because the Logistics Coordinator will need to organize meetings with key businesses and companies for the Alliance Assessment Specialist, knowledge of company contacts will greatly assist the planning process.
- The overall level of effort will be based on the size of the country and the desired scale of alliances within the assessment. Experience in piloting the Assessment Framework has shown that larger countries – measured by geography and/or the size of the economy – require a superior level of effort compared to smaller countries. Regardless of size, a minimum of 2 person-weeks (1 Alliance Assessment Specialist for 2 weeks) will be required for fieldwork. One more work week will be necessary for preparatory management and report writing. One week is recommended for the full research and analysis phases (Steps 3 & 4). Travel time and time for translation of materials will also need to be factored.
- Although the Alliance Assessment primarily focuses on data that can be collected at a national (capital city) level, the Alliance Assessment Specialist may conclude that conducting part of the assessment at a subnational level is appropriate, particularly in larger countries.

This Framework contains a sample SOW in Annex 2 that illustrates an example assessment. In addition, job descriptions for both the Alliance Assessment Specialist and Logistics Coordinator are included as Annex 3.

## Step 2 Output

- A completed and approved scope of work
- Budget adjusted to include alliance assessment elements

## STEP 3 – CONDUCT BACKGROUND RESEARCH

*In this section, you will learn how to conduct & present research by:*

- Investigating major economic and relevant development indicators that have alliance implications
- Coordinating the indicator review with the assessment team

The broad nature of USAID's partnerships presents a particular challenge to any assessment team: where to begin when identifying alliance opportunities? After all, if alliances can be formed with virtually any business sector or company in a USAID presence country, an assessment team would logically question how to begin the process of identifying priority areas for potential alliances.

Properly conducted, targeted background research can serve as a running start for the alliance component of a sector assessment team before arrival in a country. The purpose of the research is to provide the Alliance Assessment Specialist with a pre-departure starting point for better understanding how development factors intersect with the interests of the private sector. At its core, the alliance background research will look for emerging business trends and development challenges that may extend beyond a traditional sector assessment's areas of focus.

Alliance-related research should be carefully coordinated with the overall research process for the sector assessment to avoid duplication of effort and to leverage the technical expertise on the assessment team. As such, the Alliance Assessment Specialist should rely on the sector team to provide key development sector trends and findings that are highlighted through the full preparatory research process.

By starting with those indicators that are directly relevant to the sector assessment goals, the Alliance Assessment Specialist can then examine a series of economic indicators that define the environment and context for business and industry development in a country. These indicators include:

- GDP breakout by composition
- Major trading partners
- Foreign direct investment profiles
- Global Competitiveness Index ranking
- Doing Business Index country rankings

A full list of Economic Indicators and sources are included as Annex 11. The indicator research can draw from sources ranging from the Economist Intelligence Unit (EIU) country reports and World Economic Forum data to USAID's BizClir and the World Bank's Doing Business reports.

Through a comparison of economic trends with development sector findings, the indicator analysis will begin to inform the Alliance Assessment Specialist about the business sectors and companies that might be ripe for partnership with USAID in the development sector under assessment. For example, in a Health Sector Assessment research may indicate a high rate of malaria in a particular region that is dominated by the extractives sector. Such a finding may lead the Alliance Assessment Specialist to conclude that the extractives sector would be worthy of highlighting through business sector analysis and company identification.

## Step 3 Output

- Completed indicator data analysis
- Relevant main assessment research incorporated

## STEP 4 – IDENTIFY BUSINESS SECTORS & COMPANIES

*In this section, you will use the research to analyze business sectors and develop a preliminary list of targeted companies via the following activities:*

1. First, determine sector strengths, weaknesses, opportunities, and threats (SWOT)
2. Next, classify sectors into dominant, emerging, & problematic categories
3. After sector SWOT & categorization, begin to prioritize sectors by looking at:
  - Development sector overlap
  - Economic importance
  - Government focus
  - Regional significance
4. Once the sector is analyzed, identify representative companies
5. Combine Elements 1-4 into Sector Table including identified companies

The next step in identifying strategic opportunities to build alliances involves the identification of key business or industry sectors and individual companies. Through the research process, the Alliance Assessment Specialist will identify the majority of business and industry sectors that are most pertinent to alliance building and that offer USAID the opportunity to utilize alliances in a strategic manner to leverage private sector resources for better development impact, greater scale, and sustainability. Once identified, business sectors can

then be analyzed through a number of lenses in order to gauge the potential for alliances. Each lens brings a unique focus to the sector in question and offers assessment teams the opportunity to investigate various perspectives of the intersection between business interests and development goals.

Much of this sector analysis will occur before the Alliance Assessment Specialist departs for fieldwork. Upon arrival in country, however, the Specialist should work with the assessment team to triangulate and add to the list of sectors and companies through meetings with leading USAID implementers, other donors, and key industry associations.

To help illustrate the value of sector analysis in identifying and prioritizing sectors, this Framework includes an example from an alliance assessment in Uganda – namely, the Telecom Sector in Uganda.

**I. Determine sector strengths, weaknesses, opportunities, and threats**

Once identified, business sectors can then be analyzed through a particular set of optics in order to gauge the potential for alliances. As a first step, the Specialist can conduct a desk-based SWOT analysis to probe for key intersections between business interests and targeted development goals for each identified industry/business sector. The ‘strengths’ of a sector refer to its comparative advantages, while ‘weaknesses’ focused on comparative disadvantages. ‘Opportunities’ should be seen as specific highlighted areas that could be ripe for partnership. ‘Threats’ are those external or sector-based issues that jeopardize success.

The table at right represents the SWOT analysis conducted for the Telecom sector in Uganda.

In applying a SWOT and categorization analysis to Uganda’s telecom sector in Uganda, a number of issues came to the fore:

- Investment in the telecom sector in the country had grown exponentially as a result of deregulation in 2006, making it one of the country’s most dynamic *emerging* sectors.
- While mobile phone companies achieved a remarkable rate of geographic penetration into rural areas of country, the sector was hampered by a lack of value-added services designed to attract customers as compared to the telecom sectors in neighboring Kenya and Rwanda.
- Additionally, a new East African fiber optic cable was just coming online and was predicted to increase Ugandan access to the internet exponentially, particularly in rural areas.

As a result of this analysis, the Assessment Team was primed to investigate the sector further. The team then identified a number of potentially important business interests (e.g. the need for value-added services) that overlapped with development issues (e.g. rural economic development).

Strengths (Competitive Advantage)	Weaknesses (Competitive Disadvantage)
<ul style="list-style-type: none"> <li>• Sector rapidly grew leading to coverage in 90% of the country</li> <li>• One of the most competitive sectors in Uganda</li> <li>• Price point has decreased rapidly, making phones affordable to growing masses of Ugandans</li> <li>• Six months from the introduction of mobile money transfer, MTN and Zain registered approximately 250,000 clients onto the mobile money transfer service moving over 40 billion shillings in transactions.</li> <li>• Voice SMS service offered.</li> <li>• Uganda telecom recently launched solar-powered GSM phone.</li> </ul>	<ul style="list-style-type: none"> <li>• Penetration has leveled off</li> <li>• Price point may not lower further</li> <li>• Value-added services slow in developing (compared to other regional countries like Kenya and Rwanda)</li> </ul>
Opportunities (Positive Trends)	Threats (Challenges)
<ul style="list-style-type: none"> <li>• Value-added services including mobile banking and other SMS-based options</li> <li>• East African fiber optic cable will lead to vast internet opportunities (including rural wireless internet)</li> <li>• Sector deregulated in 2000</li> </ul>	<ul style="list-style-type: none"> <li>• Low literacy rates limits rural penetration</li> <li>• Rapid expansion – sector may have too much competition</li> <li>• Urban market is near full maturation</li> </ul>

**2. Classify the sector into relevant economic category**

In addition to a basic SWOT analysis, the Alliance Assessment Specialist can catalog sectors in order to determine their role in the overall economy. Such classification can help assessment teams conceptualize and identify a role for alliances in addressing key issues related to the nature of the sector in the economy. Sectors can be classified in three primary and functional ways:

- **Dominant/Established.** These sectors represent the ‘commanding heights’ of the economy, where leading companies (in terms of revenue and visibility) are concentrated. Such sectors drive the economy and occupy a significant piece of a country’s GDP.
- **Promising/Emerging.** Other sectors of the economy may not yet play as significant a role in the economy as dominant sectors, but they hold the potential to be a

source of growth for the private sector and a catalyst for achieving development objectives. These sectors can be quantified by potential rather than actual growth. For example, although not yet operational, the oil industry in Uganda was predicted to double the size of the country's GDP in ten years.

- **Problematic.** Typically these sectors of the economy are so distorted or underdeveloped that they are negatively impacting broader development issues. In the worst cases, problematic sectors impede economic development or growth of the private sector. Problematic sectors may be those particularly prone to corruption, or those that adversely impact the environment or human development issues. Other examples of problematic sectors could include those that were once dominant but are in decline due to market factors.

Alliance opportunities will typically be most strategic when oriented towards dominant or emerging sectors. With the latter, USAID may be able to play a catalytic role in helping strengthen the sector and/or assure positive development impacts as they emerge. With the former, USAID can partner with dominant sector companies with the goal of reaching scale in the reach of activities or mitigating large-scale negative impacts (e.g. environmental damage from the oil industry).

Initial sector identification can occur during the desk-based research phase. Once in country, the specialist should triangulate and add to its list of sectors and companies through meetings with leading USAID implementers, other donors, and key industry associations.

The following table illustrates categorization for all major business sectors in Uganda as identified by the Uganda Assessment Team. The Telecom sector was clearly determined to be “promising/emerging.”

Business Sector Classification in Uganda		
Dominant/ Established	Promising/ Emerging	Problematic
Manufacturing Agriculture-Coffee Agriculture-Tea Agriculture-Cotton	Telecom Mining/Oil/Gas Financial Services Tourism Education Healthcare/ Pharmaceuticals	Fish Agriculture-Flowers

### 3. Prioritize the sector through filters

After completion of the business sector SWOT and category analyses, the assessment team can use a series of filters to prioritize and make decisions regarding the potential value of sectors to alliance building. These are:

- **Development Sector Overlap.** Are there significant business sectors that have obvious and significant overlap

with the specific development concerns of the assessment? These could range from the role of agribusiness for local economic development or the impacts of extractive sector on the environment or potential social unrest to the build-out of telecommunications into rural areas and the growth of the independent media sector.

- **Importance of the Sector to the Overall Economy.** Is the sector expected to have a major role in driving or otherwise affecting the economy? Whether categorized as dominant, emerging, or problematic, it should be seen as a sector that has a significant role in the economy.
- **Host Country Government Priority or Focus.** In some countries, a number of sectors may be highlighted by the national government as part of a national development plan. Such focus could serve as a catalyst for engagement, particularly for emerging sectors that might be looking for support and investment.
- **Regional or Cross-Border Significance.** An assessment team may know from an early point that a particular region will be highlighted in an assessment, perhaps due to Mission prioritization. In this scenario, the assessment team can determine the most significant sectors to the economy of a particular region.

Sectors that pass through these filters with a high ‘tick rate’ should be seen as high priority. To reiterate, however, the team should always triangulate and add to its list of sectors based on its initial meetings with leading USAID implementers, other donors, and key industry associations.

‘Filtering’ the Ugandan Telecom sector fundamentally helped uncover its potential for alliance building:

Development Overlap	Mission Interest	Economic Importance	Government Priority	Regional Significance
✓	✓	✓		✓

As determined during the SWOT analysis, the sector revealed significant overlap with development issues. Due to urban market saturation, mobile phone companies viewed profit and operational growth as determined by their expansion into new rural markets. Further, the sector was predicted to help boost rural economic development in the north of the country, which was prioritized by the Mission as a key area of focus. Overall the economic landscape had already been clearly affected by the rise of the telecom sector.

### 4. Begin to identify companies

Having selected priority sectors, the assessment research can begin the process of identifying leading international and local companies in each of the sectors. During the research process, an initial list of companies can be fashioned based on a number of factors including market share, sector influence, and regional importance. Sources may range from major research institutions including the Economist Intelligence Unit and the World Economic Forum to online resources such as business



association lists and sector review reports. Upon arrival in country, the Alliance Assessment Specialist will continue the refinement process by identifying companies through key informant interviews with USAID and Embassy staff, business associations, and local implementing partners. These framing discussions provide both insights into development challenges and issues motivating the private sector as well as additional companies and contacts for interviews.

In the case of the Ugandan Telecom sector, the assessment team assembled a broad list of leading companies that was ultimately boiled down to three important corporations for interviews. The following table presents the full list of Ugandan companies and highlights the top three as determined by the team.

Leading Companies	
• MTN Uganda *	Uganda
• Orange Uganda*	• Bushnet Infocom
• Zain Telecom*	• RCS Radio
• Suretelecom Uganda Ltd.	• Communications
• Smile Communications	• Jireh Technologies
• Computer Frontiers	• International
• International	• Zineth Electronic
• Communications	• Security and
• Commission	• Communication
• UTL	• i-Tel
• AFSAT Communications	• Bitwerk Technologies Ltd

\* Companies interviewed

### 5. Summarize sector analysis in table form

Once a sector has been fully scrutinized, the assessment team can summarize results in table form. The summary includes a SWOT summary analysis, categorization as dominant, emerging, or problematic, a prioritization filtering process, and an initial list of companies within the sector targeted for interviews. Annex 12 provides a summary table template that can be used for sector analyses as well as an example of the complete Ugandan Telecom sector analysis table.

To review, each lens of sector analysis provided the Uganda Assessment Team with a different perspective on the potential for partnership. The Telecom sector analysis itself not only highlighted the sector for further inquiry through interviews, it also provided major themes for discussion with sector representatives, underlined specific questions to ask during interviews, and gave the team a more precise sense of the most valuable companies and officials to approach.

**Step 4 Outputs**

- **Priority sectors initially identified**
- **Initial list of identified companies (to be updated on a rolling basis)**
- **Sector analysis tables filled**

## STEP 5 – ELICIT ASSESSMENT TEAM FEEDBACK ON PRIORITY SECTORS/ COMPANIES

*In this section you will:*

1. **Ensure that there is a common understanding of alliances within the assessment team**
2. **Leverage the assessment team's expertise and network to strengthen the identification of priority business sectors and companies**

### I. Orienting the team on alliances

Public Private Alliances, while not new, are not always a familiar concept to other professionals in the development space. Many technical specialists may lack exposure to alliances as a means of achieving development objectives or may have misconceptions about them, e.g. thinking of alliances as matching grants or fundraising. This lack of knowledge or awareness of the role and value of alliances can hinder integration with the overall assessment team.

It is also important to remember that while the Alliance Assessment Specialist's focus on the sector assessment team may be on partnerships, others on the team can actively contribute in identifying strategic alliance opportunities. Therefore, it is important that the Alliance Assessment Specialist engage other team members throughout the assessment process.

If other assessment team members seem unfamiliar with the role of alliances, it may be worth conducting a very brief introductory primer on alliances for the assessment team at an early phase of the assessment process. This can be done through a brief presentation, through sharing of relevant Alliance Showcases or other GDA-related material or through informal dialog with individual members. The goal is to make sure that the assessment team as a whole has a shared understanding of what alliances are and the role they can play in the sector.

### 2. Assessment team input on priority business sectors and companies

Having developed a preliminary list of priority business sectors and companies through the Sector Tables presented in Step 4, the Alliance Assessment Specialist can present these initial findings to the other members of the sector team for feedback and input. In presenting this material, here are a few key questions to try to answer:

- To what extent do the identified business sectors and priority companies appear to be in line with the overall direction of the assessment?
- What other priorities have emerged during the research process that the Alliance Assessment Specialist should be aware of?

### Common Misconceptions Regarding Alliances

Although alliances are far more common today than they were a decade ago, many in the development sphere still have basic misconceptions about them. Here are some common 'myths' about alliances:

- **Alliances are just matching grants.** Alliances are not about matching funds. Rather they are about shared goals, responsibilities, and risks. While in some cases that may involve funding, in many other cases the private sector may contribute technology, market access, expertise and other resources, which may represent far greater value to USAID than matching funds to an NGO partner.
- **There must be a 1:1 match.** While formal ADS requirements state that GDAs must meet this requirement, alliances can reflect any level of resource contribution so long as there is joint planning and responsibilities. Our main goal is to maximize development impact, not leverage.
- **Alliances are a passing fad.** After more than 900 alliances, they are an increasingly central part of how USAID conducts its business.
- **Alliances are only in Economic Growth.** Actually, there are a great many alliances in other development sectors in which USAID works, including health, democracy and governance, humanitarian assistance and environment.

In working with fellow team members, the Alliance Assessment Specialist needs to try to dispel these myths and ensure a common understanding of alliances on the assessment team.

- What other business sectors or companies does the team believe will offer significant alliance-building opportunities? What about professional or industry associations?
- To what extent do cross-cutting sectors, such as IT and financial services, play a role in sector?
- What are key sector-related questions that we should be asking the private sector?

Building on the Assessment Team's feedback, the Alliance Assessment Specialist can then refine/expand the list of priority sectors and companies to be interviewed. In addition, s/he can tailor interview questions to incorporate sector-specific issues/challenges.

By eliciting feedback from the rest of the Assessment Team at an early phase, the Alliance Assessment Specialist can ensure that his/her line of inquiry with the private sector is broadly consistent with the overall direction of the assessment. Moreover, it is also an opportunity to leverage the expertise and networks of other members of the Assessment Team.

## Step 5 Outputs

- **Team feedback incorporated into business sector and company identification**

## STEP 6 – PREPARE A CONTACT LIST & SCHEDULE MEETINGS

*In this section, you will organize the assessment field site visits to maximize input from the private sector as well as key USAID stakeholders. Specifically, this section will cover:*

- **Preparing interview list and scheduling meetings for identified companies**
- **Deciding with whom to meet in a company**

Based on the companies identified in the sector analysis, the team's Logistics Coordinator will work with the Alliance Assessment Specialist to identify company contacts and schedule meetings for the team. It is recommended that this process begin at least two weeks prior to the Assessment Team's arrival in country. An updated list of contacts should be provided to the Team Leader on a daily basis. The Alliance Assessment Specialist should work closely with the Logistics Coordinator to confirm the proper type of contacts for interviews (see text box "Who to Meet With" for company contact types). The Logistics Coordinator can start scheduling meetings as soon as the Alliance Assessment Specialist confirms the companies and individuals targeted for interviews.

Ideally, the first few days after the Alliance Assessment Specialist's arrival should be centered on accompanying the full assessment team to participate in framing meetings with USAID management and operational units, key implementing partners for USAID, other donors and NGOs, and government officials. These meetings should be carefully coordinated with the overall assessment team in order to avoid multiple meetings with the same interviewee.

For the Alliance Assessment Specialist, the overall purpose of these meetings will be twofold. First, these meetings will help ground him or her in the overall purpose of the assessment and the development sector needs and priorities for the Mission. Second, the framing meetings will triangulate and add to the list of business sectors, companies, and contacts generated by the Alliance Assessment Specialist prior to their arrival. Because this second goal is unique to the Alliance Assessment Specialist, he or she will likely need to meet with a range of USAID & USG representatives as well as implementing partners and other organizations that may not be relevant to the full assessment team. Such representatives will include the Mission's Economic Growth technical team, the Embassy Economics Officer, and the Foreign Commercial Service representative. Experience in piloting the Assessment Framework has revealed that numerous important sector trends, leading companies, and key contacts

## Who to Meet With

There are no hard and fast rules about the type of company representative it is best to meet with. The team needs to manage its need to get strategic information while respecting the time limitations of senior corporate managers. While meeting with a CEO or MD can be very insightful, the team needs to remember that a senior corporate leader's time is at a premium and an assessment may not be the best use of that time. At a minimum, the team should try to meet with a manager of sufficient seniority that s/he can provide an overview of the company's operations and challenges. When possible, the team should try to meet with a manager most closely related to the development issues identified in the research process. Here are some examples of typical company management positions and their possible relationship with USAID development interests:

**Operations Managers** – supply chains, distribution networks, workforce development, market access

**CSR/PR Managers** – social issues, corporate philanthropy, labor standards, community engagement

**Marketing Managers** – co-marketing, customer outreach

**HR Managers** – workforce development, education, health

**Finance/Admin Managers** – workforce issues, funding, IT

**Environmental Managers** – conservation, natural resource management, environmental standards

will be identified after the framing meetings have been initiated.

The schedule should be viewed as a flexible document to be altered as needed during the assessment process. The Logistics Coordinator will necessarily add and subtract meetings throughout the assessment. Despite this, the earlier meetings can be fixed, the better. Depending on the country and the size of companies, meetings with business leaders may need to be organized at two weeks prior to an Alliance Assessment Specialist's arrival. At the very least, the first week of meetings should be as organized as possible before the Alliance Assessment Specialist arrives.

A sample schedule and contact list template are included as Annex 5 to this Assessment Framework.

## Step 6 Outputs

- **Contact list started at least two weeks prior to arrival**
- **Schedule organized (with first week nearly full prior to arrival)**

## STEP 7 – INTERVIEW KEY INFORMANTS

*In this section, you will learn how and why company interviews are the most essential step in identifying alliance opportunities. Specifically, you will be able to:*

1. Understand the purpose and types of interviews and how to manage company expectations
2. Know the questions to ask and how to organize answers
3. Identify company challenges and issues as the basis of strategic alliances
4. Organize a focus group (if relevant)

### I. Purpose and types of interviews and managing company expectations

Core to the assessment process are interviews with identified companies. The purpose of these interviews is to flesh out the business context and relevant data surrounding the business goals and challenges of major international and local businesses and to ascertain likely level of interest in partnering with USAID. Crucially, interviews explore and probe a company's business interests and commercial or operational challenges that might overlap with USAID's development interests being assessed. As highlighted previously, it is in this area of overlap, or 'sweet spot,' that the greatest opportunities for strategic partnering can be isolated. In general, interviews with the private sector focus in particular on:

- Current business priorities, investments, challenges and constraints
- Future business strategies, directions, and anticipated challenges
- Proposed areas of congruence between USAID objectives and business sector challenges

Discussions can be held with representatives from the following types of institutions:

- Officials from major international and local businesses identified through research and framing interviews
- Relevant local business networks including Chambers of Commerce, Rotary Clubs, etc.
- Relevant local industry associations
- Key business training institutions and universities
- Business consulting firms

Interviews will seek information on possible partnering opportunities with the private sector while at the same time identifying select industry 'champions' who will serve as the lead in future alliance discussions.

During and after the interview, great care needs to be exercised by the Assessment Specialist to manage expectations of the private sector. It is important to keep in mind that the assessment team is representing USAID and asking much of company executives regarding areas of collaboration. It is only natural that some of those interviewed may begin to assume that USAID is ready to partner with them. The text box below presents a few common sense tips for managing private sector expectations.

### 2. Questions to ask and how to organize answers

This Assessment Framework includes a series of industry-oriented questions for the private sector, listed in the table on page 18. These questions should be seen as illustrative rather than binding. Nonetheless, each category of questions is essential for understanding the business challenges and interests that could overlap with USAID's targeted development objectives, thereby providing the foundation for strategic alliance opportunities.

Functional questionnaires designed for company and business association interviews are included as Annex 5a and 5b to this Assessment Framework. The table on page 18 both systematizes the question categories and provides a report template for assessment teams to organize the results of each interview. This Framework includes a blank interview summary template in Annex 7a as well as a sample company interview summary from a completed Alliance Assessment in Annex 7b.

### Managing Expectations in a Company Interview

**Prep the Meeting by Letter** – In arranging meetings, consider sending an introductory letter that clearly states the purpose of the requested meeting, the purpose of the assessment and how USAID will use the findings of the assessment. (See Annex 6 for sample letter)

**Clarify Interview Purpose** – During interviews, make it clear that USAID is gathering input from the private sector at this stage. Make it clear that the Assessment Team does not make decisions for USAID; rather the purpose is to provide recommendations.

**Include Mission Representation** – Having a representative from the USAID Mission accompany the team on interviews can be helpful in explaining current Mission priorities and programs. The representative can also direct follow-up to any near-term alliance opportunities that are uncovered in the interview process.











**Follow up by Note** – Be sure to follow-up an interview with a thank you letter or e-mail that states what the next steps in the assessment process will be. This is both a simple courtesy, but also provides an opportunity to convey the message that the assessment is not about brokering a specific deal with a company.

**Share a Version of the Report** – Whenever possible, the USAID Mission should send a copy of the public version of the assessment report to all key informant interviewees. Again, this is both a simple courtesy and will help interviewees understand how their input was incorporated into the assessment.

## Private Sector Questions & Interview Table

<b>Company Name</b>	<i>(Place company logo here)</i>
<b>Business Sector/Industry:</b> <ul style="list-style-type: none"> <li>• What is the industry/business sector?</li> </ul>	<b>Location of Operations/Production:</b> <ul style="list-style-type: none"> <li>• Where does the company operate?</li> <li>• Does the company have a regional focus?</li> </ul>
<b>Date of Interview:</b>	<b>Location of Interview:</b>
<div style="display: flex; justify-content: space-between;"> <div style="width: 48%;"> <p><b>Company Focus/Product:</b></p> <ul style="list-style-type: none"> <li>• What does the company produce or focus on?</li> <li>• How long has the company been in operation (in the country)?</li> <li>• What are its annual sales/revenue?</li> <li>• How many people does the company employ?</li> <li>• What is the projected employment going forward?</li> <li>• If there is an operational life cycle involved (i.e. mining, gas and oil), at what point in that cycle does the company find itself?</li> <li>• How long is the company expected to be in a country/ market/operational life cycle?</li> </ul> <p><b>Business Interests:</b></p> <ul style="list-style-type: none"> <li>• What are the company's long-term interests in a place/market?</li> <li>• Does the company see opportunities for expanding operations/market size in a country?</li> <li>• Are there barriers to this expansion?</li> <li>• What are the issues the company is currently facing?</li> <li>• How/where does the company see itself in five years time?</li> <li>• What are the barriers for a company reaching its five-year goals?</li> <li>• What might be done to accelerate the process to reach the five-year goals?</li> </ul> <p><b>Business Challenges:</b></p> <ul style="list-style-type: none"> <li>• What are key business challenges that the company currently faces?</li> <li>• What would a particular company like to do that it can't because of external factors (legal, regulatory, environmental, etc.)?</li> <li>• What are key business challenges that the company anticipates in the future?</li> <li>• Do any of these intersect USAID's development goals?</li> <li>• Are there specific barriers to entry in a particular market?</li> </ul> <p><b>CSR (if any):</b></p> <ul style="list-style-type: none"> <li>• Does the company have a CSR philosophy?</li> <li>• Does it have a CSR track record?</li> <li>• What type of specific CSR activities has the company undertaken?</li> </ul> </div> <div style="width: 48%;"> <p><b>Alliance/Partnership Potential</b> <i>(high/medium/low):</i></p> <ul style="list-style-type: none"> <li>• Is there high-level support in the company for these types of partnership?</li> <li>• What value does the company see in partnership?</li> <li>• Is there a 'champion' for partnership in the company (i.e. someone who can functionally act as point person and move the partnership process along)?</li> <li>• Is there a long-term interest in having/building a relationship with USAID?</li> <li>• What could partnering with a organization like USAID allow you to do or help you to do better that you couldn't achieve on your own?</li> <li>• On a scale of 1-5, how would you rate the company's level of commitment to partnerships?</li> </ul> <p><b>Development Sector(s)/Objective(s):</b> <i>(Note: These questions are not to be asked but are for the interview summaries)</i></p> <ul style="list-style-type: none"> <li>• What are the development objectives relevant to the company's challenges and issues?</li> <li>• Does the USAID Mission focus on strategic objective areas relevant to this discussion?</li> </ul> <p><b>Leverage:</b></p> <ul style="list-style-type: none"> <li>• What resources could the company provide/contribute to a development project?</li> <li>• What are the initial investments a company would be willing to make?</li> <li>• Has the company contributed resources to prior projects?</li> <li>• What are the expected returns on an investment?</li> </ul> <p><b>Previous/current engagement with USAID (if any):</b></p> <ul style="list-style-type: none"> <li>• Has the company partnered with USAID in the country?</li> <li>• Has it partnered with USAID elsewhere?</li> <li>• Has it been involved with GDAs?</li> </ul> <p><b>Drawbacks (mini-due diligence):</b></p> <ul style="list-style-type: none"> <li>• Are there any issues or concerns about the company that the Mission should consider?</li> </ul> </div> </div>	

## Business Challenges in Uganda

	<b>Infrastructure</b> <ul style="list-style-type: none"> <li>• Poor transportation networks</li> <li>• High transportation costs</li> <li>• High construction costs</li> </ul>		<b>Access to Finance</b> <ul style="list-style-type: none"> <li>• High commercial lending rates</li> <li>• High government bond rates</li> <li>• Lack of long-term financing</li> <li>• MFI not targeting key sectors</li> </ul>
	<b>Electricity</b> <ul style="list-style-type: none"> <li>• High cost per kWh</li> <li>• High reliance on generators</li> <li>• Demand exceeds supply</li> </ul>		<b>Technical Skills</b> <ul style="list-style-type: none"> <li>• Low literacy and numeracy rates</li> <li>• Lack of basic technical training</li> <li>• Education curriculum &amp; business needs gap</li> <li>• Poor industry-education linkages</li> </ul>
	<b>Enabling Environment</b> <ul style="list-style-type: none"> <li>• Slow government decision-making and corruption</li> <li>• 510 days to enforce a contract</li> <li>• 77 days to register property</li> </ul>		<b>Management Capabilities</b> <ul style="list-style-type: none"> <li>• Lack of local management cadre</li> <li>• Absence of business skills</li> <li>• Poor corporate governance</li> </ul>
	<b>Input Factors</b> <ul style="list-style-type: none"> <li>• Counterfeit inputs</li> <li>• High cost for imported materials</li> <li>• High reliance on middle men</li> <li>• Insufficient R&amp;D into Ag-inputs</li> </ul>		<b>Demand for Ugandan Products</b> <ul style="list-style-type: none"> <li>• Weak local demand</li> <li>• Weak linkages to export markets</li> </ul>
	<b>Environmental &amp; Social Risk Management</b> <ul style="list-style-type: none"> <li>• Community engagement required</li> <li>• Environmental damage</li> <li>• Reputation risk</li> </ul>		<b>Employee Health</b> <ul style="list-style-type: none"> <li>• HIV/AIDS, malaria, etc., cause high absenteeism, loss of productivity, loss of skilled workers, high training costs</li> </ul>

### 3. Identifying company challenges and issues

Ultimately, the type or sector of the particular industry will very much dictate the business interests and challenges in question. Pharmaceutical companies may be more interested in property rights challenges (leading to Rule of Law GDA possibilities). Extractive industries could be concerned with workforce development challenges. Financial services businesses might be attracted to the potential of reaching new rural areas and markets. Challenges will range widely in nature, as exemplified above with the illustrated list of challenges from the Uganda Alliance Assessment report.

As assessments in Russia, Uganda, and Bangladesh have shown, many challenges identified in assessments may be cross-industry in nature. In Uganda, the assessment highlighted a number of key shared business challenges including poor infrastructure, a lack of technical skills, access to finance, poor enabling environment, and a lack of electricity and power. These challenges affected industry sectors as varied as oil, agriculture, construction, and tourism. The graphic on page 21 from the Uganda Alliance Assessment report illustrates the cross-sectoral nature of certain challenges.

While the overall course of decision-making for USAID presents challenges by industry or business sector, it should be noted that cross-industry challenges embody comprehensive alliance building opportunities for USAID. In certain cases, USAID can choose to focus on addressing challenges in a more wide-ranging fashion, choosing, for example, to partner on

improving technical skills that generate workforce development across a multitude of unrelated industries.

### 4. Organize a focus group meeting (if relevant)

In certain cases, focus groups provide exceptional opportunities to explore overlapping interests between the private sector and USAID. Focus groups can bring together businesses and organizations that share common development-oriented concerns or problems. For the Russian assessment, the US Consulate in Yekaterinburg organized an environment-themed roundtable that included large multi-national representatives, local Russian companies that have built business models around environmental issues, and leading local environmental NGOs. The resulting free-flowing discussion led not just to an open appraisal of effective environmental challenges and issues for businesses, but also to talk of how businesses could collaborate to address some of these concerns.

For more information on focus groups, please see Annex 9.

#### Step 7 Outputs

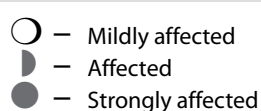
- **Company interview reports completed**
- **A comprehensive list of business challenges, bottlenecks, and issues identified**

## Cross-Sectoral Nature of Challenges in Uganda

Challenge	Business Sector							
	Agriculture (Crops <sup>1</sup> )	Agriculture (Dairy)	Agriculture (Fishery)	Oil	Food Processing/ Manufacturing	Financial Services	Telecom	Tourism
* Infrastructure	●	●	●	●	●	○	◐	●
Electricity	○	●	○	●	●	○	◐	●
Enabling Environment	○	○	●	●	●	○	○	◐
Input Factor Quality	●	○	○	○	●	○	○	◐
Access to Finance	●	●	◐	○	○	○	○	○
* Technical Skills	●	●	●	●	●	●	○	●
Management Capabilities	○	○	○	○	●	●	○	●
Demand Generation	●	●	○	○	◐	○	○	●
Environmental and Social Risk Management	◐	○	●	●	○	○	○	●
Employee Health	◐	◐	●	◐	●	○	○	○

<sup>1</sup>. e.g. Grains, cotton, sunflower seeds.

Source: Desk research; interviews



\* Yellow = Strongest cross-sector challenges

## STEP 8 – WORK WITH YOUR TEAM TO IDENTIFY ALLIANCE OPPORTUNITIES

*In this section you will:*

- **Work with your fellow sector assessment team members to identify strategic alliance opportunities that can inform the overall sector assessment.**

Having conducted interviews with key informants within the USAID community and in the private sector, the Alliance Assessment Specialist needs to work closely with the rest of the assessment team to synthesize research findings and define strategic alliance opportunities. The goal of this step is to leverage the expertise of the assessment team to define alliance opportunities that are aligned, to the extent possible, with the overall findings of the sector assessment.

### Screening for Alliance Opportunities

As a first step in identifying opportunities, the Single Sector Alliance Assessment Framework includes a series of screens for distinguishing the most strategic alliance potential. Each opportunity is initially generated from the business challenges and

interests identified within specific industry sectors. Each screen then filters these opportunities according to particular factors and indicators. Screen 1 sifts alliance potential according to *Business Sector Importance* for the country and economy. Screen 2 then distinguishes the remaining opportunities according to *Severity of the Challenge*. Screen 3 grounds the opportunities that pass through the initial screens opportunities in *Development Impact*. Screen 4 looks at the *USAID Value and Contributions*.

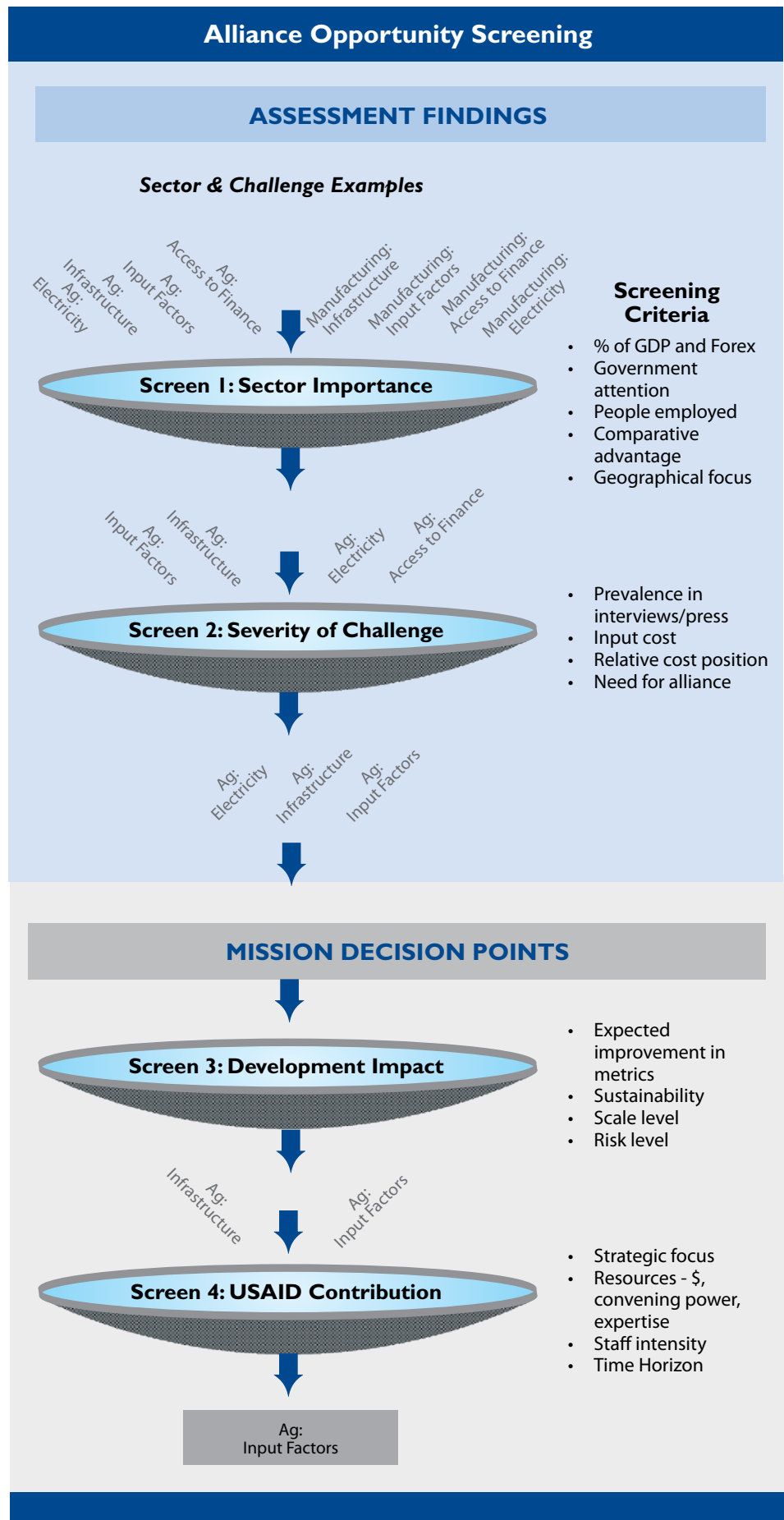
- **Screen 1 – Business Sector Importance.** What is the relevance or importance of various business sectors to the overall development sector under assessment? Is it a core industry to the sector, e.g. pharma for health? Or is it an industry that is impacted by development challenges, e.g. lack of healthy workforce? In addition, how important is the industry to the overall economy (percentage of GDP, #’s employed, growth rate, geography)?
- **Screen 2 – Severity of Challenge.** These indicators include the prevalence of the challenges in interviews and research (i.e. how often mentioned), the cost the challenge incurs to the industry, and the potential importance an alliance might play in addressing the challenge itself.
- **Screen 3 – Development Impact.** To pass through this filter, a potential alliance should lead to real development impact that might not be achieved with more traditional USAID approaches. Here, the assessment team can play a key role in helping define the significance for USAID of a proposed

alliance opportunity in terms of achieving USAID development objectives in a given sector. In other words, an alliance should address both business challenges and development interests by ultimately resulting in a unique shared outcome. An alliance that results in improving workforce training for a particular industry might address both the business interest of a current labor pool lacking needed skills as well as the development outcome of increased employment and improved livelihoods.

- **Screen 4 – USAID Value and Contributions.** Finally, USAID needs to determine the value of the alliance in terms of a strategic fit in its portfolio and whether USAID brings the appropriate resources to the partnership, which could range from development expertise to convening power and available budget. Moreover, Missions should decide if the requisite resources (such as staff intensity and time needed) outweigh the return on investment (i.e. development impact).

It is important to note that the USAID Mission itself plays a critical role in screens 3 and 4 in terms of understanding the development impact and what value USAID may bring to a potential alliance. A recent white paper by ODP/PSA entitled *(Re)valuing Public-Private Alliances: An Outcome-Based Solution* has identified a range of metrics designed to highlight the value of alliances. These metrics range from those aimed at capturing the value of an alliance to others that measure the effectiveness of the alliance building process itself. The screening criteria can help a Mission determine which potential alliances make the most sense before it invests resources into their development.

The alliance screening process can be illustrated graphically, as demonstrated with an illustrative diagram from an assessment in Uganda that follows:





The screening process represents an excellent opportunity for the Alliance Assessment Specialist to leverage expertise and feedback from other assessment team members. When possible, the Alliance Assessment Specialist may want to organize a brainstorming session with the team where the screens are applied to opportunities the Alliance Assessment Specialist has identified. At a minimum, the Alliance Assessment Specialist should seek expertise and feedback from other team members regarding alliance opportunities. This is critical particularly in assessments for which the Alliance Assessment Specialist lacks substantial technical expertise in a given sector.

By applying a rigorous screening process the team can ensure that opportunities identified possess both significant development impact for USAID and business value for the private sector. It is in this intersecting 'sweet spot' where meaningful and strategic alliances are forged.

**Step 8 Outputs**

- **Alliance Opportunities identified and screened**

## STEP 9 – PRIORITIZE & SUMMARIZE ALLIANCE OPPORTUNITIES

*In this section you will learn how to:*

1. **Prioritize alliance opportunities**
2. **Summarize alliance opportunities for inclusion in the assessment**

### I. Prioritizing Alliance Opportunities

An Alliance Opportunity needs to describe the ‘who, what, when, where, how and why’ of a potential alliance. In

describing an alliance opportunity, however, it is not enough merely to illustrate the opportunity and possible resource partners. Alliances tend to be labor-intensive and often require substantial USAID resource contributions. They also can involve potential risks for USAID. Therefore, it is critical that Mission management understand the tradeoffs regarding the possible development benefits associated with a proposed alliance. The Alliance Assessment Specialist needs to work carefully with the Mission to prioritize alliance opportunities through the determination of the appropriate development impacts and USAID contributions. The Mission Decision Point and Prioritization tables are meant to provide Mission management with a concise overview of key factors so that an informed decision about moving forward with the proposed opportunity can be made.

## Mission Decision Points: Development Impact

### Screen 3

**Systemic Change** refers to whether the alliance has the potential to make a substantial positive impact on the development challenge.

- **Low:** Alliance activities delivers positive results for immediate beneficiaries.

*Example:* USAID and ExxonMobil launch a women’s micro-credit program in Angola.

- **Medium:** Alliance activities result in positive outcomes for immediate beneficiaries and demonstrable changes in practices/policies and/or behaviors at the local/firm level.

*Example:* USAID and ExxonMobil partner to strengthen the capacity of local SMEs to serve as local suppliers to an ExxonMobil operation.

- **High:** Alliance activities result in substantial and demonstrable changes in policies/practices and/or behaviors at the national, industry or sector levels that materially advance USAID development objectives.

*Example:* USAID, ExxonMobil, the government of Angola, several other oil firms, and commercial banks partner to create a ‘one-stop shop’ for SMEs across the country to serve as local suppliers, including access to procurement opportunities, business development services, and financial services.

**Sustainability/Replication** seeks to define whether activities or impacts of the alliance can be continued after USAID support for the alliance may end. Replication refers to how feasible it is for USAID or private sector partners to reproduce a successful alliance activity in other contexts.

- **Low:** Proposed alliance activities are essentially one-off with no opportunity for sustainability or no easy means to replicate.

- **Medium:** Proposed alliance activities may be supported by other alliance partners after USAID support is completed. The alliance is designed so that it can be easily replicated by USAID or other partners for use in other sectors/regions.
- **High:** Proposed alliance activities create a new market opportunity that attracts significant private investment that will support USAID development objectives.

**Scale** refers to the breadth of geographic or sector impact that will be achieved through the alliance. For example, an alliance with a financial services firm to deliver mobile banking might have nationwide implications across populations, while an alliance with a coffee company to improve coffee bean quality might be tightly focused both geographically and on impacted populations.

- **Small:** The proposed alliance operates on a local scale in single or small number of communities.
- **Medium:** The proposed alliance operates on a regional or sector-specific scale.
- **Large:** The proposed alliance operates at a national level potentially impacting a sizable proportion of targeted beneficiaries.

**Risk** refers to both development and reputational risk that USAID may face as a result of the alliance.

- **Low:** The proposed alliance involves companies with which USAID has partnered successfully in the past.
- **Medium:** The proposed alliance is with companies that have not partnered with USAID in the past, but are well-known and regarded in the country.
- **High:** The proposed alliance involves partners involves a substantial USAID financial contribution in partnership with companies in high-risk or controversial industries.

## Mission Decision Points: USAID Contributions

### Screen 4

**Staff Intensity** refers to the level of USAID/Mission staff involvement that may be required to bring an alliance to fruition and oversee its successful implementation.

- **Low:** Alliance can be built and implemented relying mostly on staff performing their current duties or through existing implementing partners.
- **Medium:** Building the alliance will require existing USAID staff focus significant time to build the proposed alliance. Job descriptions and AEFs of affected staff will require adjustment.
- **High:** Building the alliance may require dedicated staff focused on exclusively on building and managing the proposed alliance.

**Time Horizon** defines the amount of lead-time required to take the proposed alliance opportunity from its present form to the point at which actual alliance activities are underway.

- **Near Term:** The proposed alliance can be built and activities commenced within six months.
- **Medium Term:** The proposed alliance will require 6-12 months to build and commence activities.
- **Long Term:** The proposed alliance will require more than 12 months to build and commence activities.

What follows are several key metrics and measurement factors that may be important to a Mission as it makes a decision regarding an identified opportunity. Factors can include the predicted value that an alliance would add to a particular development objective (i.e. the outcomes resulting from an alliance that could not be achieved with a traditional development intervention). Other decision factors may include the required level of resource investment on the part of the Mission. This list is not meant to be exhaustive. Alliance Assessment Specialists are encouraged to work carefully with the Mission to add/change factors as appropriate to the assessment's needs. Factors presented here can also be viewed through the prism of the screening process described above. Each factor is therefore linked to a screen.

The first four factors (Systematic Change, Sustainability/Replication, Scale, and Risk) illustrate elements of Development Impact, measured through the incremental value an alliance brings to a development objective, and illustrated as Screen 3. The last two factors (Staff Intensity and Time Horizon) are among the essential process metric determinants for Missions in deciding whether or not they should invest in a specific opportunity (i.e., Screen 4). Predicting these will ensure that the ultimate generated value of the alliance outweighs the time and effort needed to build and execute it.

The factors above are essential in determining the value to USAID any single alliance opportunity would provide in addressing development objectives. The factors also qualify the real constraints and limitations facing the Mission including

### Alliance Opportunity Table Example

<b>Opportunity</b>	<b>Oil Revenue Sustainable Development Partnership</b>
<b>Sector(s)</b>	Oil & Gas
<b>Leading Companies</b>	Kobol Oil, Lombez Oil, other production companies
<b>Development Challenges</b>	<p>Kobol Oil, in partnership with Lombez Oil, has discovered and secured proven reserves of more than 700 million barrels of oil in three drilling blocks in the northwest corner of the country, as well as identifying more than 1.5 billion barrels of potential yet to be explored. Oil production is set to double the country's GDP. Properly managed, oil revenue could be a huge source of investment into major social, economic, and infrastructure development.</p> <p>At the same time, the new sector could cripple the country's progress by feeding corruption, weakening other economic sector competitiveness (i.e. Dutch disease), damaging unique ecosystems &amp; biodiversity, and fueling regional unrest if citizens do not view themselves as real beneficiaries. The operation is located in in the north in a sensitive and restive region still unstable from many years of conflict. Moreover, the project is near very sensitive and uniquely biodiverse ecosystems that could be severely damaged through improper planning.</p>

## Alliance Opportunity Table Example (continued)

<b>Business Interest</b>	<p>Kobol and Lombez are keen to ensure real societal benefit from production. Kobol in particular is determined not to feed corruption. It sees partnership with donors and NGOs as a major step in ensuring real development both at the community/regional level and with infrastructure development, a goal it feels is improbable if managed by the government alone. It would like donors to take a leading role in working with the government and oil companies to develop a national strategic plan for oil development and revenues.</p> <p>Once operations go into production, Kobol Oil will be building new communities from scratch in the region and is looking for help in many avenues of sustainable development. Finally, Kobol wants to show its investors and the world that it is a leader the country's development and a champion of its environment.</p>
<b>Potential Private Sector Resources</b>	Funding, access to the President's Office and the Ministry of Energy and Mineral Development, technical expertise.
<b>USAID Resources &amp; Value</b>	Kobol Oil has suggested that donors could play a major role through partnership in overseeing the planning and spending of oil revenue put aside for social, economic, and environmental investments. USAID could play a leading role with other donors to help the government use this valuable new resource as a platform for development, particularly in the north of the country that has long suffered from conflict and neglect. USAID and the US Embassy could take a lead in collectively determining a unitary course of action. Successfully administered, revenue from oil could serve as a basis for long-term development and stability.
<b>Constraints/Risks</b>	Those familiar with development of the oil sector in country have pointed to the potential for corruption and general opaqueness within the government's bureaucracy – particularly the Ministry of Energy and Mineral Development – as the single greatest risk to success. Another major constraint is the intensive role that USAID and the US Embassy would need to play in the development of this partnership. The Norwegian Embassy has taken a leading role in strengthening the government's capacity to manage oil production and revenue, but donors will need to unite and work together in order to leverage needed transparency and guarantee proper social investments.

the potential risks, staff intensity needed, and time expected for brokering and managing the partnership process.

## 2. Presenting Alliance Opportunities in Summary Form

By combining the screening criteria for private sector challenges and the Mission factors listed above, USAID can determine a short list of high-value alliance opportunities through the assessment process. The example from Uganda on page 27 exemplifies how alliance opportunities can be presented in a concise and actionable manner.

Finally, any alliance opportunity included in an assessment should provide clear and actionable recommendation for steps that a Mission can take to begin the process of transforming an opportunity into an alliance. For the opportunity from Uganda presented above, the steps are listed below.

### Illustrative Next Steps

- USAID needs to consult with the Embassy to see if it is possible to secure its support in facilitating this partnership.
- Program Office and RAB need to meet with Kobol and Lombez to better define possible priorities, key guiding principles and activities.
- Program Office may want to make contact with the Extractive Industries Transparency Initiative ([www.eiti.org](http://www.eiti.org)) to look for relevant models and support.

### Step 9 Outputs

- **Alliance Opportunities successfully prioritized through factor analysis**
- **Opportunity tables developed for assessment**

## Oil Revenue Alliance Priority Table Example

	Priority Factor	Rating	Comments
Screen 3	<b>Systemic Change</b>	High	The alliance could have a tremendous positive impact by creating a transparent and responsive mechanism for ensuring the benefits of oil revenues reach affected stakeholders.
Screen 3	<b>Sustainability/ Replication</b>	High	Because oil revenues are expected to last at least two decades, there is a high degree of sustainability. Moreover, the alliance could serve as a model for other extractive projects in the region.
Screen 3	<b>Scale</b>	Medium	The proposed alliance will reach substantial numbers of beneficiaries in the targeted regions.
Screen 4	<b>Risk</b>	Medium	Kobol Oil and Lombez Oil are relative newcomers to the country and neither has a history of working with USAID or other donors.
Screen 4	<b>Staff Intensity</b>	High	Building this alliance will require substantial staff time as well as a time commitment from USAID and Embassy management at key points.
Screen 4	<b>Time Horizon</b>	Long-Term	While there appears to be considerable interest in this opportunity, it will require significant negotiation with all key partners to define the actual alliance. Moreover, it is likely that USAID may have to procure an implementing partner to support its activities in the alliance.

## STEP 10 – INTEGRATE ALLIANCE OPPORTUNITIES INTO REPORT

*In this section:*

- **Prepare and revise findings for the report for USAID**

The Alliance Assessment Specialist should start drafting findings early, during the research phase and fieldwork. Ultimately, the Specialist will follow the Assessment Team’s lead on how alliance-oriented findings should be integrated into the overall report. The Assessment Team may decide to include only a select group of alliance opportunities themselves or they may include other findings including information from indicator

research and business sector challenges. Assessment Team members will also need to agree on a timeline and approach for finalizing and disseminating the report, in consultation with USAID. Typically, a draft report should be completed within one week to ten days after completion of the report. After Mission review and comments are provided to the Assessment Team, up to one work week may be necessary for revisions.

### Step 10 Outputs

- **Alliance recommendations integrated into sector assessment**

## ENDNOTES

- <sup>1</sup> Bureau for Policy and Program Coordination, USAID, *Assessment of USAID's Global Development Alliances in the Bureau for Asia and the Near East*, April, 2005, p 7.
- <sup>2</sup> Gerald F. Hyman , *Conducting a DG Assessment: A Framework for Strategy Development*, Technical Publication Series, Washington, DC, November 2000, p 4.
- <sup>3</sup> Earmarks are Congressionally-mandated provisions that direct approved funds to be spent on specific projects.
- <sup>4</sup> A SWOT analysis is a strategic planning approach used to evaluate the Strengths, Weaknesses, Opportunities, and Threats involved in a project or in a business venture. It involves analyzing the objective of the business venture or project and identifying the internal and external factors that are favorable and unfavorable to achieving that objective. For more information, see [http://en.wikipedia.org/wiki/SWOT\\_analysis](http://en.wikipedia.org/wiki/SWOT_analysis)

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## ANNEX I – ALLIANCE ASSESSMENT TIMELINE

Assessment Stages	Week 1	Week 2	Week 3	Week 4	Week 5	Week 6	Week 7
<b>Step 1</b> – Understand Sector Assessment Focus and Priorities							
<b>Step 2</b> – Incorporate Alliance Assessment Elements into SOW and Budget							
<b>Step 3</b> – Conduct Background Research							
<b>Step 4</b> – Identify Industry/Business Sectors and Companies							
<b>Step 5</b> – Elicit Assessment Team Feedback on Priority Sectors/Companies							
<b>Step 6</b> – Prepare Contact Lists/Interviews							
<b>Step 7</b> – Interview Key Informants							
<b>Step 8</b> – Alliance Opportunity Screening with Assessment Team							
<b>Step 9</b> – Prioritize & Summarize Alliance Opportunities and Recommendations							
<b>Step 10</b> – Integrate Opportunities into Assessment Report							



## ANNEX 2 – SAMPLE SCOPE OF WORK

If an Alliance Assessment is conducted as one component of a sector-specific assessment, such as Health, Democracy and Governance, Conflict Mitigation, Economic Growth, etc., the Scope of Work must be modified accordingly. The following is a sample scope of work for the Private Sector Alliances Component of a Health Assessment.

### **Health Assessment Private Sector Alliances Component Scope of Work**

#### **Summary**

The USAID/Mission Office of Health (OH) requests the services of a Consultant to identify private sector alliance opportunities as an integral component of the larger Health Sector Assessment. The Consultant's findings will be incorporated into the broader sector assessment with the goal of providing the Mission with high-level guidance as to those strategic alliance opportunities that will enable USAID to achieve its development objectives in the health sector.

#### **Alliance Assessment Component Objectives**

- To identify health-related challenges and opportunities impacting different sectors of the economy.
- To identify industries and companies most impacted by the above-identified challenges and opportunities.
- To gather input and analysis from private sector representatives through desk research, interviews, focus groups etc with the goal of identifying the intersection of their business interests and challenges with USAID's emerging objectives in the health sector.
- To define strategic opportunities where alliances with the private sector can have a substantial impact towards achieving USAID health-related objectives as an integral component of the broader Health Sector Assessment.

#### **Scope of Work**

##### **Background Research**

Prior to deployment to the field, the Consultant will conduct initial desk research, using the Single Sector Alliance Assessment Framework, focused on identifying those health related challenges that may be impacting the private sector in the target country. While the private sector health industry will obviously be a focus, it is important to remember that a variety of industries may be

impacted by public health issues including extractives, manufacturing, agri-business and others. Moreover, many industries, especially IT and financial services may have a strong interest in emerging business opportunities in the health sector and, thus, present significant opportunities for USAID to partner.

Together with the other members of the Health Sector Assessment Team, the Consultant will also be responsible for reviewing existing Mission strategy and project documents in the health sector to better understand current approaches. The Consultant will also participate in phone interviews with USAID/Mission staff to gain a better understanding of possible directions and constraints to future USAID health sector strategy. When appropriate the Consultant will also conduct phone interviews with existing USAID implementing partners and Embassy staff to seek their input regarding key challenges opportunities and companies.

On the basis of this research, the Consultant will develop a preliminary list of industries and companies for focus during the field research phase. In coordination with the rest of the Health Sector Assessment Team and the USAID Mission, the Consultant will organize meetings and focus groups with identified industry association and company representatives.

##### **Field Research**

As a core member of the Assessment team, the Consultant will participate in USAID/Mission and Embassy in-brief meetings with the goal of further refining targeted industries and companies.

The Consultant will conduct interviews and focus groups with representatives of targeted industries using the Single Sector Alliance Assessment Framework questionnaires as a guidepost for gathering critical input from the private sector on how and when health-related issues impact their respective companies and industries. It is anticipated that the Consultant will be able to interview between 15-20 private sector companies during the field research component.

##### **Report Preparation**

Based on the information gathered in the background and field research components, and inputs from the rest of the Health Sector Assessment Team, the Consultant will prepare a brief (2-3 page) background section on health-related challenges impacting the private sector. The Consultant will also prepare a summary (up to 5 pages) of strategic alliance opportunities where USAID can achieve substantial health-related development impacts through partnership with the private sector. Lastly, the Consultant will prepare a brief (2 page) discussion of the management implications of the alliance, including a discussion of Mission staffing and specific action steps required to realize the defined Strategic Alliance Opportunities.

## Consultant Qualifications

The Consultant will have both private sector and health sector-related experience, ideally in the developing country context. S/He will have a demonstrated understanding of USAID alliance building models within the Single Sector Alliance Assessment Framework. S/He will have excellent oral and written communications skills and a proven ability to work in diverse teams to prepare high-quality deliverables in a timely manner.

## Methodology

The Consultant will utilize the Single Sector Alliance Assessment Framework to inform his/her approach and presentation of deliverables.

## Deliverables

- 1. Input on Assessment Work Plan.** Within the first three days of the consultancy, the Consultant will provide the Health Sector Assessment Team Leader with input on alliance-related activities as part of the broader assessment work plan.
- 2. Background Research.** Not less than 10 days prior to arrival on site, the Consultant will provide the Team Leader with a 2-3 page summary of his/her background research on health related challenges and opportunities with the private sector in the target country.
- 3. End-of-field visit de-briefing.** The Consultant will provide input to and actively participate in the de-briefing with USAID/Mission staff.
- 4. Draft Alliance Component.** Prior to the de-briefing the Consultant will provide the Assessment Team Leader with a draft Alliance Component, which includes key findings and outlines strategic alliance opportunities and management implications. To the extent practicable, the Consultant will present his/her findings using the format provided in the Single Sector Alliance Assessment Framework.
- 5. Final Alliance Component.** The final report will incorporate Mission as well as ODP/PSA comments and recommendations. The final version of the Alliance Component should be submitted to the Assessment Team Leader within one week of the receipt of comments and

feedback from the USAID/Mission and ODP/PSA. At that time, the Consultant will also submit interview summaries for incorporation in the annex of the Health Sector Assessment Report.

## Timeline

The work of the Consultant will begin not less than two weeks prior to the proposed field visit. The following is an illustrative timeline:

<b>Week 1</b>	<ul style="list-style-type: none"><li>• Review of USAID documents</li><li>• Private Sector Background Research</li><li>• Submission of work plan component</li><li>• Phone interviews with USAID and implementing partners</li><li>• Identification of industries and companies</li></ul>
<b>Week 2</b>	<ul style="list-style-type: none"><li>• Coordination with USAID to schedule private sector company interviews and focus groups</li><li>• Delivery of Background Research Component</li></ul>
<b>Week 3</b>	<ul style="list-style-type: none"><li>• Key informant meetings with USAID, Embassy, implementing partners</li><li>• Key informant meetings with business and industry associations</li></ul>
<b>Week 4</b>	<ul style="list-style-type: none"><li>• Meetings with targeted companies</li><li>• Thematic or industry-specific focus group(s)</li></ul>
<b>Week 5</b>	<ul style="list-style-type: none"><li>• Preparation of assessment findings</li><li>• USAID/Mission de-brief</li><li>• Submission of draft deliverables to Assessment Team Leader</li></ul>
<b>Week 6</b> <i>(following feedback from Mission and ODP/PSA)</i>	<ul style="list-style-type: none"><li>• Submission of final deliverables to Assessment Team leader</li></ul>

## ANNEX 3 – JOB DESCRIPTIONS

### Annex 3a – Alliance Assessment Specialist

\_\_\_\_\_ seeks an Alliance Assessment Specialist for a three-week field \_\_\_\_\_ Sector Assessment in \_\_\_\_\_ that will take place from \_\_\_\_\_ to \_\_\_\_\_. The primary responsibilities of the Alliance Assessment Specialist include overseeing the application of the Single Sector Alliance Assessment Framework methodology in assessing the future potential for public-private alliances with USAID in \_\_\_\_\_. In doing so, the Alliance Assessment Specialist will be responsible for integrating alliance opportunity analysis into the overall sector assessment. The Specialist will report to the Assessment Team Leader and the Project Manager.

Several days prior to departure for \_\_\_\_\_, the Consultant will travel to Washington, DC to participate in a retreat/meeting involving all US-based Assessment Team members. The Consultant will then travel with the Assessment Team and spend up to fifteen (15) workdays in the field (not including travel or Sundays).

For this scope of work, the Consultant will complete the following tasks:

- To prepare for the Assessment, the Specialist will review all available documents, including the Assessment SOW, the Single Sector Alliance Assessment Framework, all assessment research completed by the Project Manager, and major USAID/\_\_\_\_\_ program materials as recommended by the USAID/\_\_\_\_\_ Alliance Assessment point person and team member.
- Once USAID/\_\_\_\_\_ has approved the SOW, the Specialist will work with the assessment Team Leader to draft a detailed work plan along with the schedule of fieldwork specifying how information will be collected, organized, and analyzed.
- The Consultant will lead an in-country assessment team.
- The Specialist will present findings during the assessment at a regular basis as determined by the Assessment Team Leader.
- The Specialist will draft alliance assessment recommendations and conclusions for inclusion of the final report to the USAID Mission. The Assessment Team Leader will coordinate assembly of the full sector report.

Proposed candidates must fulfill the following minimum attributes and qualifications:

- Minimum of ten years of senior level project management and/or technical assistance experience;
- A Master's Degree in business or international development, public policy or a related area or equivalent experience;
- Demonstrated management, leadership and interpersonal skills;
- Strong writing and oral presentation skills;
- Experience with public-private partnerships, preferably in the development arena;
- A track record of collaboration with private sector partners;
- Demonstrated assessment experience; and
- Clear understanding of USAID Mission operations, programming and strategic planning.

Interested candidates should send a resume, cover letter and recent writing sample to \_\_\_\_\_.

## Annex 3b – Logistics Coordinator

\_\_\_\_\_ seeks a logistics coordinator for a three-week field assessment in \_\_\_\_\_ that will take place from \_\_\_\_\_ to \_\_\_\_\_. The primary responsibilities of the Logistics Coordinator will be to organize meetings with key businesses and companies, plan meeting and daily schedules, and arrange overall travel and other logistics for the assessment team. The Assessment Team will provide the Coordinator with many names of private sector companies and other contacts with which it desires to meet. The Coordinator may also provide names of companies and contacts based on their own experience. The Logistics Coordinator will be responsible for setting all appointments. Overall tasks will include:

- Organizing meetings with local and international business representatives;
- Planning and keeping track of assessment team scheduling;
- Arranging local transportation as needed.

The ideal candidate will have the following qualifications:

- Solid network of local business contacts;
- Excellent understanding of the local business context;
- Bachelors Degree;
- Ability to work flexible hours including evenings;
- Comprehensive English language skills; and
- Ability to interpret if needed.

Interested candidates should send a resume, cover letter and recent writing sample to \_\_\_\_\_.

## ANNEX 4 – SAMPLE INTRODUCTORY LETTER FROM MISSION

*The following letter is an example of a letter from the USAID Mission sponsoring an assessment that can be used to approach the private sector for interviews. In many countries, this type of letter can be very helpful for attracting attention and opening doors.*



# USAID | BANGLADESH

FROM THE AMERICAN PEOPLE

December 30, 2009

Dear Colleagues,

As you may know, the U.S. Agency for International Development (USAID) has been cooperating with the government and people of Bangladesh since its independence in 1971 in the areas of health, governance, economic growth, food security, and disaster preparedness and response. USAID/Bangladesh has incorporated public private partnerships (called Global Development Alliances, or GDAs) as a key element in its development portfolio. USAID has implemented at least 8 alliances leveraging over \$17 million for programs throughout Bangladesh and across numerous development objectives.

USAID/Bangladesh recently commissioned an assessment of new opportunities for alliances with the private sector, and has hired the consulting company, SSG Advisors, to carry out this work in collaboration with USAID staff. The principal focus of the assessment shall be the development of an approach for USAID to engage the private sector for GDA development across potential program areas. As a core element of this approach, the assessment will carefully analyze the interests, challenges, and issues facing the private sector in order to determine potential areas of collaboration and partnership. In focusing on the business community in Bangladesh, the Assessment Team shall also strive to identify major opportunities for *new* partnerships and alliances with the private sector. The results of the assessment will contribute to the development of USAID/Bangladesh's efforts to strengthen collaboration with the private sector in achieving common goals.

Between January 10-21, Ms. Barbara Felitti and Ms. Susan Ross of SSG Advisors, and other members of the assessment team, will be meeting with members of the business community in Dhaka and Chittagong. They plan to meet with representatives of multinational, national, and regional corporations, as well as chambers of commerce and other business associations.

If agreeable to you, the assessment team would like to meet with a representative of your company to learn more about your company and explore potential areas of collaboration. We will contact you in the next few days and arrange a mutually convenient time for a meeting.

Thank you for your participation in this endeavor.

Sincerely,

Denise Rollins  
Mission Director

U.S. Agency for International Development  
U.S. Embassy  
Madani Avenue, Baridhara  
Dhaka-1212, Bangladesh

Tel: (880-2) 885-5500  
Fax: (880-2) 882-3648  
[www.usaid.gov/bd](http://www.usaid.gov/bd)

## ANNEX 5 – SAMPLE QUESTIONNAIRES

*The following questionnaires can be used both to prepare for and conduct interviews both with companies and with business associations.*

### Annex 5a – Questionnaire for Businesses

#### Part I - Preparation questions/discussion for before the meeting:

##### 1. Operational Details

- What is the industry/business sector?
- Where does the company operate?
- Does the company have a regional focus?
- How long has the company been in operation (in the country)?
- What are its annual sales/revenue?
- How many people does the company employ?
- What is the projected employment going forward?
- If there is an operational life cycle involved (i.e. mining, gas and oil), at what point in that cycle does the company find itself?
- How long is the company expected to be in a country/market/operational life cycle?

##### 2. CSR

- Does the company have a CSR philosophy and/or developed policy?
- Does the company have any identified areas for CSR/philanthropy?

### **3. Engagement with USAID or GDA**

- Has the company partnered with USAID in the country?
- Has it partnered with USAID elsewhere?
- Has it been involved with GDAs?

### **4. Leverage/Resources**

- What resources could the company provide/contribute to a development (or CSR) project?
- What are the initial investments a company would be willing to make?
- Has the company contributed resources to prior projects?

## **Part 2 - Interview**

### **1. Business Interests**

*Main question:*

- Goals — How/where does the company see itself in five years time?

*Possible follow-up questions:*

- What are the company's long-term interests in a place/market?
- Does the company see opportunities for expanding operations/market size in a country?
- What other opportunities are there for the company currently facing related to it's market?

### **2. Business Challenges**

*Main questions:*

- What are key business challenges the company currently faces in reaching its five-year goals?
- What might be done to accelerate the process to reach the five-year goals?

*Possible follow-up questions:*

- Are there barriers to expansion? Are there specific barriers to entry in a particular market?
- What would a particular company like to do now that it can't because of external factors (legal, regulatory, environmental, etc.)?
- What are key business challenges that the company anticipates in the future?

*Thematic questions:*

- Identify/explore any specific thematic questions for the company, e.g., How will effects of climate change impact their operations?
- What are they doing to address the problem?

**3. Leverage/Resources**

- Has the company contributed resources (materials, expertise, cash) to prior projects (i.e., projects to support the community or social groups)?
- What resources could the company provide/contribute to a development (or CSR) project?
- What are the expected returns on an investment?

**4. Partnership Potential**

- What types of organizations does the company work with on projects?
- What is the company's experience with these partnerships?
- What could partnering with a organization like USAID allow you to do or help you to do better that you couldn't achieve on your own?



## **Part 3 – Follow-up Assessment**

### **Business Interests and Challenges**

- Do any of the company's interests and challenges intersect USAID's development goals?

### **Corporate Social Responsibility**

- Does it have a CSR track record?
  
- What type of specific CSR activities has the company undertaken?
  
- On a scale of 1-5, how would you rate the company's level of commitment to CSR?

### **Partnership**

- Is there high-level support in the company for these types of partnership?
  
- What value does the company see in partnership?
  
- Is there a 'champion' for partnership in the company (i.e. someone who can functionally act as point person and move the partnership process along)?
  
- Is there a long-term interest in having/building a relationship with USAID?
  
- On a scale of 1-5, how would you rate the company's level of commitment to partnerships?

### **Due Diligence**

- Are there any issues or concerns about the company that the Mission should consider?

## Annex 5b – Questionnaire for Business Associations

### Operational Details

- Who are your organization's stakeholders?
- What type and what scale of businesses are members?
- Where does your funding come from?
- What kind of projects are you currently working on?
- Does the Association/Organization have a national/regional/international focus?
- Where does your organization receive the majority of its funding?

### Business Interests

- What is the Association/Organization's current view of the economy?
- What is the Association/Organization's long-term view of the economy?
- What are the key emerging areas/markets (for investment)?
- What are the key existing areas/markets?
- What are the greatest opportunities for investment?
- What are the greatest barriers to investment?

- What are the biggest issues your stakeholders are facing?
- How/where do you see the economy in five years time?
- What are the biggest barriers to this?
- What might be done to accelerate the process to of reaching five-year economic/trade goals?

### **Business Challenges**

- What are key challenges that stakeholders currently face?
- What are key challenges that you/ your organization anticipates in the future?
- Do any of these intersect USAID's development goals?
- Are there any sectors with specific barriers to entry/ expansion that you could expand on?

### **Partnership Potential**

- Are there any issues/concerns/interests that the organization sees as particularly fruitful for public-private partnership (with development goals) or CSR?
- Would the Organization/ Association point to any particular member or stakeholder that have high-level support for these types of partnership?

### **Due Diligence**

- Are there any issues or concerns about business sectors or industries that the Mission should consider?

### **Next Steps**

- Is there anyone that you would recommend that we speak with next?

# ANNEX 6 – CONTACT LIST & SCHEDULE TEMPLATE

The following table can be used by the Logistics Coordinator to organize interview contacts and schedule meetings.

Meeting Time	First Name	Last Name	Title	Company	Address	Phone	Sector	Notes <i>(Who will attend/ attended meeting)</i>
<b>Monday</b>								
<b>Tuesday</b>								
<b><i>Not Yet Scheduled:</i></b>								

# ANNEX 7 – COMPANY INTERVIEW REPORTS – TEMPLATE AND EXAMPLES

The table below can be used to organize individual company interviews and research into reports. An example report from an assessment in Uganda follows the template.

Annex 7a – Company Interview Report Template	
<b>Company Name:</b>	<i>(Place company logo here)</i>
<b>Business Sector/Industry:</b>	<b>Location of Operations/Production:</b>
<b>Date of Interview:</b>	<b>Location of Interview:</b>
<b>Company Focus/Product:</b>	
<b>Business Interests:</b>	
<b>Business Challenges:</b>	
<b>CSR (if any):</b>	
<b>Alliance/Partnership Potential</b> <i>(high/medium/low):</i>	
<b>Development Sector(s)/Objective(s):</b> <i>(Note: These questions are not to be asked but are for the interview summaries)</i>	
<b>Leverage:</b>	
<b>Previous/current engagement with USAID</b> <i>(if any):</i>	
<b>Drawbacks</b> <i>(mini-due diligence):</i>	
<b>Point of Contact:</b>	<b>Website:</b>

## Annex 7b – Company Interview Report Example

### Nile Breweries



**Business Sector/Industry:** Banking

**Location of Operations/Production:** Jinja

**Date of Interview:** January 20, 2010

**Location of Interview:** HQ in Jinja

**Company Focus/Product:**

- Established in 1956 by the Madhvani Group (it is now owned by SABMiller of South Africa)
- NB is the second largest brewer in Uganda & experienced 30% growth this year
- Major brands include Nile Special, Club, and a sorghum beer brewed with locally grown raw materials (Eagle Lager)
- NB and its employees are directly or indirectly responsible for generating value added of USD 92M (including USD 76M generated by NB itself)
- The company supports approximately 44,000 jobs throughout the Ugandan economy.
- Approximately 8000 farmers and families depend upon the company for some part of their livelihood.
- 55-60% of production comes from local farm products

**Business Challenges:**

- Biggest challenge is mobilizing farmers to supply the company with sufficient barley (mobilization involves training, skills development, and quality control measures)
- Local supply chain is unreliable – has 4 components: barley, sorghum, sugar, maize, for which the company want to maximize local sourcing
- Farmers are very short-term oriented and susceptible to price fluctuations
- NB is engaging financial institutions to lend to farming groups (would like to put a cash-advance system in place)
- They would like to organize farmers by contracting relationship, but farmers do not understand contracting
- All processing goes through one plant in Kampala (A serious bottleneck)

**CSR (if any):**

- Completed a clean water initiative for farmers and their communities that involved drilling boreholes
- They would like to work on irrigation next
- They provide AIDs awareness & health services to farming communities through USAID's HIPs project
- Provision of bednets for malaria prevention

**Alliance/Partnership Potential** (*high/medium/low*): High

**Development Sector(s)/Objective(s):** Economic growth (Ag)

**Leverage:**

- Access to 8000+ farmers
- Commodity purchasing
- Support in financial service development

**Previous/current engagement with USAID (if any):** USAID's HIPs program (HIV/AIDs)

**Drawbacks** (*mini-due diligence*):

- Very localized to Jinja
- Alcohol is primary product

**Point of Contact:**

Mr. Jim Jefferson, Managing Director  
Nile Breweries Limited  
P.O Box 762, Jinja, Uganda

**Website:** [www.nilebreweries.com](http://www.nilebreweries.com)

## ANNEX 8 – ALLIANCE OPPORTUNITY TABLE – TEMPLATE & EXAMPLES

*The table template that follows can be used to present alliance opportunities in concise and readable formats. A completed table from Uganda is also included.*

<b>Annex 8a – Alliance Opportunity Table Template</b>	
<b>Opportunity</b>	
<b>Business Sector</b>	
<b>Leading Companies</b>	
<b>Development Challenges</b>	
<b>Business Interest</b>	
<b>Potential Private Sector Resources</b>	
<b>USAID Resources &amp; Value</b>	
<b>Constraints/Risks</b>	

## Annex 8b – Alliance Opportunity Table Example

<b>Opportunity</b>	<b>Mobile SMS for Elections</b>
<b>Sector(s)</b>	Telecommunications (mobile), application producers
<b>Leading Companies</b>	Applab (Grameen Foundation), Google, MTN, Zain, Orange
<b>Development Challenges</b>	The 2011 national elections in Uganda will face a number of real challenges, not least of which are voter mobilization, education, registration, and turnout. In the north especially, large numbers of former IDPs will be voting in national elections for the first time. The challenges in getting people to polls are especially complex in a country as rural as Uganda (15% urban population). USAID and others can support the election process by assisting in getting information regarding where, why, how, and when to vote to the public through targeted SMS messages.
<b>Business Interest</b>	Competition in the mobile phone sector is fierce, and companies are each trying to capture new markets in rural areas through value-add services including social marketing. Uganda's rural mobile penetration rate is low at approximately 25%, but geographic coverage is already extensive (population coverage is 92%, geographic coverage is 76%). Applab and Google have developed campaigns and platforms to take advantage of this new market. Both could be integral in developing a campaign to mobilize voters. Of particular note, Applab has an existing partnership with MTN, which controls 50% of the current market. Applab is open to working with other carriers, however.
<b>Potential Private Sector Resources</b>	92% population coverage – reaching rural voters throughout Uganda
<b>USAID Resources &amp; Value</b>	USAID has more than 2 decades experience in developing effective methodologies for voter registration, education, and mobilization. Moreover, USAID and implementing partners may represent neutral convening bodies for campaigns, capable of bringing together aggressive competitors in the telecom sector and the political arena towards a shared goal of voter turnout and education.
<b>Constraints/Risks</b>	Political liberalization is an on-going process in Uganda, and in the past the ruling party has been displeased regarding direct support to promoting free and fair elections.



## ANNEX 9 – ALLIANCE PRIORITY FACTORS TEMPLATE

*The following table template applies alliance priority factors to opportunities identified through the assessment process. See Step 11 in Section VI for description of factors and an example of a completed table.*

Alliance Priority Table			
	Priority Factor	Rating	Comments
Screen 3	Systemic Change		
Screen 3	Sustainability/ Replication		
Screen 3	Scale		
Screen 4	Risk		
Screen 4	Staff Intensity		
Screen 4	Time Horizon		

## ANNEX 10 – WHY USE FOCUS GROUPS?

Focus groups are a great way for the Assessment Team to meet with more companies and stay focused on the larger thematic development issues that cut across business sectors. The Assessment Team can also use this approach for industries and business sectors that are composed of numerous smaller companies. Smaller companies are often reluctant to schedule meetings and allow access (due to compliance concerns) but might be more likely to participate in a meeting. Focus groups can be organized by issue, by sector, or a blend of both. Focus groups planned around a thematic issue help to conceptualize the issue in new ways that may be useful in defining alliance opportunities.

- **Recommendation:** The Assessment Team should strive to use at least one focus group on a thematic issue of importance to the Mission. Time permitting, the team could organize a second focus group for a key sector or another issue, i.e., during a longer assessment period.
- **Planning:** Putting a strong USG stamp on a focus group will add cache and legitimacy to the meetings. Invitations should be sent out on USAID letterhead and hosted by the Mission whenever possible.
- **Assembling a participant list:** The US Chamber of Commerce, regional chambers of commerce, industry associations, implementing partners and U.S. Embassy staff can call serve as key informants when seeking out focus group participants.

### Russia Focus Group Example

A thematic roundtable was organized in Yekaterinburg around environmental issues. The Consulate hosted the roundtable and invited a number of key international and Russian companies as well as local NGOs to discuss their environmental concerns. Companies were very open to discussing their concerns with each other, which ranged from energy efficiency to water usage and recycling issues. By the end of the meeting, companies were openly discussing potential collaboration.

The following organizational elements should be considered in planning a focus group:

- Identification of invitees, agenda determination, and confirmation of dates
- Sending invitations
- Reserving a location, such as a hotel conference room, and planning for coffee breaks (best done in advance or immediately upon arrival in-country)
- Reserving audiovisual equipment and procuring other supplies such as flipcharts and markers (also best done in advance or immediately upon arrival in-country)
- Preparing presentations and handouts for the workshop
- Meeting with USAID before the workshop to review draft findings and agenda
- Follow-up or thank you notes to participants

## ANNEX II – RESEARCH MATRIX: ECONOMIC INDICATOR IDENTIFICATION (AMIA)

### Economic Indicators

Indicator	Definition	Data Source(s)	Relevance to Private Sector	Relevance to Development	Alliance Assessment Implications
<b>Gross Domestic Product/ Capita and Composition</b>	Total value of goods and services produced in a country in a given year	CIA World Factbook	Low per capita countries tend to specialize in labor intensive industries (textiles, agriculture)	GDP/capita is key indicator of overall economic welfare	Composition of GDP can indicate possible industries to focus on.
<b>Foreign Direct Investment (FDI) profile</b>	Foreign direct investment (FDI) is defined as a company from one country making a physical investment into building a factory in another country. It is the establishment of an enterprise by a foreigner. The FDI relationship consists of a parent enterprise and a foreign affiliate, which together form an international business or a multinational corporation (MNC).	Economist Intelligence Unit (EIU)	Indicates foreign commitment to host country economy.	Key indicator of overall economic welfare	Sources and profile of FDI can suggest regional and multinational firms/industries that may be interested in alliance building (e.g. textiles, extractives, agribusiness, IT, financial services, etc).
<b>Gini Coefficient</b>	The Gini coefficient is a measure of statistical dispersion commonly used as a measure of inequality of income or wealth.	Wikipedia		Countries with high Gini coefficients tend to have higher rates of crime, infectious disease, etc than GDP equivalent countries with lower Gini Coefficients	Large economy, high Gini coefficient countries may have elites or diaspora groups that are active in charity and philanthropy, e.g. Russia, India, South Africa.
<b>Unemployment Rate</b>	Percentage of working age population seeking work, but unable to find it.	Host government websites; EIU	Self-explanatory	<i>See Alliance Assessment Implications</i>	High unemployment rates, when combined with low median age (below) may suggest alliance opportunities around workforce development, SME development and entrepreneurship.
<b>Export Earnings/ Composition</b>	Total value of goods exported abroad broken out by category	EIU; CIA World Fact Book	Higher earnings indicate importance of exported goods to particular industries and sectors	<i>See Alliance Assessment Implications</i>	Can indicate possible value-added industries for focus. Also, countries with high levels of remittances may be targets for diaspora/ remittance alliances

## Economic Indicators, *continued*

Indicator	Definition	Data Source(s)	Relevance to Private Sector	Relevance to Development	Alliance Assessment Implications
<b>Major Trading Partners</b>	Countries with the most significant exchange of goods and/or services, as measured by % of exports and imports.	CIA World Fact Book		Issues such as food insecurity may have strong implications for regional trade	Major trading partners may indicate location of regional/ international alliance resource partners beyond multinational companies and host country companies.
<b>Global Competitiveness Index</b>	The Global Competitiveness Index assesses the ability of countries to provide high levels of prosperity to their citizens. This in turn depends on how productively a country uses available resources. Therefore, the Global Competitiveness Index measures the set of institutions, policies, and factors that set the sustainable current and medium-term levels of economic prosperity.	World Economic Forum		Low-ranking have significant policy-oriented enabling environment implications	A low global competitiveness ranking may offer opportunities for alliances around issues such as corporate governance, improved access to finance, etc. It may also indicate that the private sector is constrained in its ability to grow.
<b>Doing Business Index</b>	The ease of doing business index ranks economies from 1 to 183. Doing Business analyzes regulations that apply to an economy's businesses during their life cycles, including start-up and operations, trading across borders, paying taxes, and closing a business.	World Bank	The indicators presented and analyzed in Doing Business measure business regulation and the protection of property rights -- and their effect on businesses, especially small and medium-size domestic firms. They also measure the flexibility of employment regulation and document the tax burden on businesses.	High rankings on Doing Business indicators are associated with better economic and social outcomes	A low ranking in the Doing Business Index may have many different kinds of alliance implications, ranging from policy-oriented alliances designed to improve conditions for businesses to alliances focused on reducing corruption in supply chains.
<b>Electricity</b> <i>(Access to electricity, percent)</i>	Percentage of the total population that has electrical power in their home, including commercially sold electricity, both on and off the grid. Includes self-generated electricity where governments survey access to electricity.	World Resources Institute. EarthTrends: Environmental Information.	A number of development solutions are dependent on electricity access.	Low rates of electricity is a barrier to both modes of employment and consumption.	Electricity access can be linked to a number of BoP marketing projects, in all development sectors.

## Economic Indicators, *continued*

Indicator	Definition	Data Source(s)	Relevance to Private Sector	Relevance to Development	Alliance Assessment Implications
<b>Energy Consumption</b> <i>(Total energy consumption per capital)</i>	<p>The amount of primary energy consumed, on average, by each person living in a particular country or region for the year indicated. All primary sources of energy, including coal and coal products, oil and petroleum products, natural gas, nuclear, hydroelectric, etc., are included here.</p>	<p>World Resources Institute.  EarthTrends: Environmental Information.</p>	<p>Energy scarcity issues can lead to conflict and exacerbate issues of poverty.</p>		<p>A remarkably high or low level of energy consumption points to alliances with energy companies either micro level solar type solutions or large scale extractives alliances.</p>
<b>Arable Land and Permanent Cropland</b>	<p>Arable land refers to land under temporary crops (double-cropped areas are counted only once), temporary meadows for mowing or pasture, land under market and kitchen gardens, and land temporarily fallow (less than five years).</p>	<p>World Resources Institute.  EarthTrends: Environmental Information.</p>	<p>The quantity of arable land affects the price of land as well as agricultural outputs and employee salary needs.</p>	<p>Food production linked to quantity of arable land will indicate if land is being farmed efficiently. Tendencies towards resource conflicts in areas with low quantities of arable land.</p>	<p>Partnerships with agriculture firms can train farmers in more efficient farming and distribution methods.</p>

**ANNEX 12a – RESEARCH TEMPLATES:  
BUSINESS SECTOR ANALYSIS & COMPANY IDENTIFICATION**

Step 4 of the Assessment Process illustrates how business sectors can be analyzed through a set of optics in order to gauge the potential for alliances. The following table provides a template for this analysis as described with Step 4.

<b>Business Sector:</b>					
<b>Sector Category:</b>	Established, Emerging, or Problematic				
<b>Strengths</b> <i>(Competitive Advantage)</i>			<b>Weaknesses</b> <i>(Competitive Disadvantage)</i>		
<b>Opportunities</b> <i>(Positive Trends)</i>			<b>Threats</b> <i>(Challenges)</i>		
<b>Development Overlap</b>	<b>Mission Interest</b>	<b>Economic Importance</b>	<b>Government Priority</b>	<b>Regional Significance</b>	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Leading Companies</b>					

**ANNEX 12b – RESEARCH EXAMPLE:  
BUSINESS SECTOR ANALYSIS & COMPANY IDENTIFICATION**

<b>Sector Analysis Table in Uganda</b>				
<b>Business Sector: Telecom</b>		<b>Sector Category: Emerging</b>		
<b>Strengths</b> <i>(Competitive Advantage)</i>		<b>Weaknesses</b> <i>(Competitive Disadvantage)</i>		
<ul style="list-style-type: none"> <li>• Sector rapidly grew leading to coverage in 90% of the country</li> <li>• One of the most competitive sectors in Uganda</li> <li>• Price point has decreased rapidly, making phones affordable to growing masses of Ugandans</li> <li>• Six months from the introduction of mobile money transfer, MTN and Zain registered approximately 250,000 clients onto the mobile money transfer service moving over sh40 billion in transactions.</li> <li>• Voice SMS service offered.</li> <li>• Uganda telecom recently launched Solar powered GSM phone.</li> </ul>		<ul style="list-style-type: none"> <li>• Penetration has leveled off</li> <li>• Price point may not lower further</li> <li>• Value added services slow in developing (compared to other regional countries like Kenya and Rwanda)</li> </ul>		
<b>Opportunities</b> <i>(Positive Trends)</i>		<b>Threats</b> <i>(Challenges)</i>		
<ul style="list-style-type: none"> <li>• Value-added services including mobile banking and other SMS-based options</li> <li>• East African fiber optic cable will lead to vast internet opportunities (including rural wireless internet)</li> <li>• Sector deregulated in 2000</li> </ul>		<ul style="list-style-type: none"> <li>• Low literacy rates limits rural penetration</li> <li>• Rapid expansion – sector may have too much competition</li> <li>• Urban market is near full maturation</li> </ul>		
<b>Development Overlap</b>	<b>Mission Interest</b>	<b>Economic Importance</b>	<b>Government Priority</b>	<b>Regional Significance</b>
✓	✓	✓		✓
<b>Leading Companies</b>				
<ul style="list-style-type: none"> <li>• MTN Uganda</li> <li>• Orange Uganda</li> <li>• Zain Telecom</li> <li>• Suretelecom Uganda Ltd.</li> <li>• Smile Communications</li> <li>• Computer Frontiers</li> <li>• International Communications Commission</li> <li>• UTL</li> </ul>		<ul style="list-style-type: none"> <li>• AFSAT Communications Uganda</li> <li>• Bushnet Infocom</li> <li>• RCS Radio Communications</li> <li>• Jireh Technologies International</li> <li>• Zineth Electronic Security and Communication</li> <li>• i-Tel</li> <li>• Bitwerk Technologies Ltd</li> </ul>		

## ANNEX 13 – GDA CRITERIA FROM THE APS

USAID is reorienting how it sees itself in the context of international development assistance, how it relates to traditional partners, and how it seeks out alliances with new partners. While the Agency will continue to deploy resources where private funding is not available and where the governmental role is clear and pre-eminent (as in promoting policy change), it hopes, through the use of public-private alliances, where appropriate, to stimulate new investment and new development practices. USAID has much to offer with its unique mandate within the U.S. Government and long-term experience with, and access to, host-country governments. The Agency is able to capitalize on its extensive field presence and network of local development partners and technical expertise to catalyze, integrate, coordinate, and facilitate public-private alliances among development actors. USAID recognizes that effective alliances will focus on common interests and will require time and strategic planning. However, such alliances have the potential for not only mobilizing additional resources for development assistance programs worldwide but also promoting greater effectiveness of those programs and hence greater impact on the problems of poverty, disease, inadequate education, depletion of natural resources, and limited economic opportunity throughout the developing world. Alliances can also contribute to conflict prevention as well as address global threats and issues such as global warming.

In developing partnerships congruent with the GDA business model, USAID uses the following precepts:

- Alliances are expected to bring significant new resources, ideas, technologies and/or partners to address development problems in countries where USAID works. The Agency is particularly interested in innovative partnerships that address development challenges in new ways, leveraging the resources of non-traditional partners in replicable, sustainable and scalable ways.
- Alliances must initially establish how the interests and objectives of each party converge. The most sustainable and successful partnerships under the GDA model are grounded at the intersection between businesses core interests and USAID's development objective (rather than purely philanthropic activities).
- Alliances should demonstrate a minimum of a one-to-one leverage ratio of resources. **At least 25% of the leverage coming from the resource partner must be in the form of cash.** In addition to monetary contributions, in-kind resources such as services, property, volunteer time, equipment and supplies are also valuable contributions. Alliance proposals must clearly specify what each party is contributing and indicate the cash value of in-kind support. (See Section II C on Page 12 for a more complete discussion of leverage and in-kind contributions.)
- While alliance proposals must specify what each party is contributing at the outset, it is also recognized that lasting alliances are dynamic and changing.
- Alliances should not simply be matching grants nor should they be grants to organizations that have expressed an intention to seek third party partnerships that are not yet formed. The Global Development Alliance business model seeks relationships and resources beyond traditional assistance models.
- It is important to exercise due diligence before entering into alliance arrangements with partners.
- There is no pre-defined minimum or maximum number of partners.
- Fairness and transparency are key principles in forming alliances. Exploration of possible alliances should take place in a transparent manner and should involve wide consultation with possible partners.
- Alliance activities at the country level that actively involve local leadership and local beneficiaries in design and implementation are most likely to be successful and sustainable. Local ownership, leadership and beneficiary participation are keys to success.
- All USAID-financed programs and activities must comply with USAID's environmental procedures set forth at 22 CFR 216.



## ANNEX 14 – ADDITIONAL RESOURCES FOR ALLIANCES

Numerous helpful documents and tools related to alliances and GDA may be found at ODP/PSA's website: [www.usaid.gov/our\\_work/global\\_partnerships/gda/index.html](http://www.usaid.gov/our_work/global_partnerships/gda/index.html)

The following specific resources can provide context on USAID alliances for any team conducting an assessment:

The Office of Private Sector Partnerships' *Building Alliances Series* can be found at: [http://www.usaid.gov/our\\_work/global\\_partnerships/gda/educ\\_guide/](http://www.usaid.gov/our_work/global_partnerships/gda/educ_guide/) topics include: Education, Workforce Development, Emergencies, Agriculture, Democracy, Microfinance & Microenterprise, Economic Growth and Trade, Energy, and Extractives.

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