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EVALUATION

Performance Evaluation of the Cooperative Development Program

April 2017 (Revised June 2017)

This publication was produced at the request of the United States Agency for International Development for the E3 Analytics and Evaluation Project. It was prepared independently by Dr. Barak Hoffman, Mai Yang, and Dr. Gary Glass of Management Systems International, A Tetra Tech Company.

ABSTRACT

This performance evaluation of USAID's Cooperative Development Program (CDP) focuses on activities between 2010 and 2015, and answers four evaluation questions:

1. How effective has the CDP been compared with the vision and plans?
2. Across the CDP, what best explains why and how Program successes emerged and why gaps between intended and actual performance were found where that happened?
3. How effective was the solicitation approach and procurement mechanism in fostering the intended outcomes of the CDP?
4. What value does the CDP bring to Program stakeholders?

The evaluation team conducted a desk review of primary and secondary documents; semi-structured individual interviews with USAID, implementers, and cooperative development experts; workshops, semi-structured group interviews, and focus group discussions with local cooperative partners' members and leadership; and site visits to regions within Kenya, Uganda, and Peru where the CDP is implemented.

The evaluation team concluded that the CDP achieved notable successes in meeting its vision and plans; however, there was insufficient dissemination of lessons learned to increase the CDP's knowledge base broadly. CDP successes were due to factors including the commitment of implementers' staff, program flexibility, and partnerships developed. While the cooperative agreement mechanism was appropriate for the CDP, the program's solicitation approach required excessive time and resources from applicants. Finally, the CDP adds considerable value to program stakeholders due to its flexibility, emphasis on experimentation, and partnerships developed. Value-added to the broader development community, however, was indiscernible.

PERFORMANCE EVALUATION OF THE COOPERATIVE DEVELOPMENT PROGRAM

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Photo Caption: Cooperative member in Uganda

Credit: Andrew Kezala, Development and Training Services

DISCLAIMER

The author's views expressed in this publication do not necessarily reflect the views of the United States Agency for International Development or the United States Government.

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ACRONYMS

ACDI/VOCA	Agricultural Cooperative Development International/Volunteers in Overseas Cooperative Assistance
ADS	Automated Directives System
CCI	Communications Cooperative International
CDCS	Country Development Cooperation Strategy
CDO	Cooperative Development Organization
CDP	Cooperative Development Program
CLARITY	Cooperative Law and Regulation Initiative
COR	Contracting Officer's Representative
CRI	Cooperation Resources International
dTS	Development and Training Services
E3	Bureau for Economic Growth, Education, and Environment (USAID)
EMIRGE	Enabling Market Integration through Rural Group Empowerment
EQ	Evaluation Question
FGD	Focus Group Discussion
HIV/AIDS	Human Immunodeficiency Virus/Acquired Immune Deficiency Syndrome
ICT	Information and Communication Technology
KII	Key Informant Interview
LS	Local Sustainability Office (USAID/E3)
METRICS	Measurements for Tracking Indicators of Cooperative Success
MOU	Memorandum of Understanding
MSI	Management Systems International
NCBA-CLUSA	National Cooperative Business Association – Cooperative League of the United States of America
NRECA	National Rural Electric Cooperative Association
OCDC	Overseas Cooperative Development Council
PMP	Performance Monitoring Plan
PPR	Performance Plan Report
RFA	Request for Applications
SACCO	Savings and Credit Cooperative
SO	Strategic Objective
SOW	Statement of Work
USAID	United States Agency for International Development
USG	United States Government
WOCCU	World Council of Credit Unions

EXECUTIVE SUMMARY

Evaluation Purpose

This report presents the findings, conclusions, and recommendations from a performance evaluation of the United States Agency for International Development's (USAID's) Cooperative Development Program (CDP), focusing on CDP activities between 2010 and 2015. The Office of Local Sustainability in USAID's Bureau for Economic Growth, Education, and Environment (USAID/E3/LS) commissioned the evaluation to inform the next round of CDP funding to facilitate increased program benefits, as well as make decisions about future USAID programming in cooperative development. As long-term USAID partners in cooperative development, the board and membership of the U.S. Overseas Cooperative Development Council (OCDC), as well as congressional stakeholders who share an interest in the program, are also important audiences for this evaluation.

Program Background

For more than four decades, USAID has supported the development of cooperatives as part of its foreign aid program. Through the CDP, USAID provides support to U.S.-based cooperative development organizations (CDOs) through a competitive grant program. The CDP enables the expertise and resources of established cooperative organizations to meet the needs of local overseas cooperatives and member-owned businesses. Today, the CDP is an approximately \$12 million¹ competitive grant program managed by USAID/E3/LS that provides funding to 10 CDO implementing partners. These CDOs implement activities in a variety of sectors and focus on a range of cooperative development issues across 18 countries. The current grant cycle began in 2010 and was scheduled to end in 2015, but USAID extended it through the 2017 fiscal year.

Evaluation Design

Evaluation Questions

This evaluation responds to the following four questions that USAID/E3/LS approved to guide this study.

1. How effective has the CDP been compared with the vision and plans set forth in the Program's foundation documents (including but not limited to the RFA and Program descriptions for CDP awards)?
2. Across the CDP, what best explains why and how Program successes emerged where they were observed and why gaps between intended and actual performance were found where that happened?
3. How effective was the solicitation approach and procurement mechanism in fostering the intended outcomes of the CDP?
4. What value does the CDP bring to Program stakeholders, including CDO partners (which could include their capacities and overseas reach and contributions), assisted cooperatives in partner countries, and partner country cooperative development resource/support organizations?

¹ Legislation on Foreign Relations Through 2008. Volume I-A of Volumes I-A and I-B. Current Legislation and Related Executive Orders. March 2010. Page 1265.

Evaluation Methodology and Limitations

To examine a globally oriented program that spans numerous activities and sectors, the evaluation team consulted with USAID/E3/LS to select Kenya, Uganda, and Peru for in-depth fieldwork while also conducting a desk review and remote interviews to ensure that the evaluation also examined activities and implementing partners outside field countries. The evaluation team collected qualitative data from a broad range of stakeholders, including USAID, CDP implementing partners, and local cooperatives receiving assistance through the CDP. Focus group discussions provided an in-depth understanding of changes in the development and use of social capital among selected cooperative leadership.

The evaluation team used the following data collection methods:

- **Desk review** of implementing partner documents, CDP foundation documents from USAID, and secondary documents relevant to cooperative development.
- **Semi-structured individual interviews** with USAID staff who were directly and indirectly involved with the CDP, implementing partners' home office and field office staffs, and cooperative development experts.
- **Four workshops** with leaders and members of four local cooperatives that CDP implementers assisted.
- **Five semi-structured group interviews** with members of local cooperative partners, including members who hold leadership positions and cooperative board members.
- **Site visits** to regions within Kenya, Uganda, and Peru where the CDP is implemented.
- **Focus group discussions** with the leadership of two pre-cooperatives and two established cooperatives in Kenya.

The design and implementation of this evaluation faced several limitations, which the evaluation team sought to mitigate to the best of its ability:

- It was not possible for the evaluation to examine all program activities, countries, and grantees with the same degree of intensity or at the same level of detail. To ensure that the evaluation covered a wide spectrum of activities under the CDP, the evaluation team interviewed CDP implementing partner home office staff and field staff in countries that were not included in fieldwork, and utilized secondary documents and data collected through the desk review.
- The evaluation team required the cooperation of CDP implementing partners to obtain information necessary for the evaluation, including lists and contact information of potential respondents. This may have introduced response bias if respondents answered the evaluation team's questions the way they may have felt that program implementers wanted them to respond, rather than expressing how they actually felt. The evaluation team sought to mitigate this concern by separating respondent groups (e.g., cooperative members, cooperative leaders, and implementing partner staff) and systematically triangulating information received with different sources and documentation.
- The quality of data and documentation that implementing partners provided was uneven. CDP implementing partners were required to submit semi-annual or annual reports to USAID, and while some reports provided extensive information, others provided summaries that did not capture all of their activities in full. The evaluation team sought to mitigate this limitation by utilizing data collected through fieldwork and U.S.-based interviews to verify information found in the program documents. For activities in countries where the evaluation team did not visit or speak to field staff, the team relied on information provided by implementing partner home office staff who spoke more broadly about their various activities.
- Recall bias was another limitation of the evaluation, as many of the examined CDP activities took place more than three years ago, and most of the cooperatives the evaluation team visited

obtain external support from numerous organizations, potentially making it difficult for respondents to recall which donors funded certain activities. To ensure that cooperative members were familiar with CDP activities relevant to the evaluation, the team worked with CDP implementing partners on group selection and making the initial connection with their cooperatives where possible. Additionally, the team relied on the desk review to confirm data collected through field research.

- The evaluation design proposal originally anticipated a quantitatively oriented social capital study that would survey around 800 to 1,200 members of cooperatives in Kenya to measure levels of trust, support, willingness to act collectively, and the structure of cooperative member networks. The evaluation team was not able to implement this survey as originally planned, since it was unable to obtain contact information for a sufficient number of members to conduct a representative study. Due to this challenge, the evaluation team, in consultation with USAID/E3/LS, redesigned the social capital study to collect qualitative data that would focus on changes in the development and use of social capital among the selected cooperative leadership.

Findings and Key Conclusions

Evaluation Question 1: How effective has the CDP been compared with the vision and plans set forth in the Program’s foundation documents (including but not limited to the RFA and Program descriptions for CDP awards)?

The CDP supports cooperatives of varying levels of capacity, and works across many sectors and countries. As a result, standards of success are more relative than absolute. The CDP achieved many successful outcomes between 2010 and 2015. Notable examples include:

- Cooperation Resources International leveraged CDP funds into approximately \$94 million of investments for cattle cooperatives in South Africa.
- Health Partners provided health insurance to approximately 42,000 people in Uganda.
- Land O’Lakes provided integral assistance to Meru Dairy in Kenya that allowed the cooperative to return to profitability,
- National Cooperative Business Association helped establish a new cooperative law in Mozambique.
- Equal Exchange funded technical assistance to Cooperativa Acopagro in Peru that allows the cooperative to cultivate a rare and expensive type of cocoa.

In line with the broader objectives of the program, the CDP also has successfully advanced larger USAID objectives and strategic priority areas, including economic growth and trade; global health; democracy, human rights, and governance; and public-private partnerships. The evaluation team also concluded that CDP implementing partners and the OCDC have not invested sufficient resources to disseminate lessons learned under the CDP internally or with the wider cooperative development community.

Evaluation Question 2: Across the CDP, what best explains why and how Program successes emerged where they were observed and why gaps between intended and actual performance were found where that happened?

Three main factors account for the CDP’s successes over the 2010–2015 period: (1) commitment of the CDP implementing partner staff; (2) the program’s flexibility; and (3) the partnerships that implementers have formed with other external organizations. Strategic partnerships are particularly important as they fill crucial gaps that bridge the types of support that cooperatives need and the type of assistance that the CDP can provide. The evaluation team concluded that USAID’s management of the CDP from Washington, rather than in missions, did not affect the program’s success. While having missions manage

the CDP could provide more direct oversight of the program, missions did not express interest in having the responsibility for managing the program or integrating it into their country development cooperation strategies.

Evaluation Question 3: How effective was the solicitation approach and procurement mechanism in fostering the intended outcomes of the CDP?

The 2009 CDP request for applications (RFA) was excessively cumbersome, time-consuming, and confusing, yet the evaluation team found no evidence that these challenges undermined program performance. The specificity of the RFA is inconsistent with the flexible and adaptable way that USAID encourages implementers to operate to meet the needs of local cooperative partners. Mission buy-ins are not easy to obtain, which deprives implementers of additional sources of support. The original five-year program cycle was conducive to long-term goal setting toward achieving program outcomes, while the one-year extensions under which the program has been operating since 2015 are inhibiting implementation of activities.

Evaluation Question 4: What value does the CDP bring to Program stakeholders, including CDO partners (which could include their capacities and overseas reach and contributions), assisted cooperatives in partner countries, and partner country cooperative development resource/support organizations?

The CDP adds considerable value to program stakeholders. Much of this value is due to the partnerships that the program allows stakeholders to build with cooperatives supported under the program, as well as external organizations seeking to further cooperative development. In addition, implementers see considerable value in the CDP because of the program's flexibility and focus on experimentation. The ability to adjust activities during the program cycle has enabled implementers to develop more strategic efforts to achieve desired outcomes. Due in part to its modest amount of funding and relatively limited dissemination, however, the CDP has not achieved a discernable impact on the broader development community.

Recommendations

Based on its findings and conclusions, the evaluation team recommends the following:

USAID should:

- **Continue implementing the CDP.** Broadly speaking, the CDP has achieved successful outcomes over the 2010–2015 program cycle, especially considering the small size of the country activities it supports. It also supports some of USAID's priority areas.
- **Retain the five-year CDP funding cycle.** Developing cooperatives, especially pre-cooperatives, takes time. The CDP has been effective in building partnerships between its implementing partners and the cooperatives they assist, in part because the five-year program cycle signals a strong commitment from the former.
- **Continue to fund only capacity building, collaborative learning, and technical assistance activities under the CDP.** The program's decision to fund only capacity building and technical assistance has been an effective way to ensure that the CDP supports only cooperatives that desire to become more self-sustaining.
- **Maintain a multi-dimensional view of program success.** The CDP does not provide the timeframe or resources needed to transform a pre-cooperative to a fully functional one. Defining success as helping to create stand-alone cooperatives therefore would bias program activities toward cooperatives that are likely to be successful even without CDP assistance.

- **Tailor CDO reporting requirements to elicit more useful information.** USAID should work with each implementer to determine the most effective reporting requirements that foster learning and support monitoring and dissemination objectives. The Agency should also ensure that CDOs are reporting information that will facilitate program evaluation.
- **Retain the CDP's flexible implementation approach.** CDP implementing partners recognize that the support they can most usefully provide to cooperatives often evolves during program implementation. They greatly appreciate the ability to refine their approach as conditions evolve.
- **Avoid mandating collaboration in CDP implementation.** USAID should encourage natural collaboration where relevant. For example, cooperatives working in the same sector or geographic area in a country are likely to realize more gains from collaboration than those operating highly dissimilar programs within the same country.
- **Mandate greater collaboration in dissemination of cooperative development approaches and lessons learned.** USAID should move forward with the OCDC's proposal to take a more active role in disseminating CDP approaches and lessons learned among implementers and wider audiences. USAID can mandate that implementers share lessons learned with the OCDC to facilitate this process.
- **Continue to manage the CDP as a Washington-based program.** Raising the visibility of the CDP in the field might facilitate greater *ad hoc* cooperation with mission-executed programs, where relevant. USAID/Washington should also help facilitate mission buy-ins.
- **Continue to allow implementers to choose where and how to operate.** The CDP's flexibility has allowed implementers to restructure activities to meet the needs of the cooperatives they assist. Because the most useful types of support implementers can provide are sometimes difficult to anticipate, the CDP's flexibility is an asset.
- **Ensure adequate oversight.** USAID should take a more active role in program oversight. Implementers said they would welcome more site visits from USAID/Washington.
- **Significantly simplify the RFA.** One approach to consider could be to have applicants submit a concept note that details the activities they would like to execute, the rationale for them, and how the proposed activities are consistent with the CDP vision and USAID strategic priorities. USAID should also simplify the technical review criteria accordingly.
- **Enhance the OCDC's authority and accountability to USAID.** In practice, the OCDC functions as a subcontractor for the CDP and not as an equal partner in the program. USAID should promote the ability of the OCDC to coordinate the dissemination of CDP outcomes and make it more accountable to the Agency.

CDP implementing partners should:

- **Expand dissemination of CDP successes and learnings from implementation approaches used.** All implementing partners should make at least one presentation per year to the mission in countries where they have programs.

OCDC should:

- **Expand dissemination of CDP successes and lessons learned.** The OCDC should collect case studies that implementing partners prepare and disseminate them to various audiences, including USAID, and via different forms, including posting them on its website.
- **Undertake studies** that document how the CDP is supporting USAID strategic priorities.
- **Continue engaging with USAID, its members, the cooperative community, and the wider development community** to disseminate successes and lessons learned in addressing key cooperative development issues.

INTRODUCTION

This report presents the findings, conclusions, and recommendations from a performance evaluation of the United States Agency for International Development’s (USAID) Cooperative Development Program (CDP), focusing on CDP activities between 2010 and 2015. The Office of Local Sustainability in USAID’s Bureau for Economic Growth, Education, and Environment (USAID/E3/LS) commissioned USAID’s E3 Analytics and Evaluation Project² to design and implement the evaluation.

The first section of this report provides background information about the CDP. The second section describes the purpose of the evaluation and presents the evaluation questions. The third section explains the methodology of this evaluation and its limitations. The fourth section presents the evaluation team’s findings and conclusions for each of the evaluation questions. The last section presents the evaluation team’s recommendations.

PROGRAM BACKGROUND

Cooperative Development Context

For more than four decades, USAID has supported the development of cooperatives as part of its foreign aid program. The 1961 Foreign Assistance Act contained congressional language directing USAID to “encourage the development of cooperatives as a means of strengthening the participation and involvement of the rural and urban poor in development through self-help activities, and as a way to mobilize private U.S. financial and human resources to benefit poor people in developing countries.”³ The CDP is USAID’s most recent iteration of support for overseas cooperative development.

The Support for Overseas Cooperative Development Act, passed by the U.S. Congress in 2000 and amended in 2002, stated that support for cooperative development and expansion should focus on programs that fully utilize cooperatives and credit unions, especially those that commit to international cooperative principles, democratic governance, and involvement of women and ethnic minorities for economic and social development.⁴ These principles include the following:

1. Self-help mobilization of member savings and equity and retention of profits in the community, except for those programs that are dependent on donor financing.
2. Market-oriented and value-added activities with the potential to reach large numbers of low-income people and help them enter the mainstream economy.
3. Strengthening the participation of the rural and urban poor to contribute to their country’s economic development.
4. Utilization of technical assistance and training to better serve the member-owners.

To meet the above objectives, the act stated that overseas cooperative development programs should prioritize the following sectors:⁵

- **Agriculture:** Provide technical assistance to low-income farmers who form and develop member-owned cooperatives for farm supplies, marketing, and value-added processing.

² Management Systems International (MSI) implements the E3 Analytics and Evaluation Project in partnership with Development and Training Services (dTS) and NORC at the University of Chicago.

³ Foreign Assistance Act of 1961 (P.L. 87–195), Pg. 75

⁴ Support for Overseas Cooperative Development Act, 2002.

⁵ Ibid.

- **Financial systems:** Promote national credit union systems through credit union-to-credit union technical assistance that strengthens the ability of low-income people and micro-entrepreneurs to save and have access to credit for their own economic advancement.
- **Infrastructure:** Support rural electric and telecommunication cooperatives to provide access for rural people and villages that lack reliable electric and telecommunications services.
- **Housing and community services:** Promote community-based cooperatives that provide employment opportunities and important services such as health clinics, self-help shelters, environmental improvements, group-owned businesses, and other activities.

CDP Overview

Through the CDP, USAID/Washington provides support to U.S.-based cooperative development organizations (CDOs) through a series of multiyear grants-in-aid. In 2001, a “Report to Congress on the Implementation of the Support for Overseas Cooperative Development Act”⁶ elaborated on areas in which the CDP would focus its efforts in contributing to cooperative development in developing countries. Based on an assessment of cooperative development experience conducted by USAID,⁷ the CDP focuses on addressing a set of cooperative development issues (listed in Table 1) and emphasizes developing, testing, evaluating, and disseminating solutions that have been implemented to address those issues.

Today, the CDP is a competitive grant program with an approximate annual budget of \$12 million that is managed by USAID/E3/LS and responds to the needs of host country cooperatives and other member-owned businesses by utilizing the expertise, resources, members, and volunteers of long-established U.S. cooperatives and CDOs. The current program grant cycle began in 2010 and was scheduled to end in 2015, but USAID extended it through the 2017 fiscal year. This evaluation focuses only on the 2010–2015 period. Annual appropriations over the period rose from about \$10 million per year in 2010 to \$12 million in 2015.

The CDP currently provides funding to 10 implementing partners conducting activities in a variety of sectors and focusing on a range of cooperative development issues across 18 countries. Table 2 lists these implementing partners and the countries and sectors in which they work under the program. Annex XII provides brief profiles of the implementing partners and their current activities, and Annex XIII provides a general overview of cooperative development issues and Agency priority areas that these activities address.

In addition to the 10 implementing partners, the CDP also supports the Overseas Cooperative Development Council (OCDC), whose mission is to champion, advocate for, and promote effective international cooperative development.⁸ Eight of the CDP implementers are members of the OCDC, but all implementing partners attend its board meetings and participate in the Collaborative Group, a sub-group of the OCDC. The Collaborative Group serves as a community of practice for CDP program managers to share and learn from each other. It also has developed research to support international cooperative development, such as Measurements for Tracking Indicators of Cooperative Success (METRICS), which helps identify essential indicators for cooperative success, and the Cooperative Law and Regulation Initiative (CLARITY), which helps cooperative stakeholders create an enabling legal and regulatory environment for cooperatives to thrive.

⁶ Ibid.

⁷ 2001 Report to Congress.

⁸ <http://www.ocdc.coop>

TABLE 1: AGENCY PRIORITIES/COOPERATIVE DEVELOPMENT ISSUES CITED IN 2009 RFA

<p>CDP Vision and Strategic Objectives (2010–2015) Strategic Vision: Self-reliant cooperative enterprises that meet the evolving needs of their members and contribute to the quality of members’ lives, to their communities and their nation.</p>	<p>Key Cooperative Development Issues Related to the role of cooperatives under Agency priority strategy areas, each applicant is expected to address one or more key cooperative development issues.</p>	<p>USAID Priority Strategies Each applicant is expected to address at least one of USAID’s priority strategies.</p>
<p>CDP SO1: Reform of cooperative law and regulation in a significant number of countries where they impede cooperative development. CDP SO2: Effective governance models and training institutionalized as self-sustaining activities in all countries with reformed law and regulation. CDP SO3: At least one demonstration per CDO per annum of substantial, self-sustaining cooperative expansion within a sector, consistent with continued superior performance. CDP SO 4: Growth in bilateral, multilateral, and foundation support commensurate with the pace of expansion of cooperative development and with the equivalent growth of members’ own funds. CDP SO5: Initiation of significant U.S. cooperative investments in joint ventures with developing and transition economy cooperatives. CDP SO6: Diversification of CDO financing with significant increases in fees and related income from U.S. alliances and overseas partners.</p>	<ul style="list-style-type: none"> • Principles of sound cooperative law and strategies to improve the legislative and regulatory environments • Change strategies. • Addressing HIV/AIDs, tuberculosis, malaria, and other endemic diseases and their impact on cooperatives and their members. • Strengthening cooperative participation and governance. • Planning and information systems. • Replication, scale, and salience. • Alliances in support of cooperative development objectives. • Avoiding dependency: accelerating progress from donor support to commercial operations. • Design. 	<ul style="list-style-type: none"> • Global Engagement Initiative • Food Security • Restoring the Foundations of Growth • Climate Change • Water • Global Health • Democracy and Good Governance • Human and Institutional Capacity Development Policy

Focus on Testing and Learning

Based on the previously mentioned 2001 report to Congress, the CDP has realigned its efforts to better address the challenges of cooperative development work. The 2009 request for applications (RFA) for the CDP states that, “Given the importance and complexity of issues faced in overseas cooperative development, USAID central support to U.S. CDOs will be refocused on development, testing, evaluation, and dissemination of solutions,” and that central grants will “encourage dissemination of lessons learned, both within the program’s implementing partners and to the broader development community.” Specifically, the report to Congress sets forth an agenda for cooperative development that includes:

1. Developing and testing cooperative solutions to current problems, such as rebuilding communities devastated by HIV/AIDS in East Africa;
2. Seeking and disseminating improved methods to adapt Western cooperative approaches to emerging market economies;
3. Developing strategies that target assistance to cooperatives in ways that achieve greater scale and impact;
4. Strengthening networks of cooperatives to solve multiple economic and social challenges, and advance specialized co-ops in agriculture, financial systems, community-owned infrastructure, and community services; and
5. Developing new analytical tools that focus on the strengths and weaknesses of co-ops to promote them within multilateral institutions to reach areas that lack or cannot attract private investment.

USAID/E3/LS expected applicants to collaborate and “commit to develop, test, and implement an approach to a USAID Agency priority and/or one of the major cooperative development challenges presented in this RFA.”⁹ In particular, if applicants proposed to address the cooperative development issue “principles of sound cooperative law and strategies to improve the legislative and regulatory environments,” they were required to do so in collaboration with one or more other applicants due to the importance of the issue and to ensure a cross-sector approach.¹⁰ Table 2 lists the Agency priorities and the key cooperative development issues to be addressed. For the priorities and issues that applicants selected, they were required to present:

- Strategy(ies) that included measurable objectives and targets;
- Descriptions of and rationales for implementation activities; and
- Methods that would be used to measure anticipated results.

⁹ 2009 RFA, page 14.

¹⁰ Ibid.

TABLE 2: SUMMARY OF PROGRAM ACTIVITIES

CDO	Countries	Sectors
1. Agricultural Cooperative Development International/ Volunteers in Overseas Cooperative Assistance (ACDI/VOCA)	Kenya, ¹¹ Ethiopia, Tanzania, Paraguay	Agriculture – Productivity and Market Access
2. Communications Cooperative International (CCI)	Ethiopia, Mongolia, Mozambique, Nigeria, Kenya	ICT, Education (Kenya)
3. Cooperation Resources International (CRI)	Nicaragua, South Africa	Agriculture (Livestock) Market Price Access
4. Equal Exchange	Ecuador, Peru, Dominican Republic	Agriculture (Small-Scale Cocoa)
5. Global Communities	Rwanda, Mongolia, Kenya ¹²	Agriculture, Dairy
6. Health Partners	Uganda, Rwanda, Haiti	Health Care Financing
7. Land O'Lakes	Rwanda, Kenya, ¹³ Uganda, Ethiopia	Agriculture, Dairy (Food Security)
8. National Cooperative Business Association – Cooperative League of the United States of America (NCBA-CLUSA)	Kenya, Guatemala, Mozambique	Food Security, Nutrition, Capacity Building, Economic Growth
9. National Rural Electric Cooperative Association (NRECA)	Philippines, Haiti, Guatemala	Rural Electrification, Democracy and Good Governance, Economic Growth
10. World Council of Credit Unions (WOCCU)	Guatemala, Mexico, Kenya	Agricultural Credit Products and Tools

Annexes XII and XIII provide more detail about the activities of CDP implementing partners.

Definition of a Cooperative

Since determining what should be considered a cooperative can involve some subjectivity, this evaluation uses the following definition for a cooperative:

“A member-owned business whose primary function is to provide goods and/or services to its member-owners, leveraging self-governance and the combined buying, selling, and servicing power of its members to achieve economic betterment through either the distribution of profits or increasing value of its members’ equity based upon its members’ usage.”¹⁴

Additionally, USAID enumerated the following elements as central to defining a cooperative and integral to its success: member-user ownership, member-user control, returns based on patronage, limited privilege to capital, and a commitment to education.¹⁵

¹¹ ACDI/VOCA ended its activities in Kenya by the end of 2014.

¹² Global Communities began working in Kenya in 2016, so its activities in Kenya are beyond the scope of this evaluation.

¹³ Land O'Lakes closed its programs in Kenya by October 31, 2016.

¹⁴ “Indicators to Measure the Economic Sustainability and Patronage Value of Agricultural Cooperatives; Research and Recommendations.” SSG Advisors, March 2016. See: http://pdf.usaid.gov/pdf_docs/PA00M45K.pdf.

¹⁵ 2001 Report to Congress.

Categories of Cooperatives

Cooperatives pass through multiple, often lengthy periods of development and change, and can take many years to develop as true “businesses,” especially low-income cooperatives in developing countries where financial instability and low levels of business acumen pose challenges. During the phases of cooperative development, a member-owned business can fall into several categories:¹⁶

1. A “pre-cooperative” is an organization that, due to either its nascent formation, its preference for other means of associative business, or the distinct regulatory frameworks in its country of establishment, is not legally registered as a cooperative at the moment.
2. An “established” cooperative is defined as being legally organized and regulated in the country where the organizations operate.
 - a. A “primary cooperative” is an organization that provides services to its members, such as loans, crop aggregation and purchasing, training, and technical assistance.
 - b. A “secondary cooperative” is a cooperative that “provides services to its members which are themselves” cooperatives.
3. An apex organization may be a confederation or association of cooperatives that work together to solve common problems, but are not linked together as part of a unified business structure. An apex organization may provide common services such as training and auditing and apply uniform standards of performance. It may also advocate for its member cooperatives on public policy and issues at the national level.

Development Hypothesis

USAID’s vision for the CDP¹⁷ emphasizes the self-reliance of cooperatives and their contributions to members’ lives and the sectors and countries where they operate. After 40 years of international cooperative assistance, USAID identified five specific intermediate results (known as strategic objectives, or SOs) as elements of a causal chain that would result in the achievement of this vision. Figure 1 depicts the SOs of the theory of change that underlie the CDP, as understood by the evaluation team.

CDP grants are largely provided to well-established U.S.-based CDOs, private voluntary organizations, and cooperatives that can provide technical assistance to local cooperatives and organizations in other countries. This technical assistance and the relationships between CDP implementing partners and their local partner organizations are central to the primary development hypothesis underpinning the CDP, that a “significant inflow of financial, intellectual, and other capital from USAID supported partnerships with key institutions outside the Agency will enhance the development outcomes USAID is able to achieve.”¹⁸ The underlying rationale for the CDP is that since cooperatives have played a significant role in the U.S. economy, they have the potential to contribute to developing and transitional nations’ economies as well. Cooperatives can serve as a vehicle to reach larger outcomes and goals.¹⁹

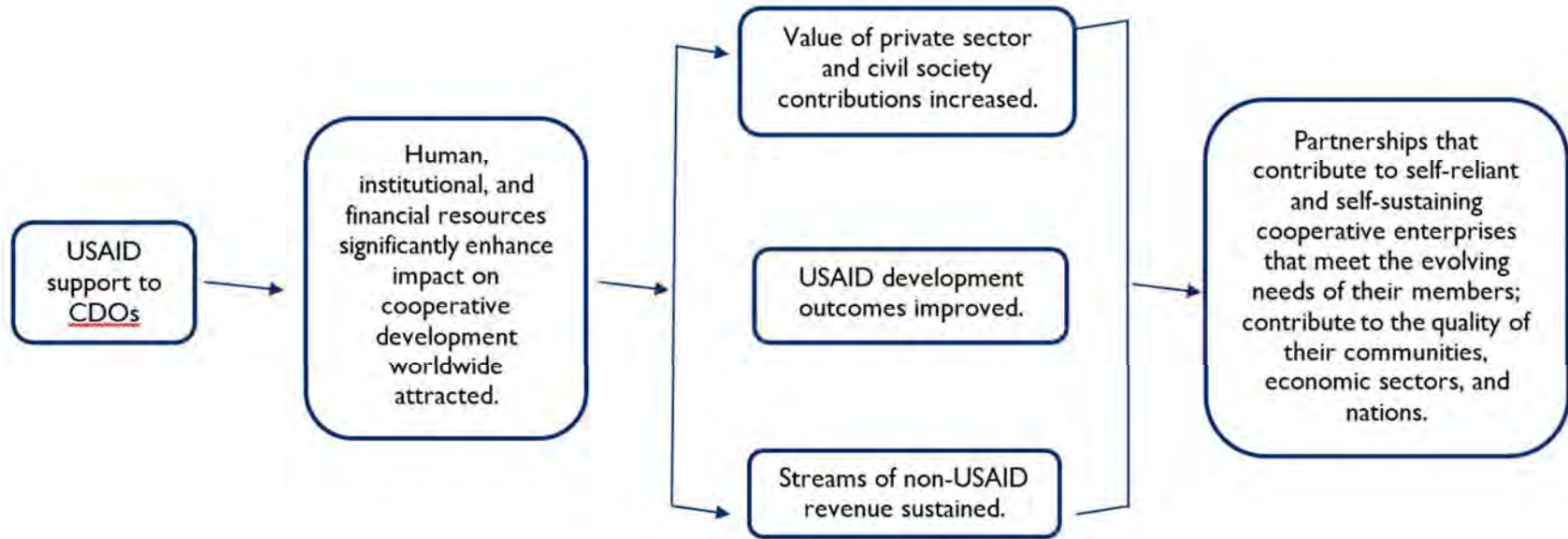
16 “Indicators to Measure the Economic Sustainability and Patronage Value of Agricultural Cooperatives; Research and Recommendations.” SSG Advisors. March 2016. See: http://pdf.usaid.gov/pdf_docs/PA00M45K.pdf.

17 USAID’s vision is explained in its set of slides covering the CDP Plan (2010–2015) and its 2009 RFA for CDP grants over that period. See USAID RFA #RFA-OAA-10-000001 “Development and expansion of economic assistance programs that fully utilize cooperatives and credit unions.” December 22, 2009, page 13.

18 See page 4 of the 2009 RFA.

19 http://pdf.usaid.gov/pdf_docs/PDACC894.pdf.

FIGURE I: CDP THEORY OF CHANGE



EVALUATION PURPOSE AND QUESTIONS

Evaluation Purpose, Audiences, and Intended Uses

USAID/E3/LS commissioned this performance evaluation of CDP activities from 2010 to 2015 to determine what changes to the structure of the CDP in its next cycle of funding (expected to begin in 2018) might facilitate increased program benefits, and to inform its decision-making about future USAID programming in cooperative development. To that end, the evaluation seeks to capture and examine successful approaches, good practices, and ramifications for future program design options.

The primary audience for this evaluation is USAID/E3/LS staff involved in the preparation of the next cycle of CDP funding. As long-term USAID partners in cooperative development, the board and membership of the OCDC, as well as congressional stakeholders who share an interest in the program, are also important audiences for this evaluation. Annex XVII provides a dissemination plan for the evaluation.

Evaluation Questions

This evaluation addresses the following four questions that USAID/E3/LS approved for this study. These questions match those found in USAID's Statement of Work for the evaluation, which is in Annex I.

1. How effective has the CDP been compared with the vision and plans set forth in the Program's foundation documents (including but not limited to the RFA and Program descriptions for CDP awards)?
2. Across the CDP, what best explains why and how Program successes emerged where they were observed and why gaps between intended and actual performance were found where that happened?
3. How effective was the solicitation approach and procurement mechanism in fostering the intended outcomes of the CDP?
4. What value does the CDP bring to Program stakeholders, including CDO partners (which could include their capacities and overseas reach and contributions), assisted cooperatives in partner countries, and partner country cooperative development resource/support organizations?

EVALUATION METHODS AND LIMITATIONS

Evaluation Methodology

Since the CDP is a global program with wide-ranging activities in multiple sectors across 10 implementing partners, the evaluation team's design for this study sought to capture the program's activities in a cost-effective and practical way. The evaluation team, in consultation with USAID/E3/LS, selected three countries for in-depth fieldwork: Kenya, Uganda, and Peru. Kenya presented an opportunity to examine a wide range of program activities across multiple implementing partners. In Uganda and Peru, implementing partners took unique approaches to cooperative development that USAID/E3/LS wanted to further examine. Within these three countries, the evaluation team used a purposive sampling framework to select specific CDP activities for field research to provide in-depth information to answer evaluation questions 1, 2, and 4, since CDOs undertake different interventions and with different population groups. The evaluation team worked with CDP implementing partners to identify sites and local cooperatives where their organizations have seen notable successes or challenges

under the program. Annex II provides an overview of the data collection and analysis methods that the evaluation team used for each evaluation question.

Data Collection Methods

The evaluation team used the following qualitative methods to collect data for this evaluation.

Desk Review. The evaluation team conducted a thorough review of more than 400 existing program documents to inform its findings for the evaluation questions and help determine the selection of countries and activities for in-depth field research. The team reviewed the following types of documents (a detailed list of the documents reviewed is in Annex XIV):

- Implementing partner documents, including progress reports, work plans, performance management plans, and evaluation reports.
- Foundation documents for the CDP, including the 1961 Foreign Assistance Act, 2002 Support for Overseas Cooperative Development Act, USAID’s 2001 Report to Congress on the Implementation of the Support for Overseas Cooperative Development Act, and USAID’s most recent evaluation conducted on the CDP in 2008.
- Relevant secondary documents focused on cooperative development in a developing country context.

Key Informant Interviews (KIIs). The evaluation team conducted 66 semi-structured interviews by phone or in person with various Program stakeholders, including staff from USAID, the home and field offices of CDP implementing partners, and cooperative development experts. Table 3 shows the number of respondents by type. For a complete list of KII respondents, see Annex IV.

TABLE 3: KII RESPONDENTS BY TYPE

Respondent Type	Number of Respondents
CDP implementing partners (home office and field staff)	40
USAID staff	12
Cooperative development experts	2
Cooperative members (includes leadership)	6
Local government representatives	3
Partner organizations	3

Workshops and Group Interviews. The evaluation team held four workshops and five group interviews with leaders and members of CDP-supported cooperatives. Since the CDP works with cooperative leaders rather than directly with members, the team did not ask them specific questions about the CDP. Instead, the purpose of these interviews was to understand the level of engagement between cooperative leaders and members.

The complexity of the workshops varied by type of cooperative. For more established cooperatives, the evaluation team held extensive workshops, asking members of the cooperatives to split into three groups. Each group answered one specific question:

- What are the cooperative’s greatest strengths?
- What challenges does the cooperative face?
- What are your goals for the cooperative in five years and how will you achieve them?

Following the breakout session, the evaluation team brought the members back into one group for a presentation and general discussion.

For members of pre-cooperatives, the evaluation team held less formal workshops that more closely resembled group interviews since these members generally had low levels of education and knowledge of central cooperative issues. These were more general discussions about the cooperatives' successes and challenges, as well as CDP activities to the extent that members could describe them. The team held five such group interviews.

The evaluation team also conducted a group interview with the OCDC. Participants included board members representing each member organization as well as staff from the two non-member organizations. Other participants included staff from CDP implementing partners who engage in the Collaborative Group. For a complete list of group interviews, see Annex V.

Site Visits. The evaluation team conducted visits to farms run by members of local cooperatives selected to participate in group discussions and workshops in each field visit country. The team visited farms in Embu and Nyeri in Kenya, in Mbarara in Uganda, and near Juanjui in Peru. The team also visited processing facilities owned by cooperatives in Embu and Nyeri in Kenya and in Juanjui and Lamas in Peru.

Focus Group Discussions for the Social Capital Study. The evaluation team conducted seven gender-disaggregated focus group discussions (FGDs) in Kenya lasting approximately one hour each to collect qualitative data related to organizational and operational change from the perspective of cooperative leadership.

Data Analysis Methods

During the desk review, the evaluation team used content analysis to establish basic information about the work of each CDP implementing partner, including the countries, number and type of local cooperatives, and sectors. This method also provided some information about the types of communities where the implementing partner worked and the implementation approaches, successes, and challenges that the implementing partner reported. The evaluation team triangulated data collected through the desk review with data collected during fieldwork to further inform the evaluation findings and to verify evidence found while conducting primary data collection. Additionally, throughout the course of the evaluation, the team discussed and reviewed interview notes against each evaluation question each day that interviews took place. The team used content analysis to extract patterns from all interview notes and identify themes and trends relevant to each evaluation question. This approach served three analytical purposes:

- It allowed the team members to contemporaneously record the insights and understanding of interviewees with full consideration of the context of the discussion so this information would not be lost.
- Recording this information allowed team members to reflect on what they had learned. Such reflections informed subsequent interviews and document searches.
- The regular documentation of key information facilitated faster and more efficient data analysis, including through developing and refining draft evidentiary findings during the fieldwork for consideration at the conclusion.

The team not only applied content analysis to the information it obtained in the interviews, but also disaggregated the data by stakeholder and data collection environment. For example, the team was highly cognizant during group interviews and workshops that members of CDP-assisted cooperatives had an incentive to portray the program favorably to continue to receive assistance from USAID. During these meetings, team members asked for specific details that would corroborate their opinions, and it verified the information received with site visits where possible.

Evidence Synthesis and Analysis

To answer the evaluation questions, the evaluation team synthesized the data collected from the distinct methods and data sources related to each question to produce findings, conclusions, and recommendations. It took the following sequential steps:

1. The evaluation team produced a summary of key findings by data source and by relevant respondent group, where appropriate, for each evaluation question.
2. Following interviews and site visits, the team reviewed answers to interview questions categorized by stakeholder to ascertain congruent and divergent responses. When diverse stakeholders provided different answers to questions, the team followed up to gain clarity on the causes of the dissimilar responses. The team also consulted program documents following each visit to ascertain the degree of similarity between written reports and the information it obtained firsthand.
3. After the evaluation team produced its draft findings, conclusions, and recommendations, it held an internal workshop to discuss and review preliminary findings, conclusions, and recommendations. This workshop enabled the team to focus on areas that needed strengthening and clarification.
4. Based on the workshop feedback, the team wrote a first draft of the evaluation and presented a summary of the findings, conclusions, and recommendations to relevant USAID/E3/LS staff.
5. The evaluation team incorporated the feedback it received from USAID/E3/LS to produce this evaluation report.

Social Capital Study

As part of this performance evaluation, at the request of USAID/E3/LS, the evaluation team conducted a sub-study to inform the answers to evaluation questions 1, 2, and 4 and provide an in-depth understanding of changes in the development and use of social capital among selected cooperatives' leadership. This study examined changes to the problem-solving, organizational management, and networking abilities of cooperative leadership, as well as levels of trust between cooperative leadership and members and the ability of cooperative leadership to interact with external organizations. The study focused on executive board members and leaders of established cooperatives and pre-cooperatives²⁰ who received support from the following CDP implementing partners: NCBA-CLUSA, Land O'Lakes, and ACDI/VOCA.

The evaluation team conducted thematic analyses of the gender-disaggregated FGDs it conducted with the leadership of four pre-cooperatives and established cooperatives to identify organizational and operational changes within the leadership of each type of cooperative that participants believed resulted from their association with CDP implementing partners. Using MaxQDA qualitative analysis software, the evaluation team identified themes derived from three components of social capital: structure and networks, trust and solidarity, and collective action. These three components served as the base from which the team developed a detailed, deductive coding structure. The team analyzed transcripts from the seven FGDs, as all pre- and existing cooperatives had leadership comprising both males and females, except for Gitwe Cooperative Union, whose leadership structure was entirely male. The team incorporated findings from the thematic analyses into the overall evaluation report; supplementary analyses are in Annex VIII.

²⁰ The evaluation team defines “established cooperatives” as those that are legally organized and regulated (albeit minimally) and “pre-cooperatives” as those working toward legal organization and regulation in the country where the organizations operate.

Evaluation Team Composition

The core evaluation team included eight members, listed below. Annex XV provides brief bios of these team members. While the team lead participated in all activities implemented under the evaluation, other team members had active roles in its various phases. Evaluation members completed and signed forms disclosing any potential conflicts of interest, which are provided in Annex XVI.

- Dr. Barak Hoffman, team leader/evaluation specialist, oversaw implementation of the evaluation. He participated in all phases of the evaluation, from design to report writing. He conducted data collection activities in all three fieldwork countries, as well as U.S.-based data collection.
- Ms. Mai Yang, evaluation coordinator, provided oversight of evaluation activities and field team members. She participated in various phases of the evaluation, from design to report writing. In collaboration with the team leader, she conducted U.S.-based data collection.
- Dr. Gary Glass, social capital study lead, provided oversight of activities related to the social capital study. He participated in various phases of the evaluation, from design to report writing. He worked closely with the field team conducting FGDs in Kenya, and conducted analysis of the discussion transcripts.
- Mr. Barry Silver, cooperative development expert, provided guidance and advisory services to team members throughout the evaluation.
- Dr. Obuya Bagaka, Kenya evaluation specialist, provided support during data collection activities in Kenya and led FGD activities there for the social capital study.
- Mr. Andrew Kezala, Uganda evaluation specialist, provided support during data collection activities in Uganda.
- Ms. Giovanna Monteverde, Peru evaluation specialist, provided support during data collection activities in Peru.
- Ms. Gloria Vuluku facilitated the female FGDs for the social capital study in Kenya.
- Dr. Brent Vickers conducted research and analysis for the desk review component of the evaluation.

Anderson Mmayi and Edna Myra from the Kenyan firm InfoTrak provided transcription and translation services for the male and female FGDs, respectively, for the social capital study.

Evaluation Limitations

The design and implementation of this evaluation faced several limitations, which the evaluation team sought to mitigate to the best of its ability:

- The CDP is a complex program with a variety of activity types in different geographical areas. It was not possible to address all activities, countries, and grantees with the same degree of intensity or the same level of detail. The evaluation team's sampling approach and research design attempted to address this challenge and provide a cost-effective and practical approach to answering USAID's evaluation questions across the range of program activities. Additionally, the evaluation team used information derived from the desk review to corroborate data collected through KIIs and group interviews. Where the team was not able to corroborate information through primary sources, it relied on data gathered through document review.
- Engaging both CDP implementing partners and cooperative leadership in obtaining information necessary for the establishment of the sample frame allowed the evaluation team to limit the effect of non-response bias. Leadership that is well connected to cooperative members increased the likelihood of potential respondents' participating.

- Recall bias was another limitation of the evaluation, as many examined CDP activities took place more than three years ago, and most of the cooperatives the evaluation team visited obtain external support from numerous organizations, potentially making it difficult for respondents to recall which donors funded which activities. For these reasons, members of cooperatives with whom the evaluation team spoke were not always able to recall the exact set of activities that the CDP implemented. To ensure that cooperative members were familiar with CDP activities relevant to the evaluation, the team worked with CDP implementing partners on group selection and making the initial connection with their cooperatives where possible. Additionally, the team relied on the desk review to confirm data collected through field research.
- The evaluation team required the cooperation of CDP implementing partners to obtain information necessary for the evaluation, including lists and contact information for potential respondents. This may have introduced response bias if respondents answered the evaluation team's questions the way they may have felt program implementers wanted them to respond, rather than expressing how they actually felt. The evaluation team sought to mitigate this concern by separating respondent groups (e.g., cooperative members, cooperative leaders, and implementing partner staff) and systematically triangulating information received with different sources and documentation.
- The quality of data and documentation that implementing partners provided was uneven. Implementing partners were required to submit semi-annual or annual reports to USAID; while some reports provided extensive information, others provided summaries that did not capture all of their activities in full. The evaluation team sought to mitigate this limitation by utilizing data collected through fieldwork and U.S.-based interviews to verify information found in the program documents. For activities in countries where the evaluation team did not visit or speak to field staff, the team relied on information provided by implementing partner home office staff who spoke more broadly about their various activities.
- Due to the timeline associated with the social capital study, some CDP implementing partners found it difficult to obtain access to membership information without having multiple face-to-face meetings with cooperative boards and local community members. This cultural requirement has been a barrier to the progression of the study, as the evaluation timeframe is limited and the team did not have a physical presence in Kenya to be able to meet with each potential cooperative board and its members. The team was not able to obtain a list with the appropriate number of members to conduct a survey that would be representative of CDP cooperatives. Due to this challenge, the social capital study changed significantly from what the evaluation team had originally proposed. The team initially intended to survey 800 to 1,200 members of cooperatives in Kenya that have been supported through the CDP to measure levels of trust, support, willingness to act collectively, and structure of cooperative member networks. Instead, the team conducted FGDs and focused the study on changes in the development and use of social capital among the selected cooperative leadership.

FINDINGS AND CONCLUSIONS

This section presents the evaluation team’s findings and conclusions for each of the four evaluation questions. During the course of the evaluation, the evaluation team realized that evaluation questions 1 and 2 were quite broad and covered program dimensions that the team had not previously considered. For this reason, the findings and conclusions for those two questions are structured around some of the research questions that the team considered relevant to answering them.

Evaluation Question 1

How effective has the CDP been compared with the vision, objectives, and plans set forth in the Program’s documents?

Overall, the evaluation concludes that the CDP has achieved meaningful programmatic successes. However, the CDP is a broad program that seeks to achieve various objectives, and works across a range of countries and sectors. As a result, the program design largely negates the capacity to render a simple yes or no answer about the aggregate effectiveness of the CDP and many of the activities it supports. In addition, for reasons that will be detailed in the findings section for evaluation question 2, even when the evaluation team was able to identify successful cooperatives the CDP has supported, it was difficult, and in some cases not possible, to isolate the contribution of the CDP to the observed outcomes.

The evaluation team spoke with experts on cooperatives who offered a simple criterion for judging the success of the CDP: the number of self-sustaining cooperatives the program creates. For numerous reasons, which are articulated in greater detail in relevant sections below, this is an unreasonable criterion. The most important reasons include:

- The CDP provides neither sufficient resources nor time to enable its implementers to turn a nascent cooperative into a functional self-sustaining cooperative.
- The 2009 CDP RFA did not list creating self-sustaining cooperatives as a primary objective of the program. Instead, it addressed facilitating partnerships that lead to creating self-sustaining cooperatives, which is a far more ambiguous result.
- The CDP encourages its implementers to take risks and work with pre-cooperatives. Neither situation is conducive to creating self-sustaining cooperatives, given the program’s five-year timeframe and the resources it provides.
- Reasonable criteria for success vary greatly across implementers, largely as a result of differences in the existing capacities of the cooperatives they are supporting. These range from already highly successful existing cooperatives (e.g., Equal Exchange in Peru) to pre-cooperatives (e.g., NCBA in Kenya).

Due to these challenges, the evaluation team attempted to elicit benchmarks for determining program impacts from the perspective of USAID as well as CDP implementing partners. Both views are relevant because the RFA that guides the CDP is broad and possesses numerous criteria for success, some of which are far more difficult to achieve than others. The CDP vision, stated below, focuses the discussion on the original intentions of the program:

“Partnerships that contribute to self-reliant cooperative enterprises that, in turn, meet the evolving needs of their members, contributing to the quality of their members’ lives, to their communities, to economic sectors, and to nations.”

Assessing the effectiveness of the CDP based on USAID’s vision and SOs²¹ for the program is challenging for a few reasons. First, some of the SOs are far more difficult to achieve than others. In particular, changing laws (SO 1) or initiating joint ventures (SO 5) is far more complicated than institutionalizing training (SO 2) or achieving growth in bilateral, multilateral, and foundation support (SO 4). Second, the one clear criterion pertinent to all implementers, “at least one demonstration per CDO of substantial, self-sustaining cooperative expansion within a sector” (SO 3), is vague. This phrase could mean an increase in membership, an increase in cooperative output, or creating a new cooperative or pre-cooperative.

Finally, standard output quantitative criteria, such as numbers of members served by CDP activities, are not particularly useful for judging program results. More broadly, no single standard can capture the impact of CDP activities, given the heterogeneity of countries, sectors, and types of activities that the program supports.

Due to these challenges, the team’s approach to answering evaluation question 1 was to develop and answer relevant research questions that reflect more specific ways to assess the program’s effectiveness. These research questions are listed below and are answered in the rest of this section.

- What defines a successful CDP intervention?
- Does the CDP support USAID strategic objectives?
- Is the CDP promoting female empowerment?
- Does USAID’s allocation of program resources across countries and sectors affect the CDP’s success?
- Are implementers disseminating learnings from CDP activities and results?
- Is the ODCD fulfilling its functions to disseminate learning about cooperatives (and the CDP in particular) and advocate for the CDP?
- Does the CDP promote collaboration?



Ankole Diocese Health Cooperative Society Ltd (ADHC) and Archdiocese of Mbarara Health Cooperative Society Ltd (ADMHC), Health Partners, Uganda. (Photo by Andrew Kezala, dTS)

21 See Table 1 for a list of the SOs that CDP targets.

What Defines a Successful CDP Intervention?

To explore how to assess program effectiveness, the evaluation team asked USAID officials, CDO implementing partners in the field and at their headquarters, cooperative leaders, and members of cooperatives how they defined successful interventions. The responses, which are summarized in Table 4, were illuminating as they provided information on how various CDP stakeholders understand and put into practice the program’s objectives. In general, as one moves down the chain of implementation from USAID to cooperative members, responses move from broader measures of partnerships and sustainability to more narrow ones of meeting the immediate needs of cooperative members.

TABLE 4: DEFINITION OF CDP SUCCESS BY ACTOR

Actor	Definition of Success
USAID	<ul style="list-style-type: none"> • Partnerships that contribute to self-reliant cooperatives • Meet the needs of cooperative members • Sustainability of cooperatives
Implementing Partners	<ul style="list-style-type: none"> • Partnerships that contribute to self-reliant cooperatives • Meet the needs of cooperative members • Facilitating business environment for cooperatives • Sustainability of cooperatives and needed financial assistance
Cooperative Leaders	<ul style="list-style-type: none"> • Sustainability of cooperatives and needed financial assistance • Meet the needs of cooperative leaders • Meet the needs of cooperative members
Cooperative Members	<ul style="list-style-type: none"> • Meet the needs of cooperative members

One definition of success that the evaluation team heard repeatedly, especially from implementers’ home office staff, is the ability of cooperatives to provide services that their members request, such as technical assistance in farming techniques. While one might interpret this response as an implementer’s advocating for a low standard, the team found numerous examples where the services that implementers provided directly strengthened cooperatives.

Perhaps the clearest example is Health Partners, which is pioneering a private health insurance program in Uganda and sees providing health education to the members of health cooperatives with which it works as central to the viability of its business model. According to field staff, education on preventative health care reduces the amount of money insurers need to reimburse to health care providers. In addition, Murata Savings and Credit Cooperative (SACCO) in Kenya, supported by WOCCU, has a substantial agricultural extension program. Murata staff report that it provides technical assistance opportunities to its members because being more knowledgeable actors in the value chain can help raise their income. Increased member income helps expand Murata’s capital base by creating higher balances of existing members and facilitates recruiting of new members. Moreover, the education level of the membership of the agricultural pre-cooperatives NCBA is supporting in Kenya, especially in Narok, is low. The agricultural extension services they receive as a result of the CDP are a necessary precondition for them to become functional cooperatives.

Similar to their home office counterparts, field staff tended to see their job as meeting the needs of the leaders of cooperatives. In many cases, cooperative leaders have a genuine need for assistance that the CDP does not provide, such as equipment, office and meeting spaces, or incentives through grants or other in-kind support. The CDP does not provide this type of assistance, yet NCBA field staff in Kenya, for example, see finding such sources of assistance as central to their jobs. For example, they have linked cooperatives they support to East African Breweries to obtain technical assistance for growing sorghum.

East African Breweries has also contracted to buy sorghum from the cooperatives. This type of assistance, in addition to technical assistance activities the CDP supports, is crucial for the success of the cooperatives in Kenya. Also, fostering amiable relationships with cooperative leaders is central to the success of CDP-sponsored activities, as these leaders are likely to follow the advice implementers provide only if they trust them. NCBA country office staff stressed that since the CDP does not provide direct financing to cooperatives, gaining the trust of cooperative leaders, in part through demonstrating the value of the CDP to the cooperative, is an integral part of their activities. Meeting the needs of the cooperative is one way to gain this trust.

Consideration of the outcomes of CDP activities as a metric to determine program success must recognize both the varying definitions of and conditions for success, and that CDP encourages implementers to take risks or even end assistance to cooperatives that have few prospects for positive results. In Liberia, for example, NRECA received buy-in from USAID/Liberia to continue the Beyond the Grid program, which another organization initially implemented. According to the field staff, USAID/Liberia asked NRECA to take over a poorly designed and poorly functioning rural electrification program in that country.²² NRECA worked with local cooperative staff to employ alternative options that would enable the electric cooperative members to pay for the electricity they now have and continue using the electrical power plants. This particular activity is part of a large rural electrical program that has received the attention of multiple donors, with funding of up to \$170 million over the next 10 years. Through the CDP, NRECA provides technical assistance to the three cooperatives that manage these energy projects so they can build the skills required to manage them on their own. NRECA field staff in Liberia view the project as highly risky, yet agreed to undertake the effort due to a direct request from USAID/Liberia.

Likewise, Land O'Lakes chose to work with the apex cooperative Lari Alliance because it had "successfully undergone horizontal integration and had begun or significantly invested in vertical integration."²³ After implementation began, Land O'Lakes learned that Lari Alliance was in significant debt. Through technical assistance provided by Land O'Lakes, Lari Alliance took several steps that enabled it to financially recover, pay back loans, reduce its considerable debt, and experience profits/surplus for the first time in five years. That recovery did not last, and by 2013, Lari Alliance's financial distress reached a climax with its processing plant going under receivership to the creditor and several of its primary cooperatives folding. Given these circumstances, Land O'Lakes decided to stop working with Lari Alliance. More broadly, working with pre-cooperatives is an inherently risky activity, and CDP activities alone cannot transform such inchoate organizations into functional cooperatives. Whether the CDP should encourage these activities is a reasonable question for the next phase of the program. To encourage risk yet subsequently penalize implementing partners on the basis of activity outcomes, without taking into account the complexity of the activities, contradicts the CDP's objectives.

At the cooperative level, the evaluation team found in FGDs with pre- and established cooperatives in Kenya that cooperative types define success differently. Whereas pre-cooperatives found small-scale success in their means of production, established cooperatives benefited from technological advancement and maximizing yield. Participants from pre-cooperatives discussed NCBA-CLUSA trainings in crop diversification and irrigation methods, which led the Maasai tribe to reduce its economic dependency on cattle:

22 The original program implementer provided excessively optimistic forecasts for the ability of communities the program was serving to be able to afford electricity at the prices it was going to charge. USAID/Liberia canceled the contract when it became aware of the flawed market analysis.

23 Annual Report, July 2011.

“In the past, our work as Maasai was to herd and eat cattle. Today we have discovered that we can also farm in chicken and do beekeeping to realize profits. We have also, as said, been taught that leasing our land is not profitable. That we can farm on it and get yields.” (Raposhi member, Olenton male)

The Riandu pre-cooperative in Meru became more resilient to draught through trainings from NCBA-CLUSA:

“Previously we would just farm, but we were taught by CLUSA on how to harvest rain, like digging holes that can collect water. Here in Meru, the rain is not that much, so we have even been taught rainwater harvesting those in the rural areas and it has helped them.” (Gekinyosia member, Riandu female)

FGD participants discussed production-related training for established cooperatives in terms of technological advancement and profit maximization. Participants from Meru Dairy mentioned that trainings from Land O’Lakes led to higher milk volumes and better cooling and storage practices:

“I would like to add something on Land O’Lakes. They also helped us on the issue of cooling milk. They also helped us to improve our yields. We now milk our cows thrice in a day compared to the past.” (Githongo Ngiri member, Meru male)

Gitwe Cooperative Union cut out the intermediary in its coffee manufacturing chain by purchasing a machine to process the raw coffee. The members no longer paid for processing and maximized their profitability by acting on the recommendation from ACDI/VOCA:

“ACDI/VOCA had trainings in capacity building to enable us [to] be open to new ideas. Say we can use a million shillings so that in the near future we can save and have more than 10 million. You see, this is a purley machine [used to extract coffee husks] and they encouraged us to buy it so that we can mill our coffee here and take the fine product saving on transport and milling. So as you can see, we are saving and yet, before we were not seeing this. So someone might be sitting on money and they cannot see.” (Gitwe member, male)

The most drastic differences between the successes that cooperative leadership members discussed were their ability to influence the policymaking process by opposing unjust legislature and taxation (which only established cooperatives mentioned) and the importance of addressing member problems, specifically the difficulty in paying school fees. Pre-cooperative respondents discussed the latter at length, while established cooperatives mentioned it only once. For example, when the county government attempted to pass a tax on farmers, the established Gitwe Cooperative Union gathered its members and joined farmers across the county to oppose the proposed tax.

“Moderator: So, the chairman has talked about a good aspect of opposing a bill. The bill that was being introduced. How did you oppose this as farmers? (Gitwe male)

“Chairman-Gitwe: We teamed up and we called all farmers from Kiambu and we said no. First, we were to be consulted. We should be consulted first to give our solicited opinions. So we were saying other than putting a tax on farmers, they needed to at least come help us with fertilizers to increase our yields. This would in effect make the county revenues go up, then maybe tax us.”

The FGDs in Kenya also documented a positive externality resulting from CDP activities. Pre-cooperatives found that they were empowered to solve the problem of members’ being able to pay school fees, in part due to trainings by NCBA-CLUSA:

“I wanted to say that from the merry-go-round we discovered that some members had problems in paying school fees for their children. So we decided to give each a given amount of money to help them. We then started lending money to members. And this would really go a long way in helping them pay school [fees] for their children. [Other members nodding in agreement.] We continued this way and people were really helped.” (Riandu male)

Based on the team’s interviews with CDP implementers, other reasonable criteria for success include improving the business environment in which cooperatives exist or expanding knowledge of the cooperatives in developing countries. For example, to inform its program design in Kenya, Land O’Lakes undertook research to identify challenges that vertically integrated cooperatives in the dairy sector encountered in competing with other commercial dairy producers in Kenya. Another example is Global Communities’ efforts in Uganda to strengthen alliances between cooperatives and facilitate dialogue between the Government of Uganda and cooperatives to improve the business environment in which the latter operate. It may be reasonable to make the case for a narrower or more stringent set of criteria in the next phase of the CDP, to be able to better assess program success.

In general, the evaluation team found that implementers execute the CDP well, especially in light of the rather modest budgets they receive from USAID. Among the more notable successes, the evaluation team identified the following:

- Equal Exchange provided Cooperativa Acopagro with highly specialized, difficult-to-acquire knowledge, which contributed toward the cooperative’s ability to supply niche markets with high-quality and expensive cocoa seeds.
- Land O’Lakes assisted Meru Dairy in restructuring its finances and more narrowly focusing its business operations. These activities took the cooperative from near-bankruptcy to profitability.
- Health Partners’ program in Uganda provides approximately 42,000 people with health insurance through health cooperatives, and the cooperatives it supports are moving to financial sustainability.²⁴
- CRI leveraged CDP support into a \$94 million program from the South African Government and the private sector to assist cattle cooperatives in South Africa.²⁵

While it is difficult to attribute these outcomes to the CDP or state what would have occurred in the absence of the program, the evaluation team found that the CDP did contribute to these successes. Of the seven CDP implementing partners that the evaluation team observed during field research, five demonstrated clear dedication to strengthening the cooperatives they were assisting. Health Partners’ Uganda country staff and NCBA’s Kenya country office stand out as particularly notable examples. Both have developed a strong relationship with the leaders of the cooperatives they are assisting and spend substantial amounts of time working with the cooperatives in their communities, as opposed to more remote locations. Land O’Lakes developed a similar relationship with the cooperatives it assisted in Kenya, as noted above. The team observed weaknesses in implementation in only two CDP implementers, specifically with two cooperatives. In both instances, the implementers’ country office staff appeared to have strained relationships with the cooperatives they were assisting and were spending far less time working on-site with cooperative members than the implementers in the examples above.

24 Health Partners Enhanced Collaborations Project. Semi-Annual Report July–December 2015. OAA-A-11-00010.

25 Annex XI provides examples of some of the investments CRI has helped facilitate through CDP. Also see CRI’s Cooperative Development Program Semi-Annual Report October 2015–March 2016.

Does the CDP Support USAID's Strategic Objectives?

Beyond CDP successes in activities, it is also reasonable to ask whether the CDP has been effective in supporting broader USAID priorities. The evaluation team finds that the CDP brings considerable value to USAID and advances many of the Agency's higher-level strategic objectives. Most important, well-functioning cooperatives help reduce poverty by raising the incomes of their members, which supports USAID's broadest objective of reducing poverty. The CDP further benefits USAID because program activities are designed to advance a number of the Agency's sector-specific priorities simultaneously. It is clear how the CDP's work with cooperatives in areas such as agriculture and health aligns closely with USAID programming in areas such as food security and global health. The CDP benefits USAID programs in other areas, including economic growth and trade,²⁶ in the following ways:

- Since cooperatives are private, member-owned companies, cooperative development supports USAID's priority to work with private-sector companies to spur economic development.
- WOCCU supports USAID's objectives to mobilize capital to underserved sectors and encourage local channels of financing. For these reasons, USAID/Kenya has integrated WOCCU's CDP program into its support for financial inclusion. Murata SACCO, for example, has 200,000 members.
- The agricultural cooperatives that the CDP supports are giving farmers better access to markets. Some of the clearest examples are Equal Exchange's cocoa development programs in Peru, NCBA's successful efforts to link sorghum farmers it is assisting in Kenya to East African Breweries, and Land O'Lakes's efforts to revive Meru Dairy.
- NRECA has supported the development of rural electrification in Haiti, Liberia, and the Philippines.

The CDP also supports USAID's objectives in democracy, human rights, and governance. The CDP stresses the development of member-owned and governed cooperatives. The evaluation team observed examples of implementers promoting these activities on site visits. Global Communities, for example, recently assisted the Kyeizooba Twimukye Cooperative Society to organize its elections. Health Partners actively engages the health cooperatives it supports in effective cooperative governance by assisting them in developing viable business plans as well. More broadly, through encouraging member equity, the CDP emphasizes the development of participatory cooperative ownership.

Moreover, the CDP directly advances USAID's strategy for building public-private partnerships.²⁷ Most directly, the CDP requires that implementers contribute at least 20 percent of the total program cost from their own funds. In addition, the evaluation team observed clear examples where ACDI/VOCA, Equal Exchange, Health Partners, Land O'Lakes, NBCA, and WOCCU (six of the seven CDP implementing partners the team visited) leveraged CDP funds into much more expansive programs through public and private sources of finance. Equal Exchange and NCBA have used CDP funds to link cooperatives they are supporting to contracts and technical assistance from private buyers. Moreover, the Government of Uganda asked Health Partners to assist it in designing a government-executed health insurance program, largely because of Health Partners' success in this area. CRI has also leveraged its success in building livestock cooperatives to a \$94 million investment for its members.

²⁶ <https://www.usaid.gov/what-we-do/economic-growth-and-trade>. USAID's priorities in this area are mobilizing new investors and private capital to underserved sectors and geographies, giving people access to markets, improving infrastructure, working with private sector companies to spur economic development, and encouraging local channels of financing.

²⁷ The discussion under evaluation question 4 provides additional details on the content of these partnerships.

Is the CDP Promoting Female Empowerment?

Beyond the USAID sector-specific objectives that the CDP supports, the evaluation team observed that the program promotes female empowerment. While female empowerment is not an explicit objective of the CDP, the evaluation team found numerous examples of relevant program elements, including:

- About half of the CDP home office program managers are women. While this is not a CDP female empowerment activity, it nevertheless signals leading by example.
- While the evaluation team visited activities implemented by seven implementers, only three had active country offices at the time of the visit. Of these three, two of the country directors were women.
- Nearly all of Health Partners' country program staff are women.
- NCBA country program staff in Kenya made female empowerment central to their program elements. The staff had particular success with Olenton Cooperative in Narok. When they started working with Olenton, women and men attended separate meetings. Today, women account for 60 percent of the members and hold leadership positions. Men and women also attend meetings together.
- The evaluation team held five group interviews and four formal workshops with cooperative members supported by seven implementers. Women were present and took an active role in each one. However, the percentage of women varied considerably. Women accounted for about 75 percent of the participants in the team's workshop with Health Partners. Female participation was lowest by far in the team's meetings with cooperatives supported by Equal Exchange in Peru.

Despite these positive outcomes, it is difficult to assess the program's impact on the female members of assisted cooperatives. While the team met with active female cooperative members in all but one of the workshops, it has no way of ascertaining whether those women were representative of the cooperative's female members or were outliers. Additionally, NCBA's Olenton Cooperative was the only cooperative that was able to inform the team of the percentage of women members. USAID would need to conduct a far more detailed study to make a more definitive judgment about the impact of the CDP on female cooperative members.

These limitations notwithstanding, the evaluation team found examples in which CDO program elements had a positive impact on the female members of the assisted cooperatives. The clearest example is Health Partners' program in Uganda, which provides health insurance to approximately 42,000 people in southwest Uganda and has pioneered private health insurance targeted at low-income communities in that country. The leaders of the cooperatives that Health Partners is assisting are almost entirely women. The Kyeizooba Twimukye Cooperative Society supported by Global Communities in Uganda also has female leadership. In addition, in the evaluation team's workshops with cooperatives supported by ACDI/VOCA and NCBA in Kenya, women voluntarily took an active role in the discussion. In both instances, CDP implementers' field staff stated that female empowerment activities were a deliberate feature of their programs. The most specific examples the team observed involved CDP staff efforts to solicit input from female cooperative members during group discussions and workshops.

The best evidence the team collected for the contribution of the CDP to the empowerment of female cooperative members came from the Kenya FGDs. Participants mentioned gender equality 20 times, 17 of which came from the pre-cooperative assisted by NCBA. Both male and female respondents spoke highly of the value of including women in positions of leadership and agricultural production. Women in the Olenton cooperative felt that they were empowered by the trainings and could openly discuss traditional issues that were previously off the table, such as female genital mutilation:

“Some traditions have been slowly wiped off like female genital mutilation because they are now discussed in the groups and women are encouraged to fight it. We are taught on how to convince our husbands to say NO to female genital mutilation.” (Olenton female)

Male leaders also viewed women as viable candidates for economic and leadership positions:

“Yes, in terms of leadership, in the past we really had problems. Only men were considered for leadership roles. Things have changed today and even women can now lead. There is a lot of gender balance. Even in terms of education, we have really been helped.” (Riandu male)

“We have knowledge on how to do things and business. Women are now empowered; they know their talents and can now be leaders. Women are now respected in the community, we can stand and address a crowd unlike before. We were taught that before you become a leader, you first need to lead yourself. Women are taught on balanced diet and how to feed their families; they were taught that when you have milk, you should exchange it for beans so that the children can eat well. We now have farms and have settled; we no longer have pastoral families. We have settled and we are practicing farming and the children can now get better education.” (Oenton female)

Does USAID’s Allocation of Program Resources across Countries and Sectors Affect the CDP’s Success?

The previous subsections highlighted the CDP’s diverse range of activities. One consequence of the CDP’s relatively small size and global scale is that most of the country-level activities have very modest budgets. For example, Global Communities, Health Partners (both in Uganda), and NCBA (in Kenya) each receive approximately \$500,000 per year for their CDP activities. This raises the question of whether the CDP could achieve a broader impact if it concentrated its resources in a smaller number of countries and/or sectors.

The evaluation team undertook two sets of conversations to answer this question, one with USAID staff and another with the CDP implementing partners. After discussing possible alternatives, the team was not able to find a strong justification for changing the current structure of the program. Relevant USAID staff communicated that the CDP is a small program and concentrating resources into a narrower set of activities will not change this fact. Program implementing partners also strongly support the CDP’s current scope. They appreciate being able to decide the countries in which they will operate. In addition, they find enormous virtue in running several small country programs, as it gives them flexibility to try different approaches and adjust activities on the ground to meet the evolving needs of the cooperatives. This is also consistent with the CDP’s overall encouragement of intelligent risks and trying innovative approaches to cooperative development. Implementing partners fear that attempting to raise the visibility of the CDP by concentrating activities more narrowly will erode the high level of flexibility the program affords in its current form. The basis for this concern is their experience managing larger and more visible USAID programs, which they found to be far more constraining and risk averse compared to the CDP.

Are Implementers Disseminating Learnings from CDP Activities and Results?²⁸

While the evaluation team found that the CDP has had many successes, the implementing partners’ dissemination of program results and efforts to build on knowledge of cooperative development have

²⁸ More specific information follows on the efforts of the OCDC to disseminate CDP impacts. The evaluation team discusses these as a separate section in this report because dissemination is one of the OCDC’s primary responsibilities and because it is not a CDP implementer.

been more limited. The CDP encourages its implementing partners to disseminate “lessons learned, both within the CDO and to the broader development community. Using workshops, publications, and the Internet, implementers will be encouraged to strengthen the intellectual foundation for cooperative development through dialogue engaging cooperative promoters, local partners, USAID missions, donors, and NGOs.”²⁹

Implementing partners have submitted many reports to USAID throughout the life of the program. However, the quality and level of detail in those reports is highly variable. Some have useful descriptions of program outcomes, while others are simply summaries and fail to provide in-depth information. In addition, what the evaluation team observed in person during field visits diverged significantly from the information implementers provided in their annual and semi-annual reports. These discrepancies did not go in only one direction, however. The evaluation team observed that two of the implementers appeared to have produced greater achievements than what the documents suggested, while another two showed the reverse. Given these challenges, despite having extensive program documentation, the team was able to make only limited use of those documents to assess the program’s successes, challenges, and implementation approaches. In part, this may be due to lack of feedback from USAID on the reports. All implementers with whom the evaluation team spoke expressed frustration that USAID did not comment on the voluminous reports they submitted.

The CDP has a moderate level of visibility within USAID/Washington. Outside the relatively small number of people within the E3 Bureau who interact with the program on a regular basis, none of the USAID/Washington officials with whom the team spoke could talk in detail about it. At the same time, the CDP is a small program, and USAID/Washington implements many other similarly small programs. The CDP does not appear to be more or less visible than other programs of similar size.

The evaluation team was unable to determine what information implementing partners shared with each other, either in countries where they operate or in the quarterly meetings of the OCDC in Washington. The OCDC and CDP implementing partners said that program dissemination occurred at these meetings, particularly within the Collaborative Group. The team asked the OCDC to share information that documents its dissemination activities and plans. The OCDC provided a few documents that showed dissemination efforts between 2010 and 2015, which included two brown bags, two conferences, a white paper, a brochure, and a document with several infographics about the OCDC, its members, and the CDP. The team did not receive anything on the Collaborative Group’s activities between 2010 and 2015. Implementers told the evaluation team that they did not like sharing CDP successes and failures with other implementers or the OCDC because they are competitors within the CDP and other programs. Such competition is by no means unique to the CDP and does not justify weak dissemination efforts.

Efforts to disseminate CDP activities are weak among one of the most important audiences for the program: USAID missions. Although mission staff with whom the evaluation team spoke were aware of CDP activities, implementers for the most part did not have strategies to foster awareness of their activities among mission staff. Mission staff in Peru said this was detrimental to the CDP because USAID has a large cocoa program in Peru and is supporting Cooperativa Acopagro through another program, Alianza Cacao. Mission staff seemed open to buying into the CDP, but told the evaluation team that Equal Exchange only intermittently informs them about its activities in Peru. WOCCU’s work with SACCOs in Kenya positively influenced the work of the Mission there on financial inclusion, but the Mission learned about WOCCU’s program in Kenya indirectly in the process of designing a financial inclusion program. While to some extent this low level of awareness is a result of the CDP’s small size, neither USAID nor its implementers have been proactive in promoting the program and especially its

²⁹ 2009 RFA, page 15.

successes. For example, the program’s website contains few details on program design and activities, no information on program outcomes or success stories, and no links to either implementers or existing program documents.³⁰

The above notwithstanding, some implementers have made notable efforts to document the impact of the CDP:

- Equal Exchange’s reports provide useful case studies of the cooperatives it supports.
- Land O’Lakes undertook an extensive impact assessment of its work in Kenya and designed a brief, yet informative, fact sheet (see Annex X).
- Health Partners allocated part of its CDP funds to a rigorous impact evaluation and provided USAID with a succinct summary of the results (see Annex IX).
- CRI’s reports consistently give highly detailed accounts of CDP activities and impacts, as well as providing occasional case studies (see Annex XI).

One obstacle to dissemination for this program is the large number of activities under the CDP, given its small size. Program implementers and the OCDC are aware that dissemination remains problematic and are taking steps to address it. The most concrete example is that the OCDC is convening an International Cooperative Research Group within the organization that will conduct “rigorous research into the impact and effectiveness of cooperatives in international development.”³¹ Additionally, at the most recent OCDC board meeting that the evaluation team attended, the board announced that going forward, it has committed to more public events, some of which will be targeted at USAID. This is a step in the right direction.

Is the OCDC Fulfilling Its Functions to Disseminate Learning about Cooperatives (and the CDP in Particular), as well as Advocate for CDP?

CDP implementers are not the only participants that have an obligation to disseminate program learning. They share this responsibility with the OCDC, which has two basic functions: (1) to disseminate learning about cooperatives and CDP outcomes, and (2) to advocate for the CDP at USAID and in Congress. Because U.S. federal law prohibits the OCDC from using USAID funds to promote the program in Congress, it uses funds from the implementers for these activities. As a result, evaluating the second part of its mandate is beyond the scope of this evaluation.

In terms of the first core OCDC function, the council has been an effective advocate for the CDP. Most importantly, it secured an increase of approximately 20 percent in the CDP’s annual appropriations between 2010 and 2015, from around \$10 million to \$12.5 million. Its board of directors is also very active in implementing and overseeing the program. The board consists of senior management, such as vice presidents, of the cooperatives participating in the CDP. It meets quarterly, and the evaluation team attended two of these meetings, observing a board that was highly knowledgeable and engaged with the CDP.

These strengths notwithstanding, the OCDC could do more to meet its mission “to champion, advocate and promote effective international cooperative development.”³² The OCDC’s website³³ is rather sparse and lacks current information. For example, the website could contain far more detail about the CDP, such as the aforementioned reports from Equal Exchange, Health Partners, and Land O’Lakes. In addition, the website could contain more case study examples than it currently contains. The OCDC

30 <https://www.usaid.gov/partnership-opportunities/ngo/cooperative-development-program>

31 http://www.ocdc.coop/coop_ref_center.html

32 <http://www.ocdc.coop/index.html>

33 Ibid.

has the capacity and the mandate to gather such information through its quarterly meetings. The formation of and recent changes to the Collaborative Group and the International Research Group to conduct more in-depth research into cooperative development demonstrates that the OCDC is aware of the problem and taking steps to address it. The OCDC could also deliver more presentations at USAID/Washington to increase the visibility of the program within the Agency.

The OCDC and CDP implementers are disseminating successful approaches for addressing cooperative development issues, but could intensify their efforts. The evaluation team could verify only that the OCDC hosted two brown bags and two conferences aimed at the broader development community between 2010 and 2013. NCBA–CLUSA hosted an annual cooperatives conference that takes place during Co-op Week³⁴ and enables participants to advance the cooperative business movement.³⁵ During this evaluation, the CDP also provided funding for a conference focused on cooperatives in development, where participants and presenters were able to learn from each other and about the role that cooperatives can play in economic and social development. The research and in-depth focus on cooperative development issues that both the Collaborative Group and International Research Group bring will enable the OCDC to lead and affect not only the cooperative development community, but development community as well, particularly in these types of fora.

A large part of the OCDC's constraints stem from lack of authority. The CDP does not fund the OCDC directly. Rather, some of its funding comes indirectly from USAID through sub-grants to an implementer and CDP implementing partners pay dues to the council as members. Due to this funding arrangement, the OCDC is also not directly accountable to USAID for the CDP. Neither the CDP implementing partners nor the OCDC are happy with this arrangement. Participation in the OCDC creates additional work for implementers, they do not like having to use their own resources to support the OCDC, and the OCDC would prefer to receive direct funding from USAID. In addition, the OCDC reports that it lacks the funds to undertake large-scale dissemination under the current funding system. It employs only one full-time staffer, the executive director, as well as a part-time research director and a part-time administrative support staff.

For these reasons, the OCDC requests a funding arrangement that would enhance its status as an equal partner in implementing the CDP. Such an arrangement could also make the organization more directly accountable to USAID.

Does the CDP Promote Collaboration?

Unlike its means for dissemination, the CDP does not have any formal mechanisms to promote collaboration.³⁶ The most formal attempts at collaboration that the evaluation team encountered were in Kenya between NCBA and WOCCU. NCBA is working with agricultural cooperatives in the central highlands as well as in the Rift Valley. WOCCU is supporting SACCOs. Field staff from both organizations found that it was not clear how to collaborate productively, as they are undertaking activities in distinct sectors. While they meet on a regular basis, no one could point to concrete results they have achieved jointly. As a result, no clear link exists in this instance between greater collaboration and greater CDP outcomes or impacts.

34 Co-op Week, in May, is dedicated to learning about and celebrating cooperatives. Trade associations and cooperatives discuss various topics each year. The 2016 topic was “Co-op Works.” See: <http://www.cooperationworks.coop/events-news/events/ncbas-co-op-week-dc>

35 <https://www.ncba.coop/press-releases/1332-registration-now-open-for-ncba-clusa-s-2016-annual-cooperatives>

36 As mentioned in other parts of this evaluation report, the Collaborative Group functions as a community of practice for CDP implementers and meets quarterly. It has collaborated on research initiatives such as METRICS and CLARITY, but the team did not observe evidence of collaborating on implementation.

The evaluation team did find some examples of successful voluntary CDO collaboration through the CDP. Global Communities chose to work with agricultural cooperatives in Uganda because of Health Partners' successful program there. In addition, three CDP implementers operating in Kenya chose to undertake a joint survey of the cooperatives they were supporting. These are perhaps the exception that proves the rule: Collaboration is far more likely to be successful when it is organic, not mandated.

Summary Conclusions for Evaluation Question 1

- The CDP achieved notable successes between 2010 and 2015, especially given the relatively small level of funding at the country level compared to the size of most country programs.
- Success is a multi-dimensional concept. It is difficult to ascertain whether an implementer achieved its goal of reaching the CDP's SOs because the objectives are so broad, program documents do not necessarily report progress against these objectives, and the flexibility of the program enables implementing partners to adjust their approaches, which can affect their development hypotheses and objectives of their activities. Because the CDP supports activities across a range of countries, sectors, and cooperative development stages, no single standard exists to judge the relative success of program activities. Rather, success is a relative concept, based in part on degree of difficulty and whether implementers met the needs that the assisted cooperatives articulated.
- The CDP advances USAID priorities in areas that include food security, global health, economic growth and trade, democracy and governance, and public-private partnerships. The program also supports USAID's broadest objective of reducing poverty because successful cooperatives, by definition, raise the incomes of their members.
- Some CDP implementers are promoting female empowerment through their activity implementation more than others. Gauging the effectiveness of these activities on female cooperative members would require additional field research.
- The program's allocation of resources to its implementing partners and the countries where they focus their activities is sensible from the point of view of all implementers. They very much appreciate the flexibility to adjust program activities to meet the evolving needs of the cooperatives they assist.
- Dissemination of successful program approaches to addressing cooperative development issues is not as strong as it could be. Neither implementers nor the OCDC are doing as much as they can to publicize the impact of the CDP. Existing reports, in particular, vary significantly in breadth, scope, and quality. Implementers and the OCDC could do much more to disseminate brief case studies demonstrating the impact of the program. Also, the OCDC could take on a much more active role in dissemination. Its website contains little information on the CDP and the evaluation team did not obtain documents from the OCDC that publicize the program's impact.
- USAID's decision not to mandate collaboration in executing the CDP is sensible. Collaboration in implementation can be useful when relevant and voluntary. Mandating collaboration is not useful if no clear areas exist where implementers can work together. For example, the CDP is encouraging collaboration between implementers in Kenya through quarterly meetings, yet participants do not find it useful because their programs are highly distinct.
- The OCDC's funding mechanisms are less than optimal. The organization receives indirect funding from USAID through implementers and direct funding from the latter as well. As a result, it functions in effect as a subcontractor for the CDP, not the focal point for learning and dissemination. Neither the OCDC nor the implementers support this approach. Rather, the OCDC would prefer a funding arrangement that would make it an equal partner in implementing the CDP. Such a system would allow the council to be more proactive in its core activities, as well as improve its visibility and accountability to USAID.

Evaluation Question 2

Across the CDP, what best explains why and how Program successes emerged where they were observed and why gaps between intended and actual performance were found where that happened?

The factors that best explain the CDP's success are the commitment of the staff executing the program, the CDP's flexibility, and the partnerships that implementers have formed with other organizations supporting cooperative development. Prior to providing examples to substantiate these conclusions, the evaluation team notes that the factors that determine the time it takes to transform pre-cooperatives to stand-alone ones relate to country, context, and competence of the CDO. CDP implementers suggest that this process can take 5 to 10 years and requires far more funding and types of support than the CDP provides. For these reasons, some factors that best explain the CDP's shortcomings may be beyond the control of its implementing partners.

Despite these challenges, the evaluation team identified success factors of CDP activities based on the data it collected. The most important factor is the commitment of the staff running the program to strengthen the cooperatives they are assisting. A few notable examples follow:

- The chief of party for Health Partners' program in Uganda shows an intense level of commitment and passion for the program. She works tirelessly to support it and her efforts have resulted in notable successes. For example, she works closely with the management of the health cooperatives that Health Partners supports to develop plans for financial management and recruitment of new members. Both are necessary for the viability of the cooperatives. She also has worked hard to gain the trust of the leaders of cooperatives that Health Partners is assisting, as well as community leaders more broadly. Gaining this trust has been enormously beneficial for their program, as church leaders and health care workers actively promote it.
- NCBA-CLUSA's country office in Kenya also shows a high level of commitment. Its field staff works with cooperatives that need significant assistance and have tight budgets. It nevertheless is able to spend its money well and its commitment is clear. For example, its two field staff spend two to three weeks each month away from home working with cooperatives they are assisting.
- The staff of Cooperativa Acopagro, one of Equal Exchange's partners in Peru, shows similar dedication. Its field staff, for example, works alongside farmers in the cooperative to provide onsite technical assistance.
- Land O'Lakes worked with the Cooperative Bank, Kenya's third-largest bank, to help restructure Meru Dairy's finances because of the bank's mission to support cooperative development in Kenya and its strong record of successful cooperative development in that country.³⁷

The evaluation team's FGDs in Kenya provide useful insight into success factors from the perspectives of cooperative leadership. All seven FGDs noted that CDP activities that focused on cooperative management were central to improving their performance.

- Pre-cooperatives highlighted CDP activities that focused on organizational management and leadership structures as a result of CDP trainings:

³⁷ <https://www.co-opbank.co.ke/about-us>

“Moderator: So the training took away some of the burden from the chairman?” (Meru male)

“Yes, in the past he was in charge of everything; that is, milk, store, transport, and all other areas. But we were trained to subdivide each area with its manager and subcommittee to make work easier. Another thing the training helped us with was the art of keeping our data. You see, in the past we used to do it manually, if it was writing down, we did it manually, measuring weight was also done manually and every other thing. But when Land O’Lakes came, they helped us in bookkeeping and digital data recording through computers and it has really made work easy.” (Githongo Ngiri male, chairman)

- Established cooperatives maintained that organizational management trainings the CDP undertook led to clearly defined roles for leadership and the creation of subcommittees. The latter improved delegation as well as bookkeeping and data recording.



Olenton Social Enterprise, female FGD (credit: Obuya Bagaka, MSI)

USAID’s supervision of the CDP, by contrast, does not seem to have affected program success, although its oversight of the program is not as strong as it could be. Since the CDP is a Washington-based program, staff in missions have no oversight responsibility to the program. Instead, this responsibility belongs to USAID/Washington, which does not undertake regular field visits to oversee program activities. Implementers would welcome such field visits.

Another related success factor is the ability of implementers to adapt their programs midcourse. Implementation of the CDP often diverges substantially from the program’s broader-level objectives. In part, this is because the CDP is operating in an environment where (1) CDP implementing partners are one of many external partners and (2) many of the pre-cooperatives need far more extensive assistance than the CDP can provide. The team addresses each of these factors at the end of this section.

A third factor for CDP’s successes has been the partnerships that implementers formed with external organizations. As noted, the CDP provides necessary support to the cooperatives it is assisting. However, it cannot control for many of the factors that determine the speed and capacity for most cooperatives, and especially pre-cooperatives, to become fully functional. Strategic partnerships have been central to filling this gap. This has allowed the CDP to act as one provider of needed assistance

within a more comprehensive program for cooperative development. Among the more notable examples the team uncovered are:

- Cooperativa Acopagro received support from Equal Exchange as well as the Government of Peru, the Government of Switzerland, the Inter-American Development Bank, the United Nations, and other organizations, including USAID funding through a different mechanism. Within the consortium of development partners, Equal Exchange targets its efforts to improving seed quality. Equal Exchange linked Cooperativa Acopagro to Tcho,³⁸ a specialized chocolate producer, to teach members of the cooperative to grow a rare, expensive cocoa bean variety.
- Land O'Lakes was one of four organizations working to rebuild the Meru Dairy Cooperative.³⁹ Land O'Lakes focused its efforts on financial restructuring and helping the cooperative develop a new business plan.
- Gakindu Dairy, a cooperative of 700 dairy farmers who produce about 3,200 liters of milk per day, is receiving assistance from Danida and the United Nations Development Program (UNDP), in addition to the support ACDI/VOCA provided through the CDP. ACDI/VOCA focused its efforts on capacity building, while Danida and UNDP assisted the cooperative in acquiring equipment and access to improved inputs.
- NCBA linked cooperatives in Kenya with East Africa Brewers to provide contracts and technical assistance in sorghum production.
- Health Partners' program in Uganda is successful in large part due to its partnerships with the Catholic Church in Southwest Uganda. Church officials, including clergy, support the program and the chief of party freely admits that the program would greatly struggle without the support.

During the evaluation, the team observed that program management might affect CDP outcomes. This led the evaluation team to ask two specific questions on this issue to answer Evaluation Question 2:

- Does USAID's management of the CDP support program success?
- What is the role of CDP implementers to advocate for more funding within USAID and/or bring in resources from other funders?

Does USAID's Management of the CDP Support Program Success?

The CDP works in multiple USAID priority areas, including agriculture and food security, health, economic growth and private sector development, and democracy and governance. In addition, as stated, missions do not possess detailed understandings of CDP activities that are being implemented in their countries. Furthermore, missions would likely have to take some responsibility for any adverse events, such as financial mismanagement, physical harm to field staff, and conflicts with government officials, even though they lack formal oversight responsibilities. Thus, a strong case could be made for having missions take more ownership for managing CDP activities directly, rather than from USAID/Washington.

However, the evaluation team found that the arguments for having USAID/Washington continue to manage the program are stronger. First, and perhaps most important, mission staff tend not to desire taking on the additional work that would come with managing the program. The health team at USAID/Uganda was emphatic on this point. The current health budget for USAID/Uganda is \$400 million and mainly funds support of the Government of Uganda's health programs. While the CDP's health program in Uganda does not undermine the Mission's efforts, it does not directly align with them either, as it promotes private health insurance. More importantly, the Mission's health team did not think it

³⁸ <http://www.tcho.com>

³⁹ The other three were AgriTerra, TechnoServ, and We Effect, a Swedish cooperative development organization.

would have the time to properly oversee the program. The evaluation team heard this from current and former mission program officers elsewhere as well. Finally, Missions with whom the evaluation team spoke do not have programs that support cooperatives, so they may lack the technical capacity to manage the CDP effectively even if they possessed the desire to do so.

Second, neither implementers nor mission officials see much value in aligning CDP activities with their country development cooperation strategies (CDCS). These are time-consuming and lengthy to develop, and the team did not encounter mission staff who desire to add the CDP to these planning activities. CDP implementing partners also do not wish this, as obtaining funding prior to or concurrent with CDCS development would likely cause a lengthy delay in implementing their activities after winning their awards.

Finally, USAID/Washington implements several other small programs like the CDP in the missions the team visited. Mission staff with whom the team met did not offer any compelling reason why the CDP should change to a mission-executed program as opposed to any of the other small Washington-executed ones in their country.

What Is the Role of CDP Implementers to Advocate for More Funding within USAID and/or Bring in Resources from Other Funders?

Given that the CDP does not finance all of the activities that cooperatives need to become functional stand-alone enterprises, it is reasonable for USAID to charge implementers with the responsibility for obtaining support for them. While the RFA did not require CDP implementing partners to advocate for more funding or bring in resources from other funders, it did encourage the expansion of involvement with private-public partnerships and civil society actors that can bring in additional resources and add to the foundation of cooperative development.⁴⁰ This is inherent in the program's theory of change (see Figure I), in which initial support from USAID will lead to a larger effort by others in the public and private sectors to increase cooperative development. Perhaps more importantly, reaching the CDP's high-level objectives of facilitating the development of self-sufficient cooperatives requires far more support than the program can provide. Implementers have, much to their credit, worked very hard to leverage CDP funds to bring in other sources of support. The most impressive has been CRI's program with livestock cooperatives in South Africa. It leveraged CDP funds into a \$94 million of government support for cooperatives it is assisting.⁴¹ Likewise, as described, Equal Exchange and NCBA have also leveraged CDP support to provide cooperatives they are assisting with contracts and technical assistance from buyers of the cooperatives' output.

Additionally, as a program that receives congressional appropriations, CDP allocations have continued to rise over the years, including during the 2010–2015 program cycle. Implementers confirmed this in interviews, and OCDC representatives stated that the council's funding has doubled over the last eight years of the program. While examining the activities that led to this rise are beyond the scope of this evaluation, the team is providing this information because the OCDC has the mandate to advocate for greater funding for the CDP. The OCDC cannot, however, use USAID funds for these activities, so it relies on fees paid by its members, the CDP implementing partners who have worked hard to help cooperatives they are supporting obtain other forms of assistance and have shown impressive results as well, as noted. This demonstrates that the CDP is effective in realizing its vision of developing and increasing various streams of revenue and private-public partnerships. This, however, also complicates the team's capacity to isolate the unique impact of CDP activities.

40 2009 RFA, pages 4 and 13.

41 <http://documents.crinet.com/CRI-International/About/Business-Led-Development-Success-Story.pdf>

Summary Conclusions for Evaluation Question 2

- Two key factors for the CDP's successes are the level of commitment from implementer staff and the program's flexibility. Staff across the seven implementing partners that the evaluation team visited demonstrated a high level of commitment.
- Some CDP implementers have done an enormous amount to seek other sources of financial support, both to finance their own activities and obtain funding for cooperatives with whom they work.
- Managing the CDP from Washington is sensible. Because of the CDP's comparatively small amount of funding at the individual country level, the benefits of aligning CDP activities with mission-funded activities seem less than the additional administrative costs of managing the program at the country level. Mission staff whom the evaluation team interviewed did not desire the additional responsibility of managing the CDP.
- Oversight from implementers and USAID is not as strong as it could be. At least two CDP implementing partners out of the seven that the evaluation team visited seemed unaware that the information they were disseminating about the CDP was inaccurate.

Evaluation Question 3

How effective was the solicitation approach and procurement mechanism in fostering the intended outcomes of the CDP?

Nearly every implementing partner interviewee who worked on the 2009 CDP RFA described the application process as cumbersome, time-consuming, and confusing. Implementers also expressed frustration at the management of the RFA process. The evaluation team found merit to these concerns. Beyond identifying which of the six CDP objectives they intend to address, the RFA asked applicants to address six additional issues, which follow (pages 16-17 of the 2009 RFA):

Each applicant for a CDP award is expected to:

- (1) Address not less than one of USAID's priority strategies*
- (2) Address one or more of key cooperative development issues*
- (3) Provide a clear description of how the implementation results will be integrated within the implementing partner's own program and disseminated within the broader cooperative and development communities*
- (4) Describe and provide evidence in support of what the CDO believes will be the impact of its successful strategies on cooperative members, cooperatives and the sector*
- (5) Describe the proposed approach to monitoring and mid-term and final evaluation of physical, institutional, and financial results and impact*
- (6) Document the commitment to work with cooperatives*

These criteria seem reasonable and sufficient for the RFA. However, beyond these issues, the RFA listed 33 separate questions it expected applicants to answer in seven different areas. Table 5 details the number of questions by area.⁴²

⁴² See pages 28–30 of the RFA for the exact questions.

**TABLE 5: NUMBER OF QUESTIONS
IN DETAILED PROGRAM DESCRIPTION, 2009 CDP RFA**

Issue Area	Questions
1. Development Challenge	3
2. Plan to Achieve Results	7
3. Strategies and Activities	5
4. Program Management	6
5. Monitoring and Evaluation	4
6. Institutional Capability	3
7. Resources	5
Total	33

Similarly, the technical review scoring system on pages 33–37 listed 52 separate criteria in 11 categories, as Table 6 shows.

TABLE 6: NUMBER OF TECHNICAL REVIEW CRITERIA, 2009 CDP RFA

Category	Number of Criteria
1. Logical Relationships	10
2. Factual Basis of Application	3
3. Measurement	6
4. Impact	6
5. Innovation	4
6. Strategy Effectiveness, Efficiency, and Economy	5
7. Management and Personnel	2
8. Dissemination	2
9. Evaluation	6
10. Alliances	2
11. Budget	3
12. Concurrences	3
Total	52

Given the wide-ranging and large number of issues the RFA asked applicants to address, the evaluation team finds substantial merit in implementers' criticisms. In addition, the application asked questions about issues such as impact and innovation that amount to little more than educated guesses, considering that applicants may not have a clear sense of how much they can achieve prior to initiating their activities. Moreover, having so many questions led to extremely lengthy program descriptions in proposals. For example, Health Partners' detailed program description was approximately 30 pages, excluding annexes, and NCBA's program description was 40 pages. Global Communities' description for its Enabling Market Integration through Rural Group Empowerment (EMIRGE) program was 36 pages and its entire 2009 CDP application was more than 150 pages.

The rigidity and the specificity of the RFA is inconsistent with the flexible and adaptable way USAID encourages partners to implement the program. The ability of activities to respond to the actual conditions and needs of cooperatives is a key attribute of the CDP that implementers commonly cite. The evaluation team encountered examples where implementation of CDP activities was significantly different from what CDOs stated in their applications. Equal Exchange in Peru presents one of the clearest examples of this issue. Its support to Cooperativa Acopagro has clearly been useful for the cooperative, which also receives assistance from a range of other organizations. Perhaps the most

beneficial aspect of Equal Exchange's assistance has been to work with the cooperative's leadership to focus on an area that is important to the cooperative that other organizations were not supporting, growing high-quality beans for niche markets. This has allowed members of the cooperative to receive higher prices for the same quantity of beans they had been producing. Yet Equal Exchange's application did not suggest that this would be one of its main activities under the program.

CRI, in response to its current environment/situation and its own research, as well as that commissioned through third parties, also changed its implementation approach and its development hypothesis during the program cycle. CRI's initial assumptions were that lack of access to market information was a constraint to cooperative development. When CRI learned that this assumption was not accurate, it took corrective actions, including changing project staff and the types of technical assistance it provided. CCI, based on interviews with staff, provides another example in which current program activities do not reflect initial intent as proposed. CCI wanted to work with cooperatives and enable them to provide information and communication technology (ICT) services in rural areas as well as advocate for policy changes. The implementing partner, however, had to adjust its approach when the Ethiopian ICT regulatory agency did not allow the cooperatives to do this because the agency wanted to have a monopoly as an ICT service provider.

In addition, all but two implementers with whom the evaluation team spoke expressed frustration at how the application process was managed. The length of time applicants had to respond to the RFA was inadequate, given the amount of information they had to provide. They stated that they needed substantial staff time to ensure that the proposal they submitted met the requirements. At least one person with whom the evaluation spoke mentioned that the procurement mechanism did not enable other organizations to apply, because the mechanism was not conducive to that organization type. Another interviewee noted that the low level of funding deterred some groups from applying.

The aforementioned complexities notwithstanding, the RFA was effective in describing the outcomes that USAID sought for the program. No implementer suggested that the RFA complicated the implementation of the program, or that the RFA was vague about program objectives. Rather, the primary complaint was that the RFA was unnecessarily complicated.

The evaluation team also found that it was difficult for missions to buy into the program. This deprives implementers of additional sources of support for their activities. NCBA, for example, claims that it experienced significant difficulties in obtaining mission buy-in for its program in Guatemala due to lack of clear procedures. According to the implementers who had looked into possibly obtaining mission buy-in, the processes are not clear and USAID contract officers are the arbiters for whether they can occur.

Finally, all implementers appreciated the five years of guaranteed funding, dependent on satisfactory performance that the CDP provided between 2010 and 2015. Implementing partners noted that cooperative development, especially building trust, cooperative capacity, and partnerships, takes time. Each implementer claimed that five years is the minimum amount of time they need to create impacts that will endure beyond the CDP. For example, growing new varieties of cocoa beans, as Equal Exchange is undertaking with Cooperativa Acopagro, requires testing across a few seasons to refine the process after they find a buyer for the crop. There are no realistic ways of shortening the time it takes to develop these new varieties and achieve the quality the buyer demands. Similarly, according to Lieb Venter, chief of party of CRI's program in South Africa:

“Rural development is a slow process, but the results from the CDP have shown that we are on the right track to make a big difference in the rural economy. Therefore, the CDP needs to be continued for a couple more years (at least five years) in order to ensure that we complete the process to establish viable and profitable black commercial farming businesses. We are fully committed in providing the necessary support from our side (CRI) in achieving this goal.”

In this context, the one-year extension funding cycle the CDP has employed since 2015 has been deleterious for CDP implementers. Due to these funding restrictions, USAID has forced implementers to focus only on what they can achieve in one-year increments. This is highly distinct from the multi-year planning framework under which they have been implementing. Global Communities and NCBA, in particular, noted that these uncertainties have undermined their programs' performance because they harmed the morale of their staff. NCBA, for example, had to briefly close its office in Kenya, lay off all staff, and suspend program activities as a result of this erratic funding cycle.

Summary Conclusions for Evaluation Question 3

- The RFA could be much simpler; it includes far more questions about program description and technical review criteria than necessary to differentiate between high- and low-quality submissions.
- The RFA is clear about the purposes of the CDP and there is no evidence that the cumbersome RFA process undermined CDP performance. There is little evidence that the complexity of the RFA deterred potential applicants.
- The RFA process and requirements are inconsistent with USAID's vision of the CDP. The former suggests a highly strict implementation plan. Yet CDP implementing partners view the program's flexibility as one of its greatest assets. As a result, the applications put forth by implementing partners may not be consistent with the flexible approach that these implementers actually use to implement the program.
- The guarantee of five years of financial support has been effective in allowing implementers to achieve durable improvements to strengthen cooperatives.
- The one-year funding cycle that has persisted since 2015 is undermining the performance of some CDP implementers.
- Mission buy-ins are not simple. USAID/Washington, in particular, could help facilitate these.

Evaluation Question 4

What value does the CDP bring to program stakeholders, including CDO partners (which could include their capacities and overseas reach and contributions), assisted cooperatives in partner countries, and partner country cooperative development resource/support organizations?

The main stakeholders to the CDP are the supported cooperatives and the CDOs that implement the program. The CDP adds considerable value to both of these stakeholders because it creates real partnerships between implementers, the cooperatives with which they work, and other external supporters. One reason for this is because of CDP funding restrictions. The CDP will not extend direct financial support to cooperatives, even those that genuinely need it.⁴³ Rather, implementers must work hard to find cooperatives that genuinely desire the types of capacity building and technical assistance that the CDP can provide. The CDP's five-year program cycle greatly assists implementers to develop genuine relationships as well.

NCBA staff in Kenya forcefully argued that the CDPs funding structure caused the implementer to focus on building partnerships with the cooperatives they assist. Their experience has been that many cooperatives look to donors mainly as a source of financial support. Many cooperatives they approached were not interested in working with NCBA for this reason. They mainly found interest among cooperatives that evinced a sincere interest in becoming self-sufficient businesses. This shared focus on

⁴³ Agricultural cooperatives are the most obvious example. They cannot exist without vehicles to collect agricultural output or distribution centers, yet CDP cannot fund either area.

creating successful cooperative enterprises allowed NCBA to become a true partner in the development of the cooperatives they are assisting.

Health Partners in Uganda provides another excellent example of a direct link between partnerships and program success. A key element of Health Partners' success in Uganda was a result of the close relationship it forged with the Catholic Church in southwestern Uganda. The strong support that church clergy and lay leaders have provided is Health Partners' strongest recruitment tool, according to its own country field staff.

Equal Exchange's work with Cooperativa Acopagro is an additional example of the role of partnerships and successful outcomes of CDP activities. Equal Exchange asked a boutique chocolate producer, Tcho, to execute the CDP in Peru. Tcho, in turn, worked with Cooperativa Acopagro to develop high-quality cocoa beans. This was a multi-year activity and would succeed only if (1) Equal Exchange could provide multi-year support to develop the beans and (2) Tcho agreed to buy the beans. The program would not have been successful without the close working relationships between the three organizations. This is also an example of a sustainable program, since once the cooperative has acquired the capacity to produce the high-quality beans that Tcho wants to buy, Equal Exchange no longer needs to finance the activity for it to continue.

Land O'Lakes in Kenya provides another example of the importance of partnerships in the CDP's success. Land O'Lakes was one of five organizations working to restructure Meru Dairy. Each organization focused on different aspects of the cooperatives operations to create a comprehensive program for rehabilitation. Close partnerships with not only Meru Dairy but also other organizations assisting the cooperative were central to executing a coherent program.

Finally, CRI has built a very effective partnership between the Government of South Africa and the cooperative it assists in that country. As a result of creating these relationships, it has leveraged CDP funds into \$94 million of additional support for cooperatives by the Government of South Africa. CRI assists the cooperatives with creating business plans detailing the support they would like from the government.

Implementers find unique value in the CDP because it allows them the flexibility to attempt innovative activities; other programs do not provide this flexibility. Three clear examples are:

- Equal Exchange is executing a program in Peru to help small-scale farmers produce high-value-added cocoa beans for niche markets, support that Cooperativa Acopagro claimed it could not attain through any other source.
- Health Partners is implementing Uganda's first large-scale program to provide private health insurance at affordable rates.
- The CDP allowed Land O'Lakes the opportunity to test the potential for vertical integration among dairy farmers in Kenya. Meru Dairy is a successful example of vertical integration in dairy in Kenya. The cooperative controls the entire value chain of production, from assisting with the procurement of dairy cows for its members to retail sales of dairy products.
- The CDP is the only international development program that CRI operates. It has found the CDP to be an invaluable program for attempting to link cooperatives in South Africa to markets as well as to significant sources of external finance from the Government of South Africa. The CDP also has allowed CRI to experiment with different methods of assisting cooperatives to ascertain which is most appropriate, given the existing capacities of various cooperatives. The approaches they have tried include direct training, linking cooperatives to buyers, and mentorships between cooperatives they assist and established cooperatives.

Trust is central to building effective partnerships, and the evaluation team's FGDs in Kenya provide some evidence of how the CDP was effective in fostering it. Participants attribute the increased trust to improved transparency and changes to the leadership structure.

Leadership from pre-cooperatives highlighted the positive impact of leadership training on increased accountability and transparency from elected cooperative officials:

Member, Raposhi: "We can also talk about transparency. I mean openness. If I get information, I must take to the group. When the chairman goes for a meeting elsewhere, he calls the board that disseminates the information in the various groups reaching a large number of people and the whole community. In leadership, the members have a right to education." (Olenton male)

Education Treasurer: "Because we were trained on good leadership, the leaders are good, because we are transparent, we listen to them, there is accountability, and members are given their dividends at the end of the year." (Riandu female)

Leadership from established cooperatives attributed increased levels of trust due to greater transparency from and accountability of cooperative leaders to enforce bylaws for removing board members who are not working for the benefit of the cooperative:

Moderator (Meru male): "So in terms of accountability, the sharing of information and the auditing, do you feel that it has helped to build trust between the leadership and members?"

Member, Tivane Dairy: "Yes, to a large extent."

Chairman, Nari Dairy: "On accountability, you have to take the books to the government for auditing and after they have been stamped, that's when you report back to the members."

Moderator: "What happens if a member of the board is not trusted by the members?"

Chairman, Wosishi Dairy: "If he is not trusted by the members, the bylaws allow the members to disqualify him/her through the District Cooperatives Officer."

Vice Chairman, Tivane Dairy: "Even the board can make the decision. There are some issues that cannot wait for the member's intervention. The board can kick one of its own through a vote. This will eventually come to the members and we will explain to them why we made the decision."

Moderator: "So we can say there is accountability among the members of the board?"

Member, Tivane Dairy: "Yes, if one of us does the wrong thing, we simply kick him out."

Summary Conclusions for Evaluation Question 4

- The CDP creates real partnerships between implementers and the cooperatives they support, as well as among external supporters. The CDP encourages the development of partnerships because of (1) the length of the current CDP program cycle; and (2) limits on the types of support the CDP can provide. The latter helps ensure that the CDP works with cooperatives that desire to strengthen their operations and deters cooperatives that are looking for financial support but have a weak commitment to meeting the needs of their members.
- Implementers value the CDP because it allows them to try innovative approaches to support cooperative development. Other programs funded by USAID and other donors that the evaluation team encountered did not operate with such a focus.

- The CDP is able to create effective partnerships between implementers and cooperatives they assist when the former are able to gain the trust of the latter.



Kyeizooba Twimukye Cooperative Society (KTCS) members, Global Communities, Uganda. (Credit: Andrew Kezala, dTS)

RECOMMENDATIONS

Based on these findings and conclusions, the evaluation team recommends the following:

USAID Should:

- **Continue implementing the CDP.** Broadly speaking, the CDP is a successful program, especially considering the small size of the country programs it supports. Beyond assisting cooperatives, it supports USAID priorities in several areas, including food security; global health; economic growth and trade; democracy, governance, and human rights; and public-private partnerships.
- **Retain the five-year CDP funding cycle.** Developing cooperatives, especially pre-cooperatives, takes time. In particular, the CDP has been effective in building partnerships between its implementing partners and the cooperatives they assist because the five-year program cycle signals a strong commitment from the former. USAID should retain this multi-year commitment at the beginning of the program cycle.
- **Continue to fund only capacity-building, collaborative learning, and technical-assistance activities under the CDP.** The CDP's decision to fund only capacity building, collaborative learning, and technical assistance has been an effective way to ensure that the program supports only cooperatives that desire to become more self-sustaining. This is a strong attribute of the program, but the CDP should encourage implementers to help cooperatives find other sources of support for areas the program does not cover, such as supplies, equipment, and office space where such assistance is necessary to create stronger cooperatives.
- **Maintain a multi-dimensional view of success of the CDP.** The CDP does not provide the timeframe or resources to transform a nascent cooperative into a fully functional one. Defining success as helping to create stand-alone cooperatives therefore would bias program activities toward cooperatives that are likely to be successful even without CDP assistance.
- **Tailor CDO reporting requirements to elicit more useful information.** Existing semi-annual and annual reports produced for USAID by the implementers are highly variable in scope and quality. They also tend toward summaries of activities and quantification of program impacts without the necessary context to interpret the data in a useful way. USAID should work with each implementer to determine the most effective reporting requirements that foster learning and support monitoring and dissemination objectives. It should also ensure that CDOs are reporting information that will facilitate effective program evaluation.
- For CDP implementing partners operating in many countries and/or supporting numerous cooperatives, a more useful reporting approach for capturing program effects and better understanding processes for change might be to **allow them to prepare more in-depth case studies about program context, activities, and impacts.** This information would provide considerably better information on program outcomes and their justifications for USAID, CDP implementers, and the broader cooperative development community, as compared with existing reporting requirements.
- For CDP implementing partners supporting legal and/or regulatory changes, a useful reporting requirement might include **more in-depth analyses that discuss proposed reforms, document successes and challenges to them, and analyze the reasons for these successes or challenges.** The Collaborative Group can take up efforts to help CDP implementing partners

engaging in legal and regulatory reform work to not only better report their progress but also showcase their implemented activities more prominently. This approach would also work well for implementing partners supporting a small number of cooperatives.

- Since CDP implementing partners are often only one of many organizations working on an issue or supporting various cooperatives, implementing partners should **document other sources of support their local cooperative partners receive, and other known organizations supporting similar activities** to be better able to attribute successes that result from CDP activities. This could include how implementing partners collaborate with other organizations to design programs to assist cooperative development in the countries where they are operating.
- **Retain the CDP's flexible implementation approach.** CDP implementing partners recognize that the support they can most usefully provide to cooperatives often evolves during program implementation. They greatly appreciate the ability to refine their approach as conditions evolve.
- **Avoid mandating collaboration in CDP implementation.** While the case for stronger dissemination of CDP successes is clear, the case for more active collaboration across implementers is not. Rather, USAID should encourage natural collaboration where relevant.
- **Mandate greater collaboration in dissemination of cooperative development approaches and lessons learned.** USAID should move forward with OCDC's proposal to take a more active role in disseminating CDP activities among implementers through the Collaborative Group. This should include putting at least one CDO report on a recent or forthcoming report to the Collaborative Group in each quarterly meeting. The OCDC should put these on its website as well. In addition, implementers and the OCDC should develop a communications strategy, in part to determine the audiences they would like to reach and messages they would like to convey for each,
- **Continue to manage the CDP as a Washington-based program.** Despite the seemingly strong logic of decentralized implementation, the costs of aligning the CDP with each mission's CDCS seem greater than the benefits. That being said, raising the visibility of the CDP in the field might facilitate greater *ad hoc* cooperation with mission-executed programs, where relevant. USAID/Washington should help facilitate missions' buy-in.
- **Continue to allow implementers to choose where and how to operate.** The wide scope of CDP activities across sectors and countries might suggest that USAID would benefit from concentrating activities in a smaller number of countries and/or sectors. Yet the CDP would remain a program with relatively low levels of funding, even if USAID undertook such a consolidation. In addition, the CDP's flexibility has allowed implementers to restructure activities to meet the needs of the cooperatives they assist. Because the most useful types of support implementers can provide are sometimes difficult to anticipate, the CDP's flexibility is an asset.
- **Ensure adequate oversight.** Two of seven CDP implementing partners that the evaluation team visited appeared to be unaware of problems within their programs. Field visits from USAID/Washington or properly trained implementing partner representatives (e.g., technical experts) would likely have uncovered this information before the evaluation. USAID should take a more active role in program oversight. The other five CDP implementing partners that the evaluation team visited said they would welcome more field visits from USAID/Washington. Likewise, CDP headquarter staff also said they would welcome more site visits from USAID/Washington.

- **Significantly simplify the RFA.** The 2009 RFA was far more complex and broad than it needed to be to distinguish high-quality proposals from low-quality ones. In addition, requiring such detailed proposals is largely inconsistent with the flexibility that the CDP encourages. One approach could be for applicants to submit a concept note that details the activities they would like to execute, the rationale for them, and how the proposed activities are consistent with vision of CDP and USAID strategic priorities. USAID should also simplify the technical review criteria accordingly.
- **Enhance OCDC's authority and accountability to USAID.** In practice, the OCDC functions as a subcontractor for the CDP and not as an equal partner in the program. USAID should promote the ability of the OCDC to coordinate the dissemination of CDP outcomes and make it more accountable to the Agency.
- **Require implementers to copy the OCDC on all reports submitted to USAID.** To ensure that the OCDC possesses the documents it needs to effectively perform its dissemination obligations, all CDP implementers should copy the OCDC on reports they submit to USAID.

CDP Implementing Partners Should:

- **Expand dissemination of CDP successes and learnings from implementation approaches used.** All implementing partners should make at least one presentation per year to the mission in countries where they have programs.

OCDC Should:

- **Expand dissemination of CDP successes and lessons learned.** The OCDC should collect case studies that implementing partners prepare (as suggested in the previous recommendation), compile them into semi-annual or annual reports, and present these reports to USAID/Washington, as well as highlight the reports on its website.
- **Undertake studies** that document how the CDP is supporting USAID strategic priorities.
- **Develop a comprehensive communications strategy.** As part of its annual work plan, the OCDC should develop a communications strategy. This should include events it intends to hold, the audience for them, and the information it intends to address.

ANNEX I: EVALUATION STATEMENT OF WORK

Statement of Work Performance Evaluation of the Cooperative Development Program (CDP)

I. Program Description

For over four decades, the United States Agency for International Development (USAID) has supported the development of cooperatives as part of its foreign aid program. The 1961 Foreign Assistance Act contained Congressional language directing USAID to “encourage the development of cooperatives as a means of strengthening the participation and involvement of the rural and urban poor in development through self-help activities, and as a way to mobilize private U.S. financial and human resources to benefit poor people in developing countries.” One of the ways in which USAID provides support to U.S.-based cooperative development organizations (CDOs) is through the Cooperative Development Program (CDP), a series of multiyear grants-in-aid issued from USAID/Washington.

The CDP is a \$10.5 million, five-year competitive grant program managed by the Office of Local Sustainability in USAID’s Bureau for Economic Growth, Education, and Environment (E3/LS) that responds to the needs of host country cooperatives and other member-owned businesses by utilizing the expertise, resources, members, and volunteers of long-established U.S. cooperatives and CDOs. The current CDP includes 10 partner CDOs that focus on savings and credit, health, housing, agribusiness, technology transfer, democratic institutions, rural telecommunications and electrification, and private enterprise development. The current iteration of the CDP began in mid-2010 and continues through the 2017 fiscal year.

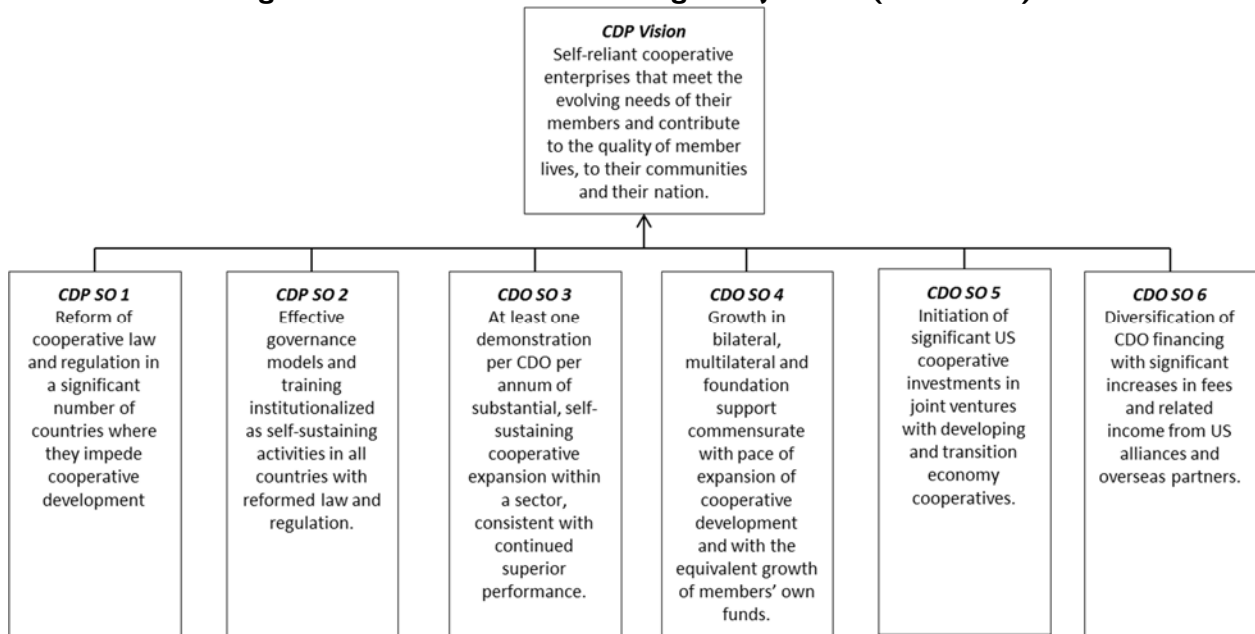
2. Development Hypothesis and CDP Grant Design

USAID’s vision for the CDP, as explained in its set of slides covering the CDP Plan (2010-2015) and its 2009 Request for Applications (RFA) for CDP grants over that period,⁴⁴ emphasized the self-reliance of cooperatives and their contributions to member lives, and the sectors and countries where they operate. After 40 years of international cooperative assistance through a small community of eligible U.S.-based CDOs, USAID identified 6 specific intermediate results (known as Strategic Objectives at the time) as elements of a causal chain that would result in the achievement of this vision. Figure 1 depicts these aspects of the theory of change that underlie the CDP.

Recognizing that its CDO partners have worked with specific countries and cooperatives for widely varying lengths of time, USAID’s theory of change is not specified below the Strategic Objective level. Instead, the RFA asked prospective CDP applicants to identify in their applications the intermediate results that would contribute to the achievement of one or more Strategic Objective over the life of a 2010-2015 grant.

⁴⁴ See USAID RFA #RFA-OAA-10-000001 “Development and expansion of economic assistance programs that fully utilize cooperatives and credit unions.” December 22, 2009, page 13.

Figure 1: CDP Vision and Strategic Objectives (2010-2015)



In this regard, the RFA further stated that, “given the importance and complexity of issues faced in overseas cooperative development, USAID central support to U.S. CDOs will be refocused on development, testing, evaluation, and dissemination of solutions,” and that central grants will “encourage dissemination of lessons learned, both within the CDOs and to the broader development community.”

USAID/E3/LS expected applicants to “commit to develop, test and implement an approach to a USAID Agency priority” and address at least one of “the major cooperative development challenges presented in this RFA” (See Table 1). For the priorities and issues applicants selected, they were required to present:

- Strategy(ies) that include measurable objectives, and targets;
- Descriptions of and rationales for implementation activities; and
- Methods that will be used to measure anticipated results.

Table 1. Agency Priorities/Cooperative Development Issue Options Cited in the 2009 RFA

<p>Each applicant is expected to address not less than one of USAID’s priority strategies as reflected in Bureau/Mission Operational Plans</p>	<p>Related to the role of cooperatives under Agency priority strategy areas, each applicant is expected to address one or more key cooperative development issues</p>
<ul style="list-style-type: none"> • Global Engagement Initiative (GEI) • Food Security • Restoring the Foundations of Growth • Climate Change • Water • Global Health • Democracy and Good Governance • Human and Institutional Capacity Development Policy 	<ul style="list-style-type: none"> • Principles of sound cooperative law and strategies to improve the legislative and regulatory environments* • Change strategies • Addressing HIV/AIDs, Tuberculosis, Malaria and other endemic diseases and their impact on cooperatives and their members • Strengthening cooperative participation and governance • Planning and information systems • Replication, scale and salience • Alliances in support of cooperative development objectives • Avoiding dependency: accelerating progress from donor support to commercial operations • Design

* The RFA further specified that each applicant that chose to address legislative and regulatory reform was expected to do so in collaboration with one or more other applicants.

3. Existing Information Sources

USAID/E3/LS will provide the evaluation team with CDP documentation and administrative data, including:

- Foundation documents for the CDP, including the 2000 Report to Congress on Implementation of the Support for Overseas Cooperative Development Act, 1985 USAID Cooperative Policy (CP), CDP Strategy (CDP-S), 2009 and 2013 CDP RFAs, and the Action Memo (AM).
- 2009/2010 CDP Evaluation Report
- Program descriptions for each CDP award
- Periodic reports required from grantees under their agreements including work plans and periodic reports on standard and customized indicators
- U.S. Department of State-USAID standard indicator data from CDP activities
- Cooperative Law and Regulation Initiative (CLARITY) and measurement documents, including information collected through METRICS
- Semi-annual program reports, and a final report for the 2010-2015 period if completed
- Mid-term evaluations of CDP grants if conducted, and other relevant analytic reports on activity results

4. Evaluation Purpose, Audience, and Intended Use

Purpose

USAID/E3/LS requires that a performance evaluation of CDP activities since 2010 be conducted in order to inform the next round of Program funding, which is anticipated to begin in 2017 or 2018. Past performance of the CDP should be considered to the extent that it can illuminate successful approaches, good practices, and ramifications for future Program design options.

Audience

The primary audience for this evaluation will be USAID/E3/LS staff involved in the preparation of the next cycle of CDP funding. As long-term USAID partners on cooperative development, members of this community – including the board and membership of the U.S. Overseas Cooperative Development Council (OCDC) as well as Congressional stakeholders who share an interest in the Program – are also considered to be important contributors to and audiences for this evaluation.

Intended Use

The information provided through this evaluation will be used by USAID/E3/LS to make decisions about future USAID programming in cooperative development and determine what changes to the structure of the CDP in its next cycle of funding might facilitate increased Program benefits.

5. Evaluation Questions

USAID/E3/LS has identified the following set of questions to guide this evaluation. In addition to considering USAID/E3/LS' need for evidence on which to base forward programming decisions, these questions take into account inputs from the broader cooperative development community as represented by the board of the OCDC, with which a discussion on plans for this evaluation was held in May 2016. Further clarification is provided below each question for the evaluation team's reference.

I. How effective has the CDP been compared with the vision and plans set forth in the Program's foundation documents (including but not limited to the RFA and Program descriptions for CDP awards)?

Consistent with USAID's vision for the CDP, this question subsumes multiple levels (including members, sectors, and countries, to the degree that CDO partners made commitments at these levels in their applications and in addressing Agency priorities and cooperative development issues identified in the RFA). Results reported as attributable improvements are of special interest, particularly those involving member incomes and/or in the financial and program/service performance of cooperatives and cooperative service organizations. Where attribution is claimed, USAID's interest extends to the methods used to measure change and determine attribution. From USAID's perspective, the effectiveness of the CDP is not simply an aggregation of discrete targets met (or not met). Instead, the evaluation team should consider a holistic understanding of: (1) the extent to which CDO partners have made significant progress in developing, testing, and disseminating workable approaches to the specific issues they proposed to address in their applications; (2) whether this success has been translated into improved partner cooperative performance; and (3) if the results of these approaches have been adopted more broadly within the CDOs participating in the Program. A blend of specific and holistic evidence is anticipated when answering this question.

As part of the effort to answer this evaluation question, the evaluation team will examine the following aspects of CDP:

- Evidence of the level of CDP involvement, through CDO grants, with national resource organizations that also support cooperative development, e.g., collaboration, institutional strengthening, developing/testing solutions.
- Whether and how the CDP enhances Mission programming, including how Missions perceive the CDP and how the CDP has affected Mission strategy outcomes. More importantly, whether the CDP has influenced Mission program designs that incorporate cooperatives, producer

organizations, or other collective action organizations in ways that reflect the work done by CDP partners.

- Among CDOs that selected legislative and regulatory reform as the key cooperative development issue in their application (see Table 1), was USAID's requirement for a cross-sectoral approach involving collaboration with one or more other applicants operationalized and with what effect or outcomes.

2. Across the CDP, what best explains why and how Program successes emerged where they were observed and why gaps between intended and actual performance were found where that happened?

Through this evaluation, USAID/E3/LS seeks to identify lessons from successes and failures around the CDP's design and implementation, and the environments in which the Program is executed, that could be integrated in the next round of Program funding. This learning is expected to help improve the likelihood of realizing the CDP vision in a growing number of countries, across all regions, including through sustainable efforts to scale up locally viable cooperative development and strengthening the positions of cooperatives in local markets.

3. How effective was the solicitation approach and procurement mechanism in fostering the intended outcomes of the CDP?

USAID is currently engaged in an effort to re-examine and re-envision the way in which it designs and administers foreign assistance programs in partnership with organizations and countries. Evidence that demonstrates positive and negative effects of the solicitation approach and procurement mechanisms used for the CDP in 2010-2015 will facilitate forward planning. USAID is also interested in exploring more specific facets of the procurement process, including whether grants or fixed amount awards may have been more appropriate than cooperative agreements; whether it could have been more useful to request an initial concept paper and then engage in a co-creation process with periodic assessments and, when appropriate, redesigns; and whether the misalignment between Congressional mandates and Agency budgeting caused disruption in Program continuity. Perceptions and opinions are also valuable, but should be reported separately if obtained.

4. What value does the CDP bring to Program stakeholders, including CDO partners (which could include their capacities and overseas reach and contributions), assisted cooperatives in partner countries, and partner country cooperative development resource/support organizations?

Value can be captured through perceptions as well through more direct measures, and may or may not be closely linked to what USAID and CDO partners laid out as the CDP's intended results. Understanding what is valued and what is not, by whom, and for what reasons will be valuable for USAID's future planning.

When answering these four questions, the evaluation team should look Program-wide, rather than for only a small subset of CDO partners, as considerable performance monitoring data for each grant already exists. While primary data collection is anticipated for this evaluation, in-country field work is expected to be selective and justified in terms of the otherwise inaccessible data it will yield.

USAID/E3/LS is also potentially interested in obtaining fine grain information on a few dimensions of the CDP that relate to the four questions above. While these would not be treated as separate evaluation questions, the evaluation team responding to this SOW should examine the methodological and budget

implications of addressing these dimensions in the course of answering the four questions. USAID/E3/LS will then determine, in collaboration with the evaluation team, which dimensions warrant incorporation into the Evaluation Design Proposal given the time and resources available for this evaluation. The potential dimensions of interest are listed below:

- Whether and how earlier CDO work with the cooperative community in a country where recent grant activities were implemented demonstrably influenced results/outcomes during the 2010-2015 grant period.
- Whether CDO involvement with local cooperatives and other activities the CDP supports in partner countries are helping to build “social capital” in those societies.

6. Gender Considerations

USAID expects evaluations to be engendered where that effort will help to identify desirable and undesirable special and differential impacts of Agency activities, irrespective of whether they were planned or unanticipated. To that end, Annex B reviews each of the four evaluation questions from a gender perspective, focusing on the need for sex-disaggregated data, by question, and whether distinct evaluation methods or approaches may need to be incorporated in any proposed evaluation methodology to address these issues. In its Evaluation Design Proposal, the evaluation team should describe gender-specific aspects of the evaluation per Annex B.

7. Evaluation Design

An effective design for this evaluation must address three inter-related challenges. The first stems from the range of Agency priorities and CDP issues on which the USAID-funded grants focused, combined with the inherent diversity of CDOs that received these grants. The second stems from the fact that the CDO community, including grant recipients under the 2010-2015 Program period, has been working in some of the countries where activities under recent grants took place, and in some cases with local cooperatives and cooperative resource organizations in those countries, for a number of years. Determining what was achieved and what lessons can be learned from the 2010-2015 Program period will require an understanding of what came before, and to what degree results that emerged during this period actually stem from assistance that was initiated much earlier. The third challenge will be to determine an approach that will produce sound empirically based answers to the evaluation questions while addressing the first two challenges and working within the timeframe and resources available for this evaluation.

To this end, USAID envisions the following design for this evaluation:

I. Evaluation Design and Desk Review of Existing Information (approximately 30 percent of the effort)

The first phase of this evaluation is expected to include the following steps:

- a) Desk review of secondary documents and initial data collection: this step will include analysis of existing secondary data and primary performance information in relation to the evaluation questions.
- b) Development and submission of an Evaluation Design Proposal: this document will include the proposed design, methodology, and work plan for the evaluation, and will incorporate the level of effort and methods required to answer the dimensions of interest that the evaluation will examine, as agreed with USAID/E3/LS.

The desk review in step 1 is expected to map out the intended results of the 2010-2015 Program period along multiple dimensions, including (a) grantee, (b) country, (c) Agency priorities that applicants indicated they would address, (d) cooperative development issues that applicants indicated they would address, and (e) intermediate results (metrics/targets) that grant holders proposed in relation to the above and to report on achievements in relation to the CDP vision. Against this intended results map, the evaluation team should identify actual results reported in partners' reports and completed evaluations or assessments. During this phase, the evaluation team may interact with grantees as needed either remotely or – if in the Washington, D.C. area – in person to further explore and clarify grantee descriptions of intended and actual results. Such interactions might include discussions of targets exceeded or not met, unanticipated results, and the relationship or chronology linking results observed during the Program period to prior work that might have been undertaken by CDOs with the same cooperatives and resources organizations in the same countries. At the end of the desk review, the evaluation team will synthesize the information reviewed into partial answers to the evaluation questions, and identify those data gaps that will need to be addressed through further data collection to be able to fully answer each evaluation question.

In parallel to the desk review, the evaluation team should develop an Evaluation Design Proposal that will include the proposed evaluation design, methodology (including analysis plans), work plan, information about data gaps identified during the desk review, proposed sites for field work, likely targeted respondents to be interviewed during field work, team composition, estimated budget, outline for the final evaluation report, and draft collection instruments.

2. Primary Data Collection and Analysis (approximately 45 percent of the effort)

The second phase of the evaluation will include field data collection, both at U.S. domestic sites outside the Washington, D.C. area (if needed) and overseas. Country visits and virtual meetings with respondents located overseas will take place during this phase. In countries where USAID has a presence, in-briefings and out-briefings for Mission staff will be offered in coordination with USAID/E3/LS.

This phase of the evaluation will include analysis of data collected in the field in relation to the various clusters of results examined in the desk review and initial data collection during the first phase (e.g., CDOs, countries, Agency priorities, cooperative development issues). Findings should also be clustered at this stage in relation to the CDP vision and Strategic Objectives in Figure 1, although it is not expected that the evaluation will be able to make explicit attribution or rigorous causal linkage analyses.

To foster participatory learning from this evaluation and validate its findings, this phase of the evaluation will culminate with a briefing or workshop for USAID/E3/LS staff and other Agency representatives and members of the cooperative development community that USAID/E3/LS elects to invite. At this event, the evaluation team will present its preliminary findings, and opportunities will be afforded for participants to offer their views on the conclusions to be drawn from these findings and actions that might logically follow from them. This validation session will also offer the evaluation team an opportunity to obtain reactions to and sense of the feasibility of preliminary recommendations being considered.

3. Reporting and Dissemination (approximately 25 percent of the effort)

During the final phase of the evaluation, the evaluation team will prepare and submit the draft evaluation report, which will follow an outline to be agreed with USAID/E3/LS and should include a draft dissemination plan for the evaluation that may include written or oral briefings to build awareness and foster utilization of the evaluation, in addition to USAID's expected uses for decision-making about future programming.

Following receipt of the draft evaluation report and USAID's provision of written comments, the evaluation team will prepare and submit a final version of the evaluation report incorporating USAID's feedback on the draft version as well as a final dissemination plan.

8. Evaluation Methods

For purposes of this SOW, evaluation methods refer to the data collection and analysis methods that will be proposed by the evaluation team in its Evaluation Design Proposal to be submitted towards the end of desk review and initial data collection phase. Since this first phase will involve a comprehensive mapping of the Program's intended and actual results over the 2010 – 2015 Program period using existing data, specialized techniques including sampling are not envisioned for this phase, although unstructured communications with partners about the documentation is likely.

Likely Data Collection and Analysis Methods

USAID anticipates that a mix of methods may be used to obtain answers to the majority of the questions on which this evaluation is expected to focus. This is likely to include key informant interviews with U.S.-based CDOs, Mission staff, and representatives of partner country cooperative development support organizations. Small surveys may also be considered for Program stakeholders such as cooperative members and cooperative staff. The Evaluation Design Proposal should include the proposed data collection methods to be used for answering each evaluation question. This should include any proposed sampling (e.g., cooperatives to visit, members to interview) for data collection and indicate whether respondents will be randomly selected or if another method will be used.

With respect to data analysis, USAID is most interested in how the evaluation team proposes to aggregate data from the initial analysis with primary data collected during field visits at the question level, on a grantee, country, Agency priority, and cooperative development issue basis. The Evaluation Design Proposal should describe proposed data analysis approaches regarding how the evaluation team will integrate qualitative and quantitative data to arrive at answers to the evaluation questions. The document should also, in a question-by-methods matrix, indicate the analysis steps that might be taken with data sets prior to their being analyzed together to address the evaluation questions.

9. Strengths and Limitations

There are several significant challenges anticipated for this evaluation. In its Evaluation Design Proposal, the evaluation team should consider these limitations as well as any others identified, and describe possible mitigation strategies for the evaluation.

- The CDP is a complex Program with a variety of activity types in different geographical areas. It will not be possible to address all activities, countries, and grantees with the same degree of intensity or at the same level of detail.
- It may not be possible with the time and resources available for this evaluation to address every dimension of interest; options will be considered by the evaluation team and discussed with USAID/E3/LS to determine which will be examined during the implementation of the evaluation.
- The selection of sites to visits and types or numbers of people to interview during field work is likely to be purposive, e.g., criteria- or quota-based rather than involving large probability samples. Nevertheless, steps to avoid selection bias issues should be pursued, such as randomly selecting cooperatives to visit, members to interview, or survey respondents from existing lists, unless the design explicitly calls for data collection on "best case" examples or from key informants with specific characteristics.

- Data quality may prove to be an issue with respect to cooperative member incomes and/or in the financial and program/service performance of CDO partner cooperatives/cooperative service organizations, and similar outcome measures of interest. USAID’s RFA (page 17) referenced a 2009 report from the OCDC describing how metrics in these areas could be improved as an illustration with reference to its requirement for a description of applicant approaches for monitoring and mid-term and final evaluations under the Program.⁴⁵ However, subsequently, a 2012 review of certain types of data on cooperatives funded through USAID programs indicated that they are not consistently available.⁴⁶ The design for this study should take this prospect into account and systematically document evaluation findings with respect to performance monitoring data availability, quality, and consistency across the partner community.

10. Deliverables

It is expected that the evaluation team will be responsible for the following deliverables.

Deliverable	Estimated Due Date
1. Draft Evaluation Design Proposal including methodology and work plan, site selection plan, team composition, estimated budget, and draft data collection instruments	o/a four weeks following USAID/E3/LS approval of this SOW
2. Presentation for Findings Validation Event	To be proposed in Evaluation Design Proposal
3. Draft Evaluation Report, including Draft Dissemination Plan	To be proposed in Evaluation Design Proposal
4. Final Evaluation Report, including Dissemination Plan	o/a three weeks following receipt of USAID comments on Draft Evaluation Report
5. Dissemination Activities (TBD)	To be proposed in Dissemination Plan

All documents and reports will be provided electronically to USAID. All qualitative and quantitative data will be provided in electronic format to USAID in a format consistent with Automated Directives System (ADS) 579 requirements. All debriefs will include a formal presentation with slides delivered both electronically and in hard copy for all attendees.

11. Team Composition

The evaluation will be carried out by a team led by an experienced evaluator with demonstrated knowledge of the role and function of cooperatives and CDOs in developing countries. Specific knowledge of the CDP or other relevant USAID programs is preferred. Additional subject matter experts and researchers may be required to carry out the desk review and data collection activities described in this SOW.

The Evaluation Design Proposal will include the proposed team composition for this evaluation based on the range of methods proposed, including CVs of team members. Evaluation team members will be

⁴⁵ Measuring Cooperative Success: New Challenges and Opportunities in Low- and Middle-Income Countries: http://www.ocdc.coop/OCDC/documents/PUB_Metrics_2009.pdf

⁴⁶ USAID OIG Report: <https://oig.usaid.gov/sites/default/files/audit-reports/9-000-12-001-s.pdf>

provided with USAID’s conflict of interest statement that they will sign before conducting any field research.

Home Office support will be provided by the firm(s) that will be implementing this evaluation, as required, including quality assurance, research support, administrative oversight, and logistics.

12. USAID and Partner Participation

Regular communication between the evaluation team and the designated USAID Activity Manager for this study will be essential to the successful execution of the evaluation. The evaluation team will keep USAID apprised of changes and developments that necessitate/require any significant decision-making or modification of the approved Evaluation Design Proposal.

The desirability of USAID participation in evaluation activities, including data collection, will be considered prior to the initiation of such research. At USAID’s request, or with its concurrence, the evaluation team should identify additional opportunities for CDO partners to participate in this evaluation as observers or users.

13. Scheduling and Logistics

The following Gantt chart provides an illustrative overview of the estimated timeframe for the evaluation and key deliverables. The Evaluation Design Proposal will include a detailed schedule and proposed delivery dates. The overall period of performance for completion of the review is expected to last approximately eight months. The schedule below assumes USAID approval of this SOW by early June 2016.

Table 1: Illustrative CDP Review Timeline

2016-2017							
Task/Deliverable	July	August	Sept	Oct	Nov	Dec	Jan
Desk Review & Report							
Evaluation Design Proposal Development and Submission							
Data Collection – U.S.							
Data Collection - Overseas							
Data Analysis							
Findings Validation Event							
Draft Report							
Final Report							
Dissemination Activities (TBD)							

The evaluation team will be responsible for procuring all logistical needs such as workspace, transportation, printing, translation, and any other forms of communication. USAID will offer assistance in providing introductions to partners and key stakeholders as needed, and will ensure the provision of data and supporting documents as possible.

14. Reporting Requirements

The format of the Evaluation Report should follow USAID guidelines set forth in the USAID Evaluation Report Template (<http://usaidlearninglab.org/library/evaluation-report-template>) and the How-To Note on Preparing Evaluation Reports (<http://usaidlearninglab.org/library/how-note-preparing-evaluation-reports>). The Final Evaluation Report is not expected to exceed 30 pages, excluding references and

annexes. A copy of the final evaluation report will be delivered to the USAID Development Experience Clearinghouse (DEC) within 30 days of USAID’s acceptance of the final evaluation report and approval to post it on the DEC.

All members of the evaluation team will be provided with USAID’s mandatory statement of the evaluation standards they are expected to meet, shown in Annex A.

15. Budget

The evaluation team responding to this SOW should provide a full and detailed estimated budget in the Evaluation Design Proposal, which must fall within the resources that USAID/E3/LS informs the evaluation team are available for this evaluation.

Coverage Options for the Dimensions of Interest

As described in Section 5 of the SOW, USAID/E3/LS is interested in having the evaluation examine additional dimensions of interest that build on its four evaluation questions. To better understand what it would take to systematically capture adequate data on these possible dimensions, the evaluation team should prepare an options assessment and discuss further with USAID/E3/LS so that decisions can be reached in regard to which dimensions of interest to incorporate into the Evaluation Design Proposal. The table below may be used as an illustrative template for the evaluation team’s assessment of the dimensions of interest, including whether data can be collected using the same methods that the team proposes for answering the four evaluation questions, or if additional methods would be required, as well as the cost implications of gathering data on each dimension.

Illustrative Dimensions of Interest Assessment Template

Dimension of Interest	Likely Methods		Resources Required (Time/Other)			
	Same as for EQ1-4	Additional (identify)	No additional resources	Minimal increment (explain)	Modest increment (explain)	Considerable increment (explain)
1. Ex-post option: Whether and how earlier CDO work prior to 2010 demonstrably influenced results and outcomes in recipient communities during the 2010 - 2015 evaluation period.	✓	Chronological reconstruction of assistance and results achieved prior v. current grant period. Possibly case studies, selected cases.			✓ More extensive interviews; historical data review	
2. Social capital option: Whether CDO involvement with local cooperatives and other activities the CDP supports in partner countries are helping to build “social capital” in those communities.		Conceptual model for “social capital developed/used”. Possibly case studies, selected cases.				✓ Specialized instruments & more extensive interviews

ANNEX II: GETTING TO ANSWERS MATRIX

Evaluation Questions	Type of Answer/ Evidence Needed		Indicator	Data Collection Methods		Sampling Approach	Data Analysis Methods
				Data Source	Method		
1. How effective has the CDP been compared with the vision and plans set forth in the Program's foundation documents (including but not limited to the RFA and Program descriptions for CDP awards)?		Yes/No	<ul style="list-style-type: none"> • Contribution to national or industry reform agendas • Contribution to CDCS 	<ul style="list-style-type: none"> • CDOs, USAID/ Washington • Project documents • Key Informants 	<ul style="list-style-type: none"> • KIIs • Doc Review 	Purposive	<ul style="list-style-type: none"> • Content Analysis
	✓	Description					
	✓	Comparison					
2. Across the CDP, what best explains why and how Program successes emerged where they were observed and why gaps between intended and actual performance were found where that happened?	✓	Yes/No	<ul style="list-style-type: none"> • Use of EQ I data to select CDO program successes • Use EQ I data and profiles to identify failure cases • Application and analysis of intended and actual performance data/reporting 	<ul style="list-style-type: none"> • CDOs • Local cooperatives • Members of local cooperatives 	<ul style="list-style-type: none"> • KIIs • Document review 	Purposive	<ul style="list-style-type: none"> • Content Analysis
		Description					
	✓	Comparison					
		Explanation					

Evaluation Questions	Type of Answer/ Evidence Needed		Indicator	Data Collection Methods		Sampling Approach	Data Analysis Methods
				Data Source	Method		
3. How effective was the solicitation approach and procurement mechanism in fostering the intended outcomes of the CDP?	✓	Yes/No	Congruence of solicitation and final outcome	<ul style="list-style-type: none"> • CDO • USAID Washington • Non-selected grant recipients 	<ul style="list-style-type: none"> • KIIs 	Purposive	<ul style="list-style-type: none"> • Content Analysis
		Description					
		Comparison					
		Explanation					
4. What value does the CDP bring to Program stakeholders, including CDO partners (which could include their capacities and overseas reach and contributions), assisted cooperatives in partner countries, partner country cooperative development resource/suppose organizations?	✓	Yes/No	<ul style="list-style-type: none"> • May consider impact on individual livelihood by Cooperative • May consider impact on family access to factors of wellbeing (health, electricity, etc.) by cooperative • May consider impact on macro cooperative eco system by CDO • May consider impact on cooperative sustainability, functionality and effectiveness by CDO • May consider impact on foreign direct investment on cooperative sector • May consider impact on joint investment 	<ul style="list-style-type: none"> • CDO • Local cooperatives • Members of cooperatives • Local partners (NGOs, public/private sector, academic institutions) 	<ul style="list-style-type: none"> • KIIs 	Purposive	<ul style="list-style-type: none"> • Descriptive Statics • Content Analysis
		Description					
	✓	Comparison					
		Explanation					

ANNEX III: KEY INFORMANT INTERVIEW QUESTION GUIDES

OCDC Board Members/CDOs	
Name and Last Name:	
Agency/Organization:	
Title:	
Role:	
Address:	
Telephone:	
Email:	
Language spoken in interview:	
Questions:	<ol style="list-style-type: none"> 1. What was your experience with the CDP grant application process? 2. How do you think this experience attributed to your implementation decisions? 3. Can you briefly talk about how you have implemented your grant activities? 4. How does that compare to what you proposed to do in your grant application? <ol style="list-style-type: none"> a. (Prompt) Has implementation changed? b. (Prompt) How has implementation changed? c. (Prompt) Has the focus changed? d. (Prompt) How has the focus changed? 5. In what ways has implementation been successful? Why? 6. In what ways has implementation been challenging? Why? <ol style="list-style-type: none"> a. (Prompt) Have you seen improved performance among the cooperatives with which you work? b. (Prompt) If yes, have the results been adopted more broadly, beyond the local cooperative? c. (Prompt) Have you been able to collaborate with national resource organizations? If so, how and with whom? 7. How would you evaluate your staff? <ol style="list-style-type: none"> a. Is it difficult to hire and train in-country assistance/staff? b. How does in-country staff impact implementation of your program? c. Does your in-country staff have experience with cooperatives? <ol style="list-style-type: none"> 7. How does your organization's expertise with cooperatives assist in implementation of your grant? Or doesn't it? 8. What is your relationship with the USAID mission(s) in the country(ies) within which you work? <ol style="list-style-type: none"> a. (Prompt) How has this relationship contributed to implementation success or challenges? 9. What value does CDP bring to your organization? Other stakeholders (USAID, local cooperatives, national resource organizations, partner organizations, etc)? 10. What would you recommend to USAID for the next grant cycle?

<i>Additional Questions for groups that work with pre-cooperatives:</i>	1. What training have you provided to the community about cooperatives (i.e. cooperative governance, business performance, profitability, member equity)?
	2. Does the pre-cooperative(s) with which you work have a paid manager?
	3. How do you evaluate the progress of the pre-cooperative(s)? Identify the criteria with which you use.
	4. How has your training programs in health wellness, food safety, nutrition, etc, contribute towards establishment of cooperatives?
	5. If the role of your CDP group is to provide training and assistance in areas such as food security, economic growth, democracy, health, etc., how do you integrate cooperative principles into your training? a. Do your in-country staff know enough about cooperative structure and operation to provide this expertise? b. If not, at what point and how do you integrate cooperative principles for these groups?
<i>Additional Question for all groups (those working with pre-cooperatives and established cooperatives):</i>	6. To what extent do you focus on member capital or savings?
Local Cooperatives/Members	
Name and Last Name:	
Agency/Organization:	
Title:	
Role:	
Address:	
Telephone:	
Email:	
Language spoken in interview:	
Questions:	1. Can you briefly talk about your role within the cooperative with which you work? a. What is your cooperative's business model? Describe the assistance/activity that is provided with X (name of CDO) b. (For "established" cooperatives) What are some things your organization needs assistance with, but are not being provided? 2. In what ways has implementation of X initiative been successful? Why? 3. In what ways has implementation of X initiative been challenging? Why? a. (Prompt) Have you seen improved performance within your cooperative/group? 4. Since working with CDO, what positive changes have taken place? (Provide context information) What value does CDP bring to your organization? Members? 5. What should the CDO/USAID do differently? What should CDO/USAID continue doing? What would you recommend to USAID for the next grant cycle?
I. USAID/Mission Staff:	
Name and Last Name:	
Agency/Organization:	
Title:	

Role:	
Address:	
Telephone:	
Email:	
Language spoken in interview:	
Questions:	<ol style="list-style-type: none"> 1. Can you briefly talk about your experience with the CDP or its grant recipients (CDOs)? <ol style="list-style-type: none"> a. What has been the extent of your relationship? b. Can you talk about any collaborations? 2. What value does CDP bring to USAID/Mission? Other stakeholders (USAID, local cooperatives, national resource organizations, partner organizations, etc)? What evidence of the value can you describe? 3. What would you recommend to USAID/LS for the next grant cycle?
Other Stakeholders/National Resources Institutions	
Name and Last Name:	
Agency/Organization:	
Title:	
Role:	
Address:	
Telephone:	
Email:	
Language spoken in interview:	
Questions:	<ol style="list-style-type: none"> 1. <i>(Preface with context information)</i> Can you briefly talk about your experience with the CDP or its grant recipients (CDOs)? <ol style="list-style-type: none"> a. What has been the extent of your relationship? b. Can you talk about any collaborations? c. What are they doing/not doing that can be helpful to your institution? 2. What value does X local cooperative bring to your organization? Other stakeholders (USAID, local cooperatives, national resource organizations, partner organizations, etc)? 3. <i>(Preface with context information)</i> What would should CDO/USAID do differently? What should CDO/USAID continue doing? What value does the CDP bring to the work that you do?

ANNEX IV: LIST OF KEY INFORMANTS

The table below lists all of the evaluation’s key informant interviewees, including CDP implementing partner home office or field staffs in countries not included in fieldwork, USAID staff, cooperative development experts, local cooperative members, and personnel of local partners.

Name	Role	Institution	Home Office Staff/Country of Operation
Eric Wallace	Current CDP Program Manager	ACDI/VOCA	Home Office (HO)
Hayden Aaronson	Former CDP Program Manager	ACDI/VOCA	HO
Solomon Legesse	COP	ACDI/VOCA	Ethiopia
Mebratu Tsegaye	Executive Director	CCI	HO
Hailu Tegenaw	Capacity Building Trainer	CCI	Ethiopia
Kassahun Belete	Capacity Building Trainer	CCI	Ethiopia
Matt Rhody	CDP Program Manager	CRI	HO
Lieb Venter	COP	CRI	South Africa
Cristina Liberati	CDP Program Manager	Equal Exchange	HO
Julia Baumgartner	CDP Program Manager	Equal Exchange	Peru
Kristin Wilcox	CDP Program Manager	Global Communities	HO
Barbara Jones	CDP Program Advisor, OCDC board member	Global Communities	HO
Ruffin Manzi	COP, EMIRGE Program	Global Communities	HO
Jennifer Stockert	CDP Program Manager	Health Partners	HO
Scott Aebischer	OCDC Board member	Health Partners	HO
Greg Grothe	CDP Program Manager	Land O’Lakes	HO
Mary Munene	Former CDP Program Manager	Land O’Lakes	Kenya
Emily Varga	CDP Program Manager	NCBA-CLUSA	HO
Jim Walsh	CDP Program Manager	NRECA	HO
Rajeena Shakya	CDP Program Support Staff	NRECA	HO
Paul Clark	CDP Program Advisor	NRECA	HO
Luis Arismendi	COP	NRECA	Liberia USAID/Liberia Beyond the Grid, buy-in to CDP program
Nora Riveria	Director, National Electrification Administration (NEA)	NRECA	The Philippines NRECA’s Credentialed Cooperative Director training program

Name	Role	Institution	Home Office Staff/Country of Operation
Tom Villaflor	COO, Rural Electrification Financing Corporation	NRECA	The Philippines Philippines Electric Cooperative Procurement Alliance Program
Matthew Garcia	CDP Program Manager	WOCCU	HO
Michael Edwards	OCDC Board Chair, WOCCU general counsel	WOCCU	HO
Paul Hazen	Executive Director	OCDC	HO
Judith Hermanson	Research Director	OCDC	HO
Lane Pollack	Senior Learning Advisor, CLA Team	USAID/PPL/LER (formerly at USAID/Uganda Mission)	USAID
Clara Cohen	Senior Science Policy Advisor	Bureau for Food Security	USAID
Tom Kennedy	Program Officer	USAID/E3/PCM	USAID
Rolf Anderson	Director	USAID/E3/LS	USAID
Gary Alex	Program Manager	Farmer to Farmer, Feed the Future	USAID
Ryan Weddle	Former E3/LS Program Officer	USAID/E3/LS	USAID
Joyce Friedenber	Alternate AOR for CDP	USAID/E3/LS	USAID
Laura Schulz	E3 Advisor, former Director of IDEA (former location of CDP within USAID)	USAID/E3	USAID
Joel Kisubi	Program Management Specialist/Malaria	USAID/Uganda Mission	Uganda
Ted Weihe	Cooperative Development Expert	Consultant	Expert
Tom Carter	CDP Program Manager	USAID/E3/LS	Expert
Benson Kimithi	Development Program Specialist	USAID/Kenya	Kenya
Paul Mwaura	Country Director	WOCCU	Kenya
James Mbui	Field Officer	Murato SACCO (WOCCU)	Kenya
Lydia Omamo	Manager	NCBA-CLUSA	Kenya
Onesmus Mwirichia	Field Officer	NCBA-CLUSA	Kenya
Joab Efedha	Field Officer	NCBA-CLUSA	Kenya
Alfred Orora	Senior Consultant	Land O'Lakes	Kenya
Njambi Kibe	Former Program Manager	ACDI/VOCA	Kenya
Ephantus Gichohi	Chairman	Gaikundo Dairy Cooperative (ACDI/VOCA)	Kenya
Ephantus Muthee Gichohi	Chairman	Ihururu Dairy Cooperative	Kenya

Name	Role	Institution	Home Office Staff/Country of Operation
Francis Maara	Chairman	Gitwe Cooperative Union	Kenya
Maale Julius Kayongo	Programme Management Advisor	Health Partners	Uganda
David Muhumuza	M&E Manager	Health Partners	Uganda
Mpaire Patrick	BOD Chairperson	Health Partners	Uganda
Mr. Francis Atukunda	District Commercial Officer		Mbarara District, Uganda
Kamugisha Asaph	Properiter/CEO, Kathel Medical Care		Uganda
Tayebwa Eliab	Assistant District Health Officer		Bushenyi District, Uganda
Dr. Stella Regina Nakiwala	COP	Health Partners	Uganda
Chris Ibyisintabyo	Global Communities Coordinator		Uganda
Richard Mujuni	Program Manager		Uganda
Jadress Basikana	Cooperative member	KTSC	Uganda
Kagurusya Byamukama Nicholus	Coordinator	KTSC	Uganda
Wilberforce Owembabazi	Project Management Specialist	USAID/Uganda, Health Systems Strengthening, Office of Health and HIV	Uganda
Aliyi Walimbwa	Senior Health Planner	Ministry of Health, Planning Department	Uganda
Samuel Sentumbwe	Program Manager	Uganda Cooperative Alliance Limited	Uganda
Fernando A. De Villena	Project Management Specialist	USAID/Peru, Office of Alternative Development	Peru
Jose Gamarra	Associate Director	Alianza Cacao	Peru

ANNEX V: LIST OF GROUP INTERVIEWS

This document includes all groups that participated in group discussions for the evaluation. They include the OCDC board as well as members and leaders of local cooperative members.

Name of Group	Implementing Partner	Country	Number of Participants
Kyeizooba Twimukye Cooperative Society (KYCS) group members	Global Communities	Uganda	7
Kyeizooba Twimukye Cooperative Society (KYCS) Management Committee or leadership team	Global Communities	Uganda	7
3 Kyeizooba Twimukye Cooperative Society (KYCS) group members, 2 GC staff, 1 District Commercial Officer	Global Communities	Uganda	6
Ankole Dioceses Health Cooperative Society Ltd (ADHC)	Health Partners	Uganda	15
Ankole Diocese Health Cooperative Society Ltd (ADHC) and Archdiocese of Mbarara Health Cooperative Society Ltd (ADMHC)	Health Partners	Uganda	6
Butuuro Peoples SACCO Health Cooperative and West Ankole Diocese Health Cooperative (WADHC)	Health Partners	Uganda	5
Buhweju Peoples' Health Cooperative Society Ltd (BPHC), Kitojo Integrated Development Association Health Coop (KIDA) and West Ankole Diocese Health Cooperative (WADHC)	Health Partners	Uganda	6
Oro Verde staff	Equal Exchange	Peru	7
Oro Verde members	Equal Exchange	Peru	3
ACOPAGRO	Equal Exchange	Peru	9
Murato SACCO	WOCCU	Kenya	8
Gitwe Farmers Coop Society	ACDI/VOCA	Kenya	9
Gaikindo and Ihururu Dairy Coops	ACDI/VOCA	Kenya	14
Ginyuka and Riandu Cooperatives, members of Meru Cooperative	Land O'Lakes	Kenya	16
Olenton, Ilmotiook, and Niguiria Cooperatives	NCBA-CLUSA	Kenya	16

ANNEX VI: DESIGN FOR THE SOCIAL CAPITAL STUDY OF COOPERATIVE LEADERSHIP

Introduction

This memorandum provides an overview of the design for a study of the development of social capital among cooperative leadership. This study is a component of a larger performance evaluation of USAID's Cooperative Development Program (CDP), which is being designed and implemented through the E3 Analytics and Evaluation Project. This document has been prepared to assist the Office of Local Sustainability in USAID's Bureau for Economic Growth, Education, and Environment (E3/LS) in deciding how to proceed with this component of the evaluation.

Study Overview

This social capital study of cooperative leadership seeks to provide an in-depth understanding of changes in the development and use of social capital among selected cooperative leadership. For the purpose of this study, "social capital" is defined according to Hong and Spolander and adopted from the work of Leenders and Gabbay as "the set of resources, tangible or intangible, that build over time to cooperative constituents through their social relationships, facilitating the attainment of goals" (1999). Specifically, this study will examine changes to the problem solving, organizational management, and networking abilities of cooperative leadership, as well as levels of trust between cooperative leadership and members and the ability of cooperative leadership to interact with external organizations. The focus of the study will be on executive board members and leaders of established cooperatives and pre-cooperatives⁴⁷ that received support from the following CDP implementing partners: NCBA-CLUSA, Land O'Lakes, and ACDI/VOCA.

Study Design

To carry out this study, the evaluation team will conduct six to eight gender-disaggregated FGDs in Kenya of approximately one hour each in duration, to collect qualitative data related to organizational and operational change from the perspective of cooperative leadership. The team will then conduct a thematic analysis of the FGD transcriptions to generate hypotheses around the subjective experiences of participants and identify organizational and operational changes within "established" and "pre" cooperative leadership. This analysis will allow the evaluation team to develop findings and conclusions that may inform E3/LS' future programming decisions around its work with cooperatives as well as the answers to questions 2 and 4 of the larger performance evaluation.

Table 1 summarizes the study design and characteristics, and Table 2 shows the cooperatives with which the evaluation team currently expects to conduct the FGDs.

⁴⁷ The evaluation team defines "established cooperatives" as those cooperatives legally organized and regulated (albeit minimally) and "pre-cooperatives" as those working toward legal organization and regulation in the country where the organizations operate.

TABLE 1: STUDY DESIGN

Research Parameters	Study Design
Sample Population	Approximately 6-8 leadership/board members of 4 cooperatives (2 “established” and 2 “pre”) that received CDP implementing partner support; separate FGDs will be conducted with male and female leadership of each identified cooperative.
Length of Study	Approximately two weeks to conduct FGDs
Pre-Study Required Information	<ul style="list-style-type: none"> Geographic and contact information for selected cooperatives Contact information for leadership of selected cooperatives
Intervention parameters	CDP implementing partner involvement varies between “pre” and “established” cooperatives

TABLE 2: EXPECTED COOPERATIVES OF FOCUS

# of FGDs	Cooperative Name	Region	Cooperative Status	Area of Specialization	CDO Association
2	Meru Dairy	Meru	Established	Dairy	Land O’Lakes
2	Gitwe Cooperative Union	Uhuru	Established	Coffee	ACDI/VOCA
2	Riandu San Diego	Embu	Pre	Agriculture	NCBA-CLUSA
2	Olenton Social Enterprise	Narok	Pre	Agriculture	NCBA- CLUSA

The following questions will guide the FGDs:

- 1) How have trainings or activities from (insert CDO/implementing partner name) impacted your organization’s ability to solve problems?
- 2) How has collaboration with (insert CDO/implementing partner name) changed the relationship and level of trust between cooperative leadership and members?
- 3) How has the ability of leadership to interact with local government, national government and other international organizations changed as a result of collaboration with (insert CDO/implementing partner name)?
- 4) What changes have occurred (both positive and negative) to the organizational structure of cooperative leadership from collaboration with (insert CDO/implementing partner name)?

Thematic Analysis of Social Capital

A review of numerous case studies of social capital yielded the following three thematic components: (1) Structure and Networks, (2) Trust and Solidarity, and (3) Collective Action (Grootaert, 2004). Table 3 outlines the dimensions of social capital for analysis in this study.

TABLE 3: THEMATIC COMPONENTS OF SOCIAL CAPITAL

Structure and Networks	Trust and Solidarity	Collective Action
<ul style="list-style-type: none"> Leadership Structure Collaboration with external organizations 	<ul style="list-style-type: none"> Trust between leadership and members 	<ul style="list-style-type: none"> Organizational problem solving Collaboration with external organizations

As previously noted, relevant social capital proxies in one culture may be irrelevant in another. For this reason, the evaluation team will use the three thematic components presented in Table 3 to develop a comprehensive, in-depth understanding of changes to the development and use of social capital by cooperative leadership.

Study Strengths and Limitations

FGDs allow for in-depth understanding of views and opinions of the participants. This study will further the understanding of how the leadership of certain cooperatives believes that their cooperatives are affected by changes to organizational structure, levels of trust between leadership and members, the ability of leadership to interact with external organizations, and the problem-solving ability of cooperative leadership.

The study design includes a non-random sampling method for FGD participants, which the evaluation team will select purposively to generate discussion among members of cooperative leadership. The evaluation team will also select cooperatives for inclusion in this study using non-random sampling, to ensure that specific cooperatives in various phases of development that received support from CDP implementing partners are represented. The limitation of using a non-random sample is that the findings of this study will not be generalizable. The evaluation team will be able to provide detailed findings as to how leadership view changes to different aspects of social capital, but those findings will not necessarily apply to cooperatives in general.

Another limitation of this study is that all FGD participants will be from the cooperative leadership, rather than individual cooperative members. Thus, the study will reflect the experiences, ideas, and opinions of those individuals but will not incorporate those of cooperative members.

The evaluation team's field research activities in Kenya as part of the larger performance evaluation revealed that cooperatives working with CDP implementing partners receive support from a variety of international donors and other organizations, in addition to the CDP. This study will not be able to attribute to the CDP changes in social capital development and use within cooperative leadership, as changes described by participants may be the result of other activities not directly supported by the CDP.

An additional potential limitation of this study is the possibility that not all viewpoints will be expressed within the FGDs. To mitigate this risk, the evaluation team will use experienced facilitators to moderate the FGDs and ensure that all discussants participate. Some members of leadership may be more opinionated than others, and the facilitators will have experience and training to ensure that they can draw out comments from quieter members of the discussion, and ask participants to expand upon their responses.

ANNEX VII: FOCUS GROUP DISCUSSION GUIDES

The following questions will guide the FGDs:

Gitwe Cooperative Union

- 1) How have trainings or activities from ACDI/VOCA impacted your organization's ability to solve problems?
 - 2) How has collaboration with ACDI/VOCA changed the relationship and level of trust between cooperative leadership and members?
 - 3) How has the ability of leadership to interact with local government, national government and other international organizations changed as a result of collaboration with ACDI/VOCA ?
 - 4) What changes have occurred (both positive and negative) to the organizational structure of cooperative leadership from collaboration with ACDI/VOCA ?
- Follow up Question: What were positive aspects of your experience working with ACDI/VOCA
 - Follow up Question: What were negative aspects of your experience working with ACDI/VOCA

Meru Dairy Cooperative

- 1) How have trainings or activities from Land O'Lakes impacted your organization's ability to solve problems?
 - 2) How has collaboration with Land O'Lakes changed the relationship and level of trust between cooperative leadership and members?
 - 3) How has the ability of leadership to interact with local government, national government and other international organizations changed as a result of collaboration with Land O'Lakes ?
 - 4) What changes have occurred (both positive and negative) to the organizational structure of cooperative leadership from collaboration with Land O'Lakes ?
- Follow up Question: What were positive aspects of your experience working with Land O'Lakes?
 - Follow up Question: What were negative aspects of your experience working with Land O'Lakes?

Olenton Social Enterprise

- 1) How have trainings or activities from NCBA-CLUSA impacted your organization's ability to solve problems?
- 2) How has collaboration with NCBA-CLUSA changed the relationship and level of trust between cooperative leadership and members?
- 3) How has the ability of leadership to interact with local government, national government and other international organizations changed as a result of collaboration with NCBA-CLUSA?
- 4) What changes have occurred (both positive and negative) to the organizational structure of cooperative leadership from collaboration with NCBA-CLUSA?

- Follow up Question: What were positive aspects of your experience working with NCBA-CLUSA?
- Follow up Question: What were negative aspects of your experience working with NCBA-CLUSA?

Riandu San Diego

- 1) How have trainings or activities from NCBA-CLUSA impacted your organization's ability to solve problems?
 - 2) How has collaboration with NCBA-CLUSA changed the relationship and level of trust between cooperative leadership and members?
 - 3) How has the ability of leadership to interact with local government, national government and other international organizations changed as a result of collaboration with NCBA-CLUSA?
 - 4) What changes have occurred (both positive and negative) to the organizational structure of cooperative leadership from collaboration with NCBA-CLUSA?
- Follow up Question: What were positive aspects of your experience working with NCBA-CLUSA?
 - Follow up Question: What were negative aspects of your experience working with NCBA-CLUSA?

ANNEX VIII: THEMATIC ANALYSES: SOCIAL CAPITAL STUDY OF COOPERATIVE LEADERSHIP

This annex presents the findings of qualitative thematic analyses of seven FGDs between pre- and established cooperatives in Kenya, associated with the CDP. The evaluation team designed five questions to guide the FGDs to develop an in-depth understanding of the development of social capital among cooperative leadership.

How have trainings or activities from CDP implementing partners impacted your organization's ability to solve problems?

Agricultural Production Trainings

Pre-Cooperative Findings

Pre-cooperative leadership discussed agricultural production trainings from NCBA-CLUSA, helped pre-cooperatives to diversify crops and increase opportunities for household income generation. Olenton Social enterprise found agricultural trainings to benefit their cooperative and community members by reducing household dependence on cattle (Maasai tribal culture). Men and women from both Riandu and Olenton found crop diversification to be highly beneficial.

Olenton male "Member-Raposhi: In the past our work as Maasai was to herd and eat cattle. Today we have discovered that we can also farm in chicken and do bee-keeping to realize profits. We have also, as said, been taught that leasing our land is not profitable. That we can farm on it and get yields."

Riandu female "Gekinyosia member: in regards to farming, previously we would just farm but we were taught by CLUSA on how to harvest rain, like digging holes that can collect water. Here in Meru the rain is not that much so we have even been taught raining harvesting those in the rural areas and it has helped them."

Established Cooperative Findings

Improvement in agricultural production was only mentioned by male participants of Meru Dairy Cooperative. The trainings helped the cooperative to maximize their milk production by training members in efficient milking techniques and implementing modern cooling technologies.

Meru Male:" Chairman-Githongo Ngiri: Before we go there I would like to add something on Land O'Lakes. They also helped us on the issue of cooling milk. They also helped us to improve our yields. We now milk our cows thrice in a day compared to the past."

Record Keeping/Financial Management Trainings

Pre-Cooperative Findings

All pre-cooperative participants discussed record keeping as leading to improved financial management at the organizational and individual levels. Leadership received trainings to use computers for book keeping and have passed these trainings on to members and external groups. The leadership is now accountable to accurate book keeping, leaders believe this led organizational transparency to increase.

Riandu male "Board treasure: we have benefited because before we did not know about computers but now we have computers and our leaders have been trained on the same. We now offer training services for those who want to be trained

in computer packages. It has helped our group because outsiders are trained and they pay. The money goes to the group for table banking.”

Riandu Female “Board Treasurer Now we have power to take our children to higher learning. Previously we would only educate our children up to primary levels because we could not afford the school fees. We were taught about savings and loans and we are happy because we have children in collages. There are loans and we learn how to save.”

Established Cooperatives Findings

Participants from all established cooperatives mentioned book keeping and financial management trainings as being valuable to their organizations. Leaders attributed record keeping and financial management trainings play important roles in improving trust and accountability between members and leadership.

Meru Male “Chairman- Wosishi Dairy: You see the major problem in cooperatives is money. Once money is not put into what its supposed to be meant for, by the end of the month, you can even fail to pay the workers. In a cooperative we spend money on a daily basis majorly on fuel for motorcycles and vehicles hence the need for accountability of the money used to know at the end of the month if you are making profits or losses. If there are cases of poor record keeping at the end of the month, the workers may not be paid and those who supply us with milk, if they learn about that, may stop doing it. So there is need for accountability of the money used.

Moderator: So did the training that you guys received entail issues of accountability and how to keep records?

Secretary-Nari Dairy: Yes, partly.”

Gitwe Male: “We operated but without structures. We operated mainly to [inaudible, interrupted by motorcycle noise 0.12.02-0.12.10] but it was not documented. So these days once we say something it has to be documented, so that anyone can refer to it.”

Meru Females: “Vice chairlady: we were elected in 2013, we were producing 450 liters per day and now we produce 300000thousand litters per day. We were in short of money because the money they produced was not enough to pay the secretary and other leaders. and when we came in we were able to generate more money to pay the leaders. So we have a lot of confidence from the members.

Meru Females: “Secretary: we are chosen especially because we are also leaders in our local church. We ensure that records are there and anytime one can check their records. We allow them to get advancements and loans especially for school fees. They trust women in leadership especially in treasury. They cheer us in our work. We ensure that a woman does not miss a meeting.”

Capacity Building Trainings

Pre-Cooperative Findings

Pre-cooperatives, increased profits by removing middle-men from the production chain and automating processes to maximize profitability. They took responsibility for processing their goods and getting their products to market. Online banking and the electronic transferring of funds reduced the risk associated with members carrying large amounts of cash. Finally, pre-cooperatives in this study are more commonly registering with the government and are on their way to becoming established cooperatives.

Olenton Female “Chairlady: we have women groups and youth groups who run the business of transportation using motor bikes. Both groups have been taught on table banking. We were taught on ways of communicating in modern ways like mobile banking and we now no longer carry money in our pockets. We were trained on how to keep properties in our custody; we have tables and chairs in the new office they built for us. We were encouraged to have a book keeper for accountability. We no longer have dormant certificates, all our certificates are active. When there is no money in the groups

we were taught on ways of mobilizing funds and how to manage the funds we get. We were taught on how to invest the money we have in businesses so that no money stays idle.”

Riandu Male “Chairman-management: Now, in the past we had brokers...

Moderator: Brokers?

Chairman-management: Yes, the brokers would come to act as middle men in selling our agricultural produce. But through the trainings, we were enlightened and realized that we can keep or store our produce to sell amongst ourselves and others. We can therefore get more profit and this is attributed to the trainings we received.”

Established Cooperative Findings

Capacity building was mentioned in all established groups as being beneficial to the cooperatives ability to compete in the market. Introducing and training leadership to modern technology and providing the means to acquire computers or automated processing equipment has allowed.

Gitwe Male: “ACDI/VOCA has helped us in capacity building and they have also helped us in management of the society, through advising us, and even training us on how we can develop our cooperative in order to be ahead of others. They have taught about diversification of products. They have also taught us about...I don't know why am forgetting. Leadership”

Meru Male: “Chairman-Githongo Ngiri: Another thing I would like to add-you see before the Land O'Lakes training we had been taking the milk business for granted and we didn't know it would sustain us. We didn't know we could do it as a business. But through them, here we are. The existing union which is the Meru Union had once collapsed and it has risen in the last few years. You see in the past the union had a problem because different sectors comprising of banking, coffee, dairy, maize was under one chairman hence the headache in management of the entire union, and delays in the payments of the farmers. The dairy farmers were the most affected.”

Gitwe Male: “ACDI/VOCA had trainings in capacity building to enable us be open to new ideas. Say we can use a million shillings so that in the near future we can save and have more than 10 million. You see this is a purley machine [machine used to extract coffee husks] and they encouraged us to buy it so that we can mill our coffee here and take the fine product saving on transport and milling. So as you can see, we are saving and yet, before we were not seeing this. So someone might be seating on money and they cannot see.”

How has collaboration with CDP Implementing partners changed the relationship and level of trust between cooperative leadership and members?

Change in Trust between cooperative leadership and members

Pre-Cooperative Findings

Participants reported trust between leadership and members increased due to the introduction of open elections for leadership positions and changes to organizational management with an emphasis on clearly defined roles and responsibilities.

Olenton Male “Secretary-Osotwa Christian Group: In terms of trust, it has really helped since today people are elected by members in groups in which they are mandated to run the groups. This has ensured that we understand that all the resources are ours. So we look for trustworthy people among us to elect and underperforming leaders can be removed through an AGM.”

Riandu male: “Supervisor: It is good. You know since there is trust you can easily believe your colleagues and if you need something, there is an office that one can contact for help. For instance, in matters of finance, say you need something in the office of the chairman and you don't get it, you can just go to the office of the chairman in charge of finance and you get helped.”

Established Cooperative Findings

All established cooperative groups mentioned improved levels of trust between leadership and members as the result of implementing lessons from the trainings to combat internal and external political issues. Meru participants discussed trust increasing in terms of applying the skills they learned in trainings to their work within the church and their cooperative. When members saw, leadership working transparently for the community, their confidence in leadership increased.

Gitwe Male: "Trust has increased because in coffee there is a lot of politics and after several trainings with ACDI/VOCA, politics has subsided. This is my 14th year, [pointing at member] he is also 14, , [pointing at member] he is 3, , [pointing at member] he is also 14, , [pointing at member] he is 14, , [pointing at member] he is 7 and, [pointing at member] he is 7. There is a lot of trust within the society as compared to others because in coffee there is a lot of politics"

Meru Female: "Treasurer: They trust us more because we are leaders in the church. I'm a treasure in our church; if they see how well you work in the church they trust you."

Vice chairlady "if you are a God-fearing person they trust you more, and they know you will take care of their property."

How has the ability of leadership to interact with local government, national government and other international organizations changed because of collaboration with CDP Implementing partners?

Inter-organizational collaboration

Pre-Cooperative Findings

Pre-cooperative leadership discussed the value of interaction with other cooperatives for learning and benchmarking achievements. Share experiences with members of cooperatives in the same sector throughout Kenya was viewed as very beneficial to the leaderships' abilities to interact with various levels of government.

Olenton Male Chairman-OSE: Networking and basically benchmarking in Meru, Mbeere has been beneficial. We have been to Kisumu also through the help of World Vision. When you network you open your mind to a world of possibilities. The thing I have noted is that I went there as a leader but I would have really loved to be there with other members. So that the exposure can be felt in the group. I did something that people can at least learn from. For instance the bee hive, and rearing of one cattle.

Olenton Male Member-Raposhi: One thing I have seen is on leadership. I would say we have benefited from benchmarking exercises. We can meet other groups and we even have friends from Homabay, Bomet in groups like ours. Some are bigger than us as cooperatives or Saccos. This is helpful as we exchange ideas in business. Also in the past we used to have middlemen but today we put all our food together thanks to CLUSA.

Established Cooperative Findings

Like pre-cooperatives, established cooperatives found interacting with other cooperatives to be valuable in their learning process and development. The leadership of Meru Dairy, attributed their interactions and visits with other cooperatives to trainings they received from Land O'Lakes.

Meru Male: "Chairman-Githongo Ngiri: Yes, we do communicate via the phone. We visited one farmer in Ukambani whose son had been to Israel to learn more on dairy farming technology and we still talk. He was also a beneficiary of the Land O'Lakes trainings."

Meru Male: “Chairman- Nari Dairy: In areas like Nakuru, we found out they were just like us. Places like Machakos and Nyeri were more advanced and that is because they received the Land O’ Lakes training much earlier than us.”

What changes have occurred (both positive and negative) to the organizational structure of cooperative leadership from collaboration with CDP Implementing partners?

Pre-Cooperative

Pre-cooperative leadership discussed members feeling empowered and clearly defined leadership structure modeled on community-based organizations (CBOs) brought clarity and improved leaderships’ organizational structure.

Riandu Female “Gekinyokia Member: Members are open to say they want another election. The members can speak up when something is wrong. For example if the treasurer is not doing his work well, the members have a right to elect someone else, so we allow them to express themselves. If they see a problem with any member they have the power to say so. “

Olenton female “Secretary: We now have constitutions that govern the group. Currently we do not fight in our groups and leaders are respected and must be at least educated or able to sign documents. We now keep time because people are penalized in groups. Every member must contribute and be active and leaders know their roles.”

Olenton Male “Chairman- OSE: When we were in Raposhi, when it was still smaller, through CLUSA with officials such as Lydia and Kilesia who was the field officer, we got trainings on forming a CBO. We were linked with World vision and NIDP (Narok Intergrated Development Programme)and when we got some good amount of knowledge we decided to form a CBO Board. The board brings all the groups together.”

Established Cooperative

All established cooperative leaders mentioned benefits from trainings related to organizational management. The main benefit from these trainings was the diversification of responsibilities and the establishment of clearly defined roles for each member of leadership.

Meru Male: “Moderator: So the training took away some of the burden from the chairman?

Chairman-Githongo Ngiri: Yes, in the past he was in charge of everything that is milk, store, transport and all other areas. But we were trained to subdivide each area with its manager and subcommittee to make work easier. Another thing the training helped us with was the art of keeping our data. You see in the past we used to do it manually, if it was writing down we did it manually, measuring weight was also done manually and every other thing. But when Land O’Lakes came, they helped us in book keeping and digital data recording through computers and it has really made work easy.”

Gitwe male:” We operated but without structures. We operated mainly to [inaudible, interrupted by motorcycle noise 0.12.02-0.12.10] but it was not documented. So these days once we say something it has to be documented, so that anyone can refer to it.”

Meru Female: “Vice chairlady: yes there is a change, before we did not know the duties of leadership like the chairman did not know his boundaries but after the seminars we are able to define our roles and everyone is able to work well. We need more of those training’s.”

What were positive aspects of your experience working with CDP implementing partners?

Pre-Cooperative Findings

Pre-cooperative leadership discussed agricultural diversification and the implementation methods used by NCBA as positive aspects. Leadership found that agricultural production trainings to diversify agricultural outputs, produced

led to an increased interest from the community to join the cooperative. They appreciate NCBA's availability and willingness to remain in touch with their organizations after trainings have ended. Including both men and women in the trainings was also seen as a positive aspect as women can now generate income for the community and members are more likely to be able to pay school fees for their children.

Riandu Male: "Credit member: They are still with us even after training us. They did not abandon us. Education sector, treasure: They did not choose only one group they invited both men and women and even youth. They are not bias like other organizations that say they are for specific groups."

Riandu Female: "Credit committee: We did not know how to do other projects but now we know how to do a lot like selling eggs. We are taught not to depend on one project, now we are even living good lives even as you see us women. We are attracting others to join the group."

Olenton Male: "Treasurer- OSE: FGM- through the trainings, it is now apparent that it is not healthy to have illiterate children and the girl child can attend school.

Moderator: So you as OSE conduct this trainings?"

Olenton Male: "Chairman- OSE: Yes, we get the education from CLUSA and take the trainings to our people. We also link organizations and people with such trainings to the community."

Established Cooperative Findings

The most commonly mentioned positive aspects of working with CLUSA was the realization that women and girls can be included in leadership and within the cooperatives. Organizational management in the form of term limits and elections for leaders was mentioned as important to the introduction of cooperatives in the region. In Mbeere, cooperatives did not exist according to the participants until NCBA-CLUSA came in and now there are three active cooperatives with more individuals being contacted as potential members.

Olenton Male: "Moderator: Something else?"

Treasurer- OSE: FGM- through the trainings, it is now apparent that it is not healthy to have illiterate children and the girl child can attend school.

Moderator: So you as OSE conduct this trainings?"

Chairman- OSE: Yes, we get the education from CLUSA and take the trainings to our people. We also link organizations and people with such trainings to the community."

Olenton Female: "Currently no one can stay in leadership for long like for twenty years. Leaders change after some time depending on their constitution. We now have visions and missions and we work toward it. They helped us get identity card, so everyone in the group must have an ID."

Riandu Male: "Supervisory secretary: Initially we had visions but we couldn't actualize them without them [Referring to CLUSA]. Right now we are a cooperative. Yet here in Mbeere we never had these cooperatives. But since CLUSA came we now have three.

Moderator: Since they came you have 3?"

Supervisory secretary: Yes, the ones currently operating and we are still approaching more people."

Riandu Female: "Credit member: We learned to do budget before getting a loan. We should not go to the market without a budget and we should not take a loan without a budget.

Board treasure: We have learned how to store food and wait for when demand is high. Like now I have stored my beans waiting for better market prices before I sell."

Riandu Female: "Credit member: They are still with us even after training us. They did not abandon us. Education sector, treasure: They did not choose only one group they invited both men and women and even youth. They are not bias like other organizations that say they are for specific groups."

What were negative aspects of your experience working with CDP Implementing partners?

Pre-Cooperative

Negative aspects of working with NCBA-CLUSA

The most commonly mentioned negative aspect of working with NCBA-CLUSA was the lack of private transportation in the form of a "motorbike or cruiser" for leadership to travel neighboring communities for members of leadership to train their members in the trainings received from NCBA. The creation of a market or to improve networks connecting pre-cooperatives to markets was also mentioned although less frequently than the purchase of a motorbike. One participant mentioned that NCBA-CLUSA should create a sustainable project within the community and another mentioned that they should hire the children in the community.

Olenton Male: "Chairman-OSE: Yes.

Member- Raposhi: I want to add on communication and logistics. The area is big. The chairman operates at a loss. If for instance he has some information to pass across, he calls all the members and doesn't get any reimbursement. So maybe a bicycle or motorbike would do.

Chairman-OSE: Or a cruiser.

Member-Raposhi: Yes, so that he can easily and effectively communicate to the members. But today the communication is abit strained. In addition, yes CLUSA has very good trainings, but the community needs things that are practical. So that they can see and implement what they are being taught. And that is where exposure comes in. you have heard about conservation agriculture. It is not done by CLUSA but by another organization. It is our responsibility to go look for them. If CLUSA had departments within itself without depending on other organizations it would really work for us. Kilesi was here and we could tell him what is required. We are used to CLUSA and if they can have departments for instance in agriculture we could be helped."

Olenton Male: "Chairman-OSE: I can only say as a recommendation. Joab is really helping us but I would recommend that we have community barazas [meetings]. I would want us to take trainings to the larger community. Especially the OSE members. We can group them in different places so that we can teach them together. Because there are a lot of things that we can do when together. So that is the recommendation I can easily propose."

Olenton Female: "Treasury I would like that even as they train us they should start a project that can be sustained in the community. What they train us on we already do. They should come up with a big project so that when they go we will remember them."

Riandu Female: "Education sector, chairperson: The problem we have is market. We harvest a lot but we have no market for our products. They should connect us to cereal boards and companies. Our advantage is that we have a lot of harvest but we sell them at low prices. They had promised us a market but they have not delivered.

Riandu Female "Board treasurer: I don't have means of transport yet we go far to train others. We go on foot and get tired faster.

Riandu Female "Gekinyokia Member: We need to leave a land mark. Buy a motor bike for the group so that even our children can see it and benefit from it."

Riandu Female "Board treasurer: They only train us to get food but that's just that. They should also employ our children those who do well in school. Let them employ our children so that they can help the community at large."

Riandu Female "Gekinyokia Member: Another issue is that we go far for training but no transport is given to us. We should be given something like money so that when we go for those trainings we have something to help us as transport."

Established Cooperative

The negative aspects mentioned by established cooperatives are the need for computers, further trainings related to raising cattle and new cooperatives missing out on trainings from Land O'Lakes due to their not existing while Land O'Lakes was active. Gitwe mentioned that their ability to interact with cooperatives and communities outside of their region had deteriorated after ACDI/VOCA left. They believe that due to their proximity to the president's house they are viewed as having a better situation than other places in Kenya but they would like to learn from other groups and for other groups to learn that they also have infrastructure problems that challenge their success.

Gitwe Male: "Chairman-Gitwe: One thing I wish to be done is-ACDI/VOCA used to take us to Thika, Kennol and elsewhere. My challenge was, why don't we go even beyond, we visit Mombasa. Some of us here have never been to Mombasa and those there should come here. You see you queried how this is the president's backyard yet we have poor roads. You people from Western Kenya have the notion that we are enjoying since this is where the president comes from."

Meru Male: "Vice chairman-Tivane Dairy: But not all the societies were trained on that, some of us are finding those issues very new to us. Like my society is 3 years old now, it was there in the late 70s but collapsed and now it's back in business but we have never interacted with Land O'Lakes."

Meru Male: "Challenges are many on our side. The Githongo society helped us with the two computers but they are not enough. I would love if Land O'Lakes would come and offer us more computers to improve our data keeping. The two computers we have are not able to store all the data in for the society."

Meru Female: "Vice chairlady We are looking for more information on how to bring up the calves. We are not affording to pay the veterinary.

Secretary We need more training. We want to know the breakdown on how money is broken down in our society."

THEMES DISCUSSED BY FGD PARTICIPANTS BY COOPERATIVE TYPE

Theme	Pre-Cooperatives	Established Cooperatives
Production	X	X
Record Keeping/FinMan	X	X
Capacity Building	X	X
Organizational Management	X	X
Improving Transparency	X	X
Increase Trust	X	X
Combating Regional Politics		X
Gender Equality Increased	X	
Inter-Coop Collaboration	X	X
Addressing Member Problems	X	

ANNEX IX: SUMMARY OF HEALTH PARTNERS IMPACT EVALUATION

Impact Assessment of the Health Cooperative Model in Uganda

Health cooperatives are a locally sustainable health insurance model owned by the care providers and members groups who join coops in order to benefit. Coop members prepay and providers enforce insurance principles so their risk pool guarantees that providers increase their cost recovery and improve quality while members do not have to sell assets or delay to seek needed care. Since early treatment seeking improves health outcomes and saves members and providers time and money, health coops increase access to quality care while improving health outcomes. A study was commissioned by Health Partners with support from the United States Agency for International Development to quantify the extent to which health coops improve health outcomes, financial security and provider cost recovery. Following are the results of that study.

Provider Cost Recovery

- **Providers recover significantly more money from coop members than from clients who pay out of pocket (OOP) or non-coop members**
 - Coop members: Average 19,793 UGX cost recovery per patient
 - OOP: Average -1,565 UGX is lost per patient treated
- **Providers recognize the financial benefit of working with cooperatives**
 - Every provider interviewed acknowledged that working with cooperatives was financially profitable for their health centers, enabling them to buy supplies and pay salaries (Key Informant Interviews)

Preventive and Treatment Seeking Behavior

- **Coop members are more likely to adopt preventive healthy behaviors**
 - More likely to have hand-washing stations in their homes (80.4% vs 66%)
 - Pregnant coop members were significantly more likely to sleep under bed nets (95.7%) than were non-coop pregnant women (69.2%)
 - Coop children more likely to sleep under bed nets (91.7% vs 86.9%)
- **Coop members are less likely to fall ill**
 - Coop children were less likely to get diarrhea in the two weeks preceding the survey than were non-coop children (19% vs 27.5%)
 - Coop children were less likely to get a fever in the two weeks preceding the survey than were non-coop children (29% vs 33.6%)
- **Coop members are more likely to seek treatment for their illness**
 - More likely to be treated for diarrhea with oral rehydration (60.4% vs 53.7%)
 - More likely to get treatment for fever (92.5% vs 88.4%)
- **Better relationship with providers**
 - Coop members reported feeling more connected to their facility staff and say they are more able to confide in them (Focus group discussions)

Financial Risk Protection

- **Coop members are better protected from high health care costs**
 - Less likely to borrow money
(23% of coop members borrow vs 46% of non-coop members)
 - Less likely to sell assets
(34% of coop members sold assets vs 78% of non-coop members)
 - Less likely to pay for care on credit (15.5% coop vs 29.4% non-coop)

Maternal Health

- Coop member have improved maternal health indices compared to OOP payers
 - More likely to deliver with a skilled professional (doctor, nurse, midwife, auxiliary midwife and other health staff with midwife skills) (84.1% vs 79%)
 - Slightly more likely to receive postnatal care (79.6% vs 77.9%)
 - More likely to have received at least two doses of Intermittent Preventive Treatment of malaria in pregnancy (93.3% vs 81.1%)

“I came to deliver my baby who is one year now at BUREDO but you can imagine that I only paid 3,000 UGX and was admitted for three days. This was very cheap because the midwife took good care of the baby who is now very healthy for I still take her to BUREDO for immunization and deworming [...]”
–FGD, women co-op members

Source: Agaba, G. & Mutanda, Dr. Juliet N. “Impact Assessment of Health Cooperative Model in Southwestern Uganda.” Makerere University School of Public Health, June 2015.

ANNEX X: LAND O'LAKES FACT SHEET



COOPERATIVE DEVELOPMENT PROGRAM FACT SHEET

Leveraging 93 years of dairy cooperative expertise, Land O'Lakes International Development is working with farmers, business owners and governments to learn about what enables dairy cooperatives to succeed. The program is currently working with integrated dairy cooperatives in Kenya, Uganda, Rwanda and Ethiopia.

With funding from the United States Agency for International Development (USAID) Cooperative Development Program (CDP) is focused on strengthening vertically integrated dairy cooperative businesses 2010-2016

THE COMPETITIVE ENVIRONMENT

Dairy is a commodity that fits well with the cooperative model, especially for horizontally and vertically integrated cooperatives. Outside the United States, Canada and other developed countries, there are few examples of successful vertically integrated dairy cooperatives. In the developing world, there are only a handful of vertically integrated cooperatives operating as independent businesses that are not closely tied to the government. Initially, CDP focused on examining vertically integrated dairy cooperatives in Kenya and Uganda to understand how these unique businesses evolved; more recently, efforts have been scaled up in Rwanda and Ethiopia. The experience has helped us better understand the critical factors that led to integration and the challenges associated with vertical integration. From our learning, we have developed a set of tools to help us analyze a variety of factors that impact the health of the cooperative enterprise and membership including: the enabling environment, competitive environment, enterprise performance and household characteristics. The program has developed tools and resources that we are applying in other countries to determine if vertical integration is a realistic business development option.

Dairy farmers have a perishable commodity that can have value added (by creating products such as yogurt and cheese) if there is access to a cold chain, collection centers and processing facilities. CDP is assessing two types of vertically integrated cooperatives: the federated system and centralized cooperatives. In a centralized structure, farmers belong to an individual cooperative and in a federated system, farmers join primary cooperatives that in turn form the membership of the federated structure.

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THE INCENTIVE TO VERTICALLY INTEGRATE

Cooperatives located around bulking centers may also horizontally integrate around collection centers. Cooperative unions may come together to form a federation or apex organization. The federation has the responsibility for investing in the processing facility.

THE DEVELOPMENT HYPOTHESIS

Dairy cooperatives that achieve and leverage economies of scale through horizontal and/or vertical integration increase their commercial viability and competitiveness, and provide greater socioeconomic returns to farmer-members, especially women. In order to prove the hypothesis, CDP is collecting data to ensure sufficient depth and quality of information about the participating cooperatives and cooperative members. The data is being used to develop tools, resources and methodologies and is being disseminated through a network of organizations that have come together into the International Dairy Enterprise Alliance (IDEA). We are actively using the learning and resources through this network to support participating cooperatives in Kenya, Uganda, Rwanda and Ethiopia.



INITIAL ANALYSIS

The program began collecting data from dairy cooperatives and dairy farmers in target milk-sheds to better understand the environment in which they work, as well as the conditions that shape their successes and challenges. Land O'Lakes worked with some of the world's leading experts in cooperative management, agriculture and sociology to analyze the data and identify the components of success. We gathered significant information on the effects of vertically integrating dairy cooperatives, and used this to develop tools that help cooperatives identify opportunities and barriers for investing in a processing facility or other business investments up the value chain.

KNOWLEDGE CAPTURE AND SHARING

In 2012, Land O'Lakes held an international learning event in Kenya to promote knowledge sharing among cooperatives – one of the principles of cooperative development. In November 2013, Land O'Lakes and the Institute of Rural Management Anand co-hosted a second learning event in India, home to one of the world's largest networks of dairy cooperatives. These learning events brought together cooperative managers and cooperative development stakeholders from around the world to present, share and network. The program hosted additional events in Kenya, Uganda and Rwanda in 2014. There are currently a number of partners involved in IDEA, including the Eastern and Southern Africa Dairy Association (ESADA), research institutions, national development boards, breeding service providers and others. In partnership with ESADA, the team is also building a web-based portal that will house tools, resources and references on dairy and cooperative development.

APPLYING WHAT WE LEARN

We have worked extensively with cooperatives to overcome organizational weaknesses that limit their competitiveness and help them meet their development goals. We have accomplished this by providing development expertise and by connecting the organizations to technologies and resources in their respective markets. We have also formed relationships with other international organizations to promote technology dissemination and apply world-class techniques to help cooperatives better understand motivations and behaviors behind member patronage.



EXPECTED IMPACTS by 2015

- > 25 percent increase in household income for members of vertically integrated dairy cooperatives
- > 25 percent increase in revenue for vertically integrated cooperatives

ANNEX XI: CRI SUCCESS STORY CASE STUDY

Dairy Cooperative Becomes a Standard for Sustainability in Agricultural Development in South Africa

Mayime Primary Agricultural Cooperative, located near Whittlesea in the Eastern Cape Province of South Africa, has established a 1,000 cow dairy, producing an average of 15,500 liters of milk per day. Only a few years ago, Mayime was struggling to find its place in the value chain and support the 370 members. In 2011, Mayime was enrolled in the USAID-funded Cooperative Development Program (CDP) entitled Enterprise Cooperative Transition. CRI, the organization leading the project helped Mayime define their biggest challenges and develop solutions and goals to overcome those challenges. As a result, in 2012, Mayime has received an income of US\$101,000 where previously their profits were marginal at best.

The business plan that Mayime designed through the assistance of USAID was for the creation of a share-milking trust with Amadlelo Agri, a commercial dairy company that was formed to provide technical training and mentoring services to black farmers. Under the agreement, Mayime provides fixed and moveable assets and Amadlelo Agri provides management and access to reliable markets, the profits being split evenly between the two trustees.



Without the support of a cooperative, local producers would have to milk cows and purchase infrastructure individually. Within the competitive climate of the South African dairy industry, small dairy farms struggle to meet health, quality, and food safety standards; they struggle to generate economies of scale, and are often undercapitalized under current government support schemes. Through pooling of resources and partnering with a commercial producer who has the skills, experience, and market position to run a commercial dairy, Mayime Cooperative's share-milking plan has achieved a success at a faster rate than any other model for black empowerment in South African agriculture. Instead of producing for subsistence or without a defined market, as many similar cooperatives are currently doing, Mayime is not only turning a profit, but also expanding its operations while also paying dividends to members. This success has not gone unnoticed, and is now being implemented in two more places: Keiskammahok (Seven Stars Cooperative) and Ncora Dairy Project.

During the 2011 financial year, the Mayime Primary Agricultural Cooperative has received a US\$73,000 dividend. The money was used to build a community hall and repair fencing. As well as an increase in dividends each year, Mayime has also increased the size of its herd from 500 to 1,000 over the last five years. From the US\$101,000 received in 2012, US\$43,000 is being paid to the members of the cooperative. CRI will continue to work with Mayime in improving their business practices and cooperative management through the completion of the CDP in 2015.

ANNEX XII: CDO PROFILES

The evaluation team compiled the following CDO profiles. The team pulled similar information from program reports in an effort to compare across implementing partners; however, due to the varied program reports, the profiles may slightly differ.

ACDI/VOCA

CDO	ACDI/VOCA
Country(ies) of operation	Kenya, Ethiopia, Paraguay, Tanzania
Program sector(s)	Agriculture
Cooperative development issue(s) addressed	(1) Principles of sound cooperative law and strategies to improve the legislative and regulatory environments; (2) planning and information systems; (3) strengthening coop participation and governance; (4) replication and scale of salience
Implementation approaches (trainings, mentoring, development of business plans, etc.)	(1) Conduct participatory METRICS assessments, (2) provide institutional capacity building and commodity-specific technical assistance, (3) establish in-country CLICs linked to the CoEthiopia, and (4) conduct CLARITY assessments to inform enabling environment interventions.

Description of program(s)/activities:

The overall purpose of ACDI/VOCA's programs in Kenya, Ethiopia, Paraguay, and Tanzania were to improve food security and increase the incomes of small-scale farmers. ACDI/VOCA operated on the development hypothesis that by improving the governing, management, and advocacy capacity of business-oriented, professionally managed, farmer-owned and operated organizations to better meet the needs of their members through market-driven principles, ACDI/VOCA will 1) enable significant numbers of smallholder farmers to increase their families' food security and financial stability, and 2) facilitate improved legal environments and increase trade and investment opportunities.

Description of local cooperatives with which the CDO works:

Currently, ACDI/VOCA is only active in Ethiopia where it works in the same regions as its other large in-country projects in order to take advantage of efficiency. The projects are in Tigray, Oromia, Benshangul-gumuz and SNNP. In each region, ACDI/VOCA selected one Union and three primary-level cooperatives to train directly. Each of the five unions was an association of many cooperatives, and primary-level cooperatives were independent groups of farmers. Unions were multipurpose and ranged in size from 58,300 members (Becho Wolisso Union) to 5,000 members (Assosa Union

Previously, ACDI/VOCA had been active in Kenya and Paraguay. Based on past experiences in Paraguay, ACDI/VOCA only worked with larger, more sustainable cooperatives rather than smaller ones. In Kenya, ACDI/VOCA focused on building good governance and leadership, as well as improving revenue through training in production and marketing. ACDI/VOCA worked with 16 groups, consisting of both registered cooperatives struggling to rebuild, and nascent pre-cooperatives establishing operations. The sectors of these cooperatives included dairy, poultry, honey, coffee, and other crops.

Description of implementation approach used by CDO:

In each country, ACDI/VOCA conducted participatory baseline and needs assessments with each of the cooperatives using M³ which assessed Money, Membership, and Management capacities. M³ assessments were also used to collect data on the cooperatives' progress every year. Activities included capacity

building trainings such as governance and management, financial management, sector-based best practices, improved product quality, market capacity, and business planning. ACDI/VOCA, then, recruited promoters from within each to assist community members to continue training as well as provide support to cooperative leaders and program implementation. Other activities included development of Cooperative Information Resource Center (CIRC), a website that offers cooperative leaders and development organizations a mix of open access and fee-based materials. In Ethiopia, ACDI/VOCA specifically used a Training of Trainers (ToT) approach to reach a wider audience. ACDI/VOCA also developed Cooperative Learning Information Centers (CLICs) in the regions of program operation. In addition, ACDI/VOCA provided the CLICs with computers, printers, photocopiers, digital cameras, shelves, tables, chairs, and bookshelves. CLIC managers were trained on basics of librarianship, CLIC management and audiovisual operations.

Challenges:

Challenges were more specific to each country. In Kenya, one of the main challenges ACDI/VOCA faced was the dependency syndrome where local partners wanted monetary payment or gifts in-kind for participation in the program. ACDI/VOCA believes, however, that more groups were beginning to understand the benefits of the technical assistance rather than monetary donations. In Ethiopia, ACDI/VOCA had trouble maintaining experts as some resigned in search of better employment opportunities which resulted in a shortage of experts trained through the ToT trainings. Another challenge in Ethiopia was the ability to reach all regions in the country with limited staff and resources. To address this, ACDI/VOCA leveraged existing relationships through its other projects which improved communication and enabled contact with unions. In Paraguay, the challenge ACDI/VOCA had was a limited budget and a need for more accurate and reliable data.

Successes:

ACDI/VOCA's successes in Kenya include encouraging women's empowerment and demonstrating ways in which cooperatives could benefit from inclusion of women which resulted in more women becoming involved in cooperatives and seeking leadership roles. As an example, two women were voted onto Gathage's supervisory committee which was a great given that Gathage did not have any female members when it was established. In Ethiopia, most cooperatives that received capacity building training had shown significant change in their behavior, attitude, and performance, and improved services to their members. For example, as a result of training on cooperative formation and registration, Juhudi, a former pre-cooperative, became a registered cooperative.

Lessons learned:

In Kenya, ACDI/VOCA found that transferring knowledge into action was a critical constraint. To address this issue, ACDI/VOCA provided guidance and encouraged decision making instead of implementing activities for the groups with which they worked. Additionally, ACDI/VOCA refocus its emphasis on local partners that had better performance records, some of which served as learning models for others. In Ethiopia, ACDI/VOCA focused mainly on developing cooperative leaders instead of members which widened the gap between leaders and members and hampered development. As a solution, ACDI/VOCA digitalize the cooperative training materials to reach more people quickly and at minimal cost.

Dissemination efforts (if any):

ACDI/VOCA disseminated learnings to its program recipients through the CIRC. The CIRC website is intended to play a critical role in the delivery of technical information, knowledge, and resources to members of the cooperative movement countrywide.

CDO	CCI
Country(ies) of operation	Ethiopia and Nigeria. Operations cancelled in Mongolia, Mozambique, and Namibia.
Program Sector(s)	Information Communications Technology
Cooperative Development Issue(s) addressed	Principles of sound cooperative law and strategies to improve the legislative and regulatory environments
Implementation approaches (trainings, mentoring, development of business plans etc.)	(1) Promoting policy environments that support the cooperative and community -based model and (2) developing local capacity for disseminating the model sustainably within the prevailing policy environment.

Description of program(s)/activities:

The program aimed to improve access and application of Information Communications Technology (ICT) in developing countries in order to effect positive economic growth in rural areas. It is typically difficult and not cost-effective for private telecom providers to reach rural areas, leaving small towns and villages without ICT access. This project aimed to overcome this issue by helping cooperatives within towns and villages to build their own networks and design their own services. For cooperatives to achieve this, the regulatory environment and legal system that are unfavorable to cooperative business development in developing countries must first be changed. CCI therefore focused on (1) promoting policy environments that support the cooperative and community-based model and (2) developing local capacity for disseminating the model sustainably within the prevailing policy environment.

The strategies and approaches differed in each country, but the overall aim of CCI was to assess ICT sectors and cooperative policies, work with cooperative and apex organizations to develop and implement advocacy strategies, and engage with national level policymakers to promote policy reforms. ICT also promoted the sustainable development of ICT-based cooperatives by guiding the development and implementation of locally appropriate business plans, providing technical assistance and training on governance, management, and finance to cooperative personnel, and developing and disseminating locally appropriate training and training modules.

Description of local cooperatives with which the CDO works:

CCI implemented activities in Ethiopia and Nigeria and is currently only active in Ethiopia where it partnered with GIZ to establish one Union of ICT Cooperatives, the Union of Ethiopian Community ICT Centers (UECICTC). CCI identified 17 ICT centers as operational and accepted them into the program. The program delivered trainings to 22 cooperatives, but it is unclear if all of them were part of the union. CCI also helped to develop four CLICs in different regions of the country. In Nigeria, CCI worked with 12 SEED schools. In Kenya, Mongolia, Mozambique, and Namibia, CCI terminated plans and/or activities due to lack of resources.

Description of implementation approach used by CDO:

In Ethiopia, CCI aimed to strengthen the advocacy capacity of an ICT cooperative and envisioned the creation of union organizations to serve 65 community-based ICT centers around the country. Based on Ethiopian policies, all 65 centers fall under two distinct types of organizations, Resident Charities and Societies (Resident CSs) and Ethiopian Charities and Societies (Ethiopian CSs). Therefore, CCI sought to create two unions that would each represent the two groups of ICT centers as well as provide advocacy services. CCI partnered with GIZ to assist in forming and registering the Union of Ethiopian Community ICT Centers (UECICTC), the first of the two unions, to serve Resident CSs. Unfortunately, Ethiopian policies do not allow for Resident CSs to conduct advocacy activities. Instead CCI provided UECICTC,

with capacity building opportunities including proposal development, advisory services to its board and management, and strengthening its own capacity to provide trainings to member ICT Centers. While good progress was made during technical assistance trainings, it also became obvious that the Union would not be able to cover the cost of operations which was an overwhelming constraint. Ethiopian law prohibits the Union from providing for-fee services that could contribute to the bottom line; and it has been unsuccessful in securing grant funds, largely because of extremely restrictive laws governing donors and how they may allocate their funds. It also became clear that due to managerial and operational difficulties, the Union was not able coordinate its activities with member organizations or run the CCI training program. Given this context, CCI set aside its objective to establish a second Union that would serve ICT Centers that fall under the group Ethiopian CSs. CCI coordinated and delivered technical trainings to the cooperatives on hardware and software maintenance and repair, and entrepreneurship, and small business management training.

In both Ethiopia and Kenya, CCI worked with ACDI/VOCA to conduct field assessments and develop CLICs. In both countries, the CLICs advanced governance and management training as they enabled training materials to be accessible electronically addressing time and distance constraints associated with training cooperatives

CCI also proposed and/or implemented activities in Mongolia, Mozambique, and Nigeria, however, due to a variety of reasons, had closed its programs in all three countries.

Challenges:

CCI faced several challenges including that in a few countries, the environment was not conducive to proposed strategies. For example, In Mongolia, CCI intended to work with policy makers to improve the legal and regulatory environment for ICT-based cooperatives. However, upon assessment, they discovered that regulatory frameworks on ICT services and ICT-based cooperatives did not exist in the country. In Ethiopia, the regulatory environment also caused CCI to change strategies and focus on capacity building instead of policy advocacy to promote growth of ICT-based cooperatives. Other challenges were related to local partners and lack of resources.

Successes:

CCI's successes include the development of a Union of ICT cooperatives and 4 CLICs in Ethiopia, and the delivery to technical assistance trainings in Ethiopia and Nigeria.

Lessons learned:

In Nigeria, CCI reported that while local education specialists were initially enthusiastic about ICT development, their commitment level quickly dissipated and they became inactive. In order to broadened development of ICT cooperatives, CCI noted that good motivation at the grassroots level, appropriate support, or alternate plans built into the project design are necessary.

Dissemination efforts (if any):

CCI's dissemination efforts include information sharing and training at each CLIC and online.

CRI

CDO	CRI
Country(ies) of operation	Nicaragua, South Africa
Program Sector(s)	Livestock (Beef and Dairy)
Cooperative Development Issue(s) addressed	Strengthening cooperative participation and governance
Implementation approaches (trainings, mentoring, development of business plans etc.)	Technical assistance trainings and mentorship seminars with other cooperatives

Description of program(s)/activities:

CRI noted that it had much to learn about implementing an international development project of this size. CRI made several large business and management changes throughout the project. In the first year, CRI had to learn multiple cooperative environments, identify innovative strategies and tools that were adaptable to the different environments, and train a team to use tools and interventions that were specific to cooperatives and their context. CRI's activities included a baseline survey (Cooperative Enterprise Empowerment Dashboard, or CEED), cooperative and business development trainings, technical assistance on operations and business planning to individual cooperatives. After the first year, CRI readjusted and developed new approaches including a new development hypothesis. . The initial development hypothesis, was that "open market information will produce change, investment, and sustainability for greater food security". It, however, became clear that the main deterrents to cooperative development was actually not the lack of market information, but other issues unique to each country. Nicaragua lacked the legal framework to compel cooperative members to adhere to cooperative agreements. South African cooperatives had limited access to credit. CRI conducted baseline assessments of each cooperative, then worked with each cooperative to draw up strategies to strengthen their weaknesses. CRI also delivered technical trainings and mentorship seminars to help cooperatives produce better products, improve management, access credit, and find buyers.

Description of local cooperatives with which the CDO works:

CRI's goal was to work with 50 cooperatives. It started working with 23, and added another 27 cooperatives in 2013. By 2014, it was working with 53, with 27 in South Africa and 26 in Nicaragua. In South Africa, most of the 17 reported cooperatives had a "registered/not compliant"; two of the reported cooperatives were not yet registered, but anticipated registration by 2016. The sizes of the cooperatives ranged from 7 members (Lerothodi) to 395 (Mayime). In Nicaragua, all but one large cooperative (Coopreleche) were members of one of two cooperative associations: UCAL and Cencoopel. One of the 14 reported cooperatives was "Legalized", 9 were "Registered", and 4 were "In Process". The sizes of the cooperatives ranged from 15 members (Coompall) to 991 members (Nicaacentro).

Description of implementation approach used by CDO:

Nicaragua: One of the great needs identified across all the cooperatives in Nicaragua was improved farm management techniques. CRI partnered with its the Association of Producers and Exporters of Nicaragua (APEN) to provided technical training on silage and the use of veterinary supplies to five technicians chosen by the cooperatives of UCAL (one per participating cooperative). APEN paid the wages for these technicians until December of 2014. With CRI's guidance, they will be able to provide services, inputs and technical advice to the members of their cooperatives.

South Africa: Cooperatives in South Africa had a range of needs. CRI identified several local stakeholders who contributed relevant training and outreach programs such as agricultural skills trainings and financial management courses.

Challenges:

Despite having dabbled in government grants and contracts over the years, CRI has never competed for, nor has it single-handedly managed a USAID grant of the size and complexity of the CDP as a prime implementer. CRI has faced numerous challenges: (a) a sometimes overly ambitious proposal with commitments that are not readily achievable; (b) a highly centralized, top-down management structure in two geographically far-flung offices; and (c) a slow project start-up and low project budget burn rate in its start-up years. Additionally, the context of both South Africa and Nicaragua brought their own challenges. One of the common in both countries was that farmers used farming practices that are obsolete and uncompetitive in today's market.

Successes:

In South Africa, CRI provided mentorship to Mayime Cooperative when it was still nascent. Through this partnership, Mayime Cooperative developed into a self-sustaining cooperative which caught the attention of others in nearby areas. CRI realized that in order for nascent cooperatives to achieve sustainability, a mentor organization as partner may be the answer. Mayime formed a joint venture with Amadlelo Agri, an agriculture consulting company that has the goal to establish profitable black empowered agribusinesses. Through mentoring, Amadlelo Agri assisted Mayime in operating in the dairy sector while Mayime provided the land and labor. Both organizations shared cost and management responsibilities. Dairy producers in other provinces are currently assessing the possibility of implementing a system based on the Mayime and Amadlelo Agri model.

Lessons learned:

A few of the lessons CRI learned included that cooperatives really needed to understand the value of reinvesting profits back into cooperatives, individual farmer and manager education level makes a difference in the success of both the farm and the cooperative, and good understanding of country and cultural context is critical to successful program implementation.

Dissemination efforts (if any):

Dissemination happened through mentorship which allowed cooperatives to learn from the successes of their partners as well as through attending seminars. CRI also plans to share project outcomes, lessons learned, and best practices on its website. Plans are also in the works to collaborate with other OCDC members and USAID in a case. CRI also plans to share information with its South Africa partners and other CDP stakeholders at the project's end.

Equal Exchange

CDO	Equal Exchange
Country(ies) of operation	Ecuador, Peru, Dominican Republic
Program Sector(s)	Coffee and Cocoa
Cooperative Development Issue(s) addressed	Strengthening cooperative participation and governance
Implementation Approaches (trainings, mentoring, development of business plans, etc.)	Technical assistance to coffee cooperatives enabling them to produce quality produce for local market as well as international trade.

Description of program(s)/activities:

Equal Exchange's project objective was to increase the value of coffee and cocoa, improve competitiveness of farmers and cooperatives, , and better position them to meet both market demands and member needs in the long term.

Equal Exchange's development hypothesis was "through improved yields and higher quality differentiated products, coops will become more competitive in the market and more likely to succeed in placing product and negotiating higher prices."

To achieve its project objective, Equal Exchange's strategies included: (1) Develop supply chain strategies with participating cooperatives for quality production and processing of beans. (2) Install appropriate and innovative equipment (web-based data platform) at each cooperative so they are able to collect, process, and record quality information, as well as adjust strategies and techniques to achieve consistency from one harvest to another. (3) Apply soil tests and other appropriate inputs for increased productivity. (4) Collaborate on trainings for both at partner cooperatives and in the US at full scale production facilities. Trainings include farm inputs and productivity, post-harvest processing techniques, use of Flavor Labs, sensory analysis and quality in coffee and cocoa, market analysis, and inter-cooperative exchanges. (5) Expand the market for high quality coffee and specialty chocolates, including through Equal Exchange, TCHO, and to U.S. natural food cooperatives as well as other markets, so that there is a commercial and business incentive into fair trade markets.

Description of local cooperatives with which the CDO works:

In all countries of operation, Equal Exchange worked with primary and apex cooperatives. In the Dominican Republic, EE worked with one CONACADO, an NGO that specialized in cocoa production. As an NGO, CONACADO was required to return all excess capital to its members. A change in NGO legislation, however, prohibited NGOs from carrying out commercial activities. Thus, CONACADO formed three entities: an NGO that operates like a cooperative to provide training and education services, an agro-industrial firm to provide marketing and other business transactions, and a credit union. In Ecuador: EE worked with 3 associations, Fortaleza del Valle, Fapecafes in Loja, and UOPRCAE Fortaleza In Peru, EE worked with six groups, four of which were registered cooperatives and one (Cepicafe) was in transition to becoming a cooperative.

Description of implementation approach used by CDO:

EE's overall approach focused on improving three areas for the cooperatives: improving productivity, enhancing flavor, and ameliorating business practices. These were mostly addressed through technical trainings which were often at the cooperatives or associations, but also included conventions that convened multiple cooperatives. For example, in Peru the National Association of Peruvian Cocoa

Producers (APPCACAO) focused on methods for enhancing flavors and was attended by 17 participants from four cooperatives, including five women and one participant who is ethnically indigenous.

EE also helped with the development of learning models and systems. The Puka model fermentation system, which was originally developed under the USAID/Peru Alternative Development Program (PDA) by TCHO, was continuously upgraded under the CDP. Improvements included Plascon solar dryers, DSA weather monitoring system, and Cropster, a cloud-based platform that tracked cocoa by producers, as well as measure and record cocoa bean quality. To improve business practices, EE held trainings on cooperative capitalization and member equity. In April 2014, the project held an exchange event in which members from its other CDP programs came together to learn about cooperative capitalization and member equity in Lima, Peru.

By the end of 2014, EE decided to focus on quality improvements. Given the short time remaining on the CDP grant, it was not advisable to pursue longer-term objectives such as improvements in productivity including nurseries, model farms and field schools. But, they remained open to limited interventions within the purposes of CDP.

Challenges:

Some general challenges that EE experienced included miscommunication between organizations and TCHO and EE caused issues with coordination and delivery of activities.

Successes:

Through its Flavor Labs, EE has been able to work with cooperatives to improve their cacao quality. Flavor Labs enable cooperative staff and cocoa farmers to providing trainings to taste panels, taste their own chocolate, conduct regular sampling to assess quality, understand flavor characteristics and defects, track quality improvements, and share results with others through Cropster. Through its training programs, cooperative staff and farmers have a lot more capacity to improve product quality and increased productivity. For example, in the Dominican Republic, EE provided training to CONACADO cocoa farmers at model farms. The government has adopted the model farm program design to renovate 1,000 small cocoa farms. The CONACADO team provides guidance and coordination support to this government program.

Lessons Learned:

EE worked with once cooperative that hired a farmer to produce cacao seedlings to replace older trees on member farms. Instead of selling the seedlings to the farmers, the cooperative gave them away. The concept of “no freebies” was difficult for farmers to comprehend and very few were willing to buy plants produced through the cooperative. These are things that could have been addressed at the program design stage rather than at the implementation stage.

EE should coordinate in advance with consultants and appropriate cooperatives to ensure proper communication has been provided to all parties and to lessen any miscommunication.

Dissemination efforts:

Dissemination efforts included conventions, exchanges, and other events held for members of multiple cooperatives. This included the 2014 event in Lima organized by Sustainable Food Laboratory with over 70 participants, many from major food corporations in which participants learned about the impact of sensory analysis. Dissemination also happened through trainings, for example, EE and Root Capital discussed the possibility of partnering to create a “Member Equity Module” to be included in their Financial Advisory Services program.

Global Communities

CDO	Global Communities
Country(ies) of operation	Rwanda and Mongolia (2010 – 2015), Kenya (2016 – present)
Program Sector(s)	Agriculture (dairy and vegetable producers in Mongolia, maize in Rwanda)
Cooperative Development Issue(s) addressed	Principles of sound cooperative law and strategies to improve the legislative and regulatory environment
Implementation Approaches (trainings, mentoring, development of business plans etc.)	EMIRGE – Market facilitation approach (links potential agricultural value chains and other marginalized economic actors to services and markets that drive their growth and raise their member incomes). DESIGN – Research-based project to understand communities’ desires to participate in collective action, and how to address the needs of local communities

Description of program(s)/activities:

Under the CDP, Global Communities is implementing two activities, *Enabling Market Integration through Rural Group Empowerment (EMIRGE)* and *Developing Economic Strengthening Interventions for Group ProductioN (DESIGN)*. EMIRGE aims to improve incomes of small-scale farmers by enabling nascent agricultural producer groups to both overcome common constraints and pursue member-driven business objectives. EMIRGE employs a market facilitation approach based on comprehensive analysis of high potential agricultural value chains, integrating groups of marginalized economic actors into the mainstream economy by linking them to the services and markets that will drive their growth and raise member incomes. The project focuses on stimulating early stage cooperation by responding to a member-driven agenda, gradually strengthening social capital and organizational capacity to advance burgeoning group enterprise. In doing so, EMIRGE confronts the challenge of rural poverty commonly faced by millions of marginalized farmers by designing and testing methods to collaboratively mobilize rural resources toward attainable market opportunities.

DESIGN works to develop, test, and complete time series factorial analysis of the “willingness to cooperate” (WTC) of individuals in the region of Bushenyi, Uganda. It is primarily an applied research program seeking to understand the underlying drivers of cooperation in order to design a smarter approach to cooperative development. Global Communities partnered with Dr. Bert Morrow of Birmingham Southern College. In 2016, the research expanded into Northern, Northwest, and Central Uganda. DESIGN also partners with the Kyeizooba Twimukye Cooperative Society, a beans value chain focused cooperative with over 250 members, to deliver capacity building trainings (money/phone literacy and savings groups for better financial management).

Description of local cooperatives with which the CDO works:

Under its DESIGN Program in Uganda, Global Communities works with Kyeizooba Twimukye Cooperative Society (KTCS) to strengthen the operational management and production capacity of KTCS while incorporating innovative strategies into program implementation based on WTC research results. KTCS is a newly formed cooperative with 250 members working in the beans value chain.

Under its EMIRGE Program, Global Communities works in Mongolia and Rwanda. In Mongolia, Global Communities works with nascent groups of smallholder dairy producers. When the program began, there were 4 groups with a total of 44 members. By the end of 2015, Global Communities was working with 54 groups with a total of 734 members. Several of these groups had become fully registered cooperatives. The groups work dairy and vegetable. Three of the 54 groups are processors and the rest

of the groups focus are producers. In Rwanda, Global Communities worked with the USAID/PEPFAR Higa Ubeho program to select cooperatives based on preliminary assessments of their potential. In 2011, GC started working with 6 of the 100 Higa Ubeho cooperatives. By the end of 2014, Global Communities was working with 15 cooperatives which were largely agricultural, with some engaged in soap making, tailoring, handicrafts and the service sector. During the CDP, GC worked with at least 26 different cooperatives in Rwanda.

Implementation approach used by CDO (include any modifications):

EMIRGE

In Mongolia, Global Communities builds capacity of nascent dairy and vegetable producer groups. The organization provides technical assistance and trainings to farmers in the dairy and vegetable value chains, leveraging expertise from private sector actors and the Government of Mongolia SME and Agricultural ministries, and local Mongolian consultants and experts. Through this approach, Global Communities' EMIRGE program allows these groups to study and adopt new technologies at the farm level and work together to develop new business strategies to access the market collaboratively.

In Rwanda, Global Communities works with producer groups and associations primarily comprised of two vulnerable social groups: People Living with HIV/AIDS (PLWHA) or people caring for PLWHA within their households and/or families living with and caring for Orphans and Vulnerable Children (OVC) in their households. Working alongside the USAID/Higa Ubeho program, EMIRGE provided technical assistance and capacity building in the areas of governance, management and business development to help these groups become formal cooperatives, and increase household incomes and strengthen overall family resiliency. At least local partner organizations have graduated from Global Communities' training programs and proposal writing workshops and assumed responsibility for the provision of development assistance to other cooperatives that are also part of the Higa Ubeho and EMIRGE programs. Global Communities also developed an assessment called the Cooperative Performance Index (CPI), which measured indicators of cooperatives' governance, planning, accountability, production, and market integration.

DESIGN: In addition to working directly with KTCS, Global Communities partners with the University of Birmingham to design research in studying the willingness to cooperate as a proxy to trust. The research team conducts surveys gauging this change in KTCS members on a continuous basis at a 6-month interval. Global Communities uses the learnings from this research in strategizing implementation activities that can better serve the needs of KTCS as well as the cooperative development communities. The research has been shared with participants at a local conference forum in Kampala as well as US based conferences.

Successes:

EMIRGE:

In Mongolia, Global Communities' work with groups in the dairy and vegetable sectors have led to new clients, though, producers continue to struggle with poor infrastructure and extreme climate which prevents them from reaching clients. Additionally the government of Mongolian made it easier for registered cooperatives to obtain joint loans for joint production and land leases. These incentives have moved EMIRGE cooperatives to move from Producer Group status to registered cooperatives.

In Rwanda, while Global Communities has struggled to find input suppliers and new buyers in the market outside of the Government of Rwanda, a change in legislation has led to an increase in market liberalization. This new change in the context in which Global Communities operates has enabled the organization to achieve its LOP targets focused on engaging new actors and accessing new clients and buyers.

DESIGN: In Uganda, Global Communities reports that KTCS has shown increased determination to expand its membership base and learn modern farming techniques in order to increase their production. In addition to learning about agricultural best practices, the program has moved to engaging with cooperative and community members on other skills such as health and nutrition. Additionally, the WTC research project has expanded to other communities and cooperatives and will enable to understand how various groups may begin to cooperate and trust.

Challenges:

EMIRGE: In Rwanda, Global Communities noted a challenge with implementation activities was that cooperative members had limited knowledge of good governance. This resulted in the need to develop additional workshops and trainings where cooperative leaders learned leadership skills and good governance skills so that they can support their members. In Mongolia, Global Communities noted a challenge with the cooperatives was that members did not understand how shared funds were being used due to a lack of transparency from the leadership teams. Global Communities worked with cooperative leaders to ensure that they provide information to their on the cooperative's financial management.

DESIGN: In Uganda, Global Communities learned that only about 42% of the KTCS members were contributing to its marketing of beans. Some members were selling to nonmembers in their villages because they are able to receive cash more quickly than through the cooperatives. Cooperative leadership have not been as communicative with members as appropriate, particularly regarding bulking time. The cooperative also does not have cash on hand to pay members, especially during harvest time. These issues were addressed through several ways, communication via radio announcements and SMS, regular meetings with members, and participation in savings groups.

Dissemination efforts:

All three EMIRGE teams, at HQ, Mongolia and Rwanda developed on a catalogue of cooperative materials that the program compiled over nearly five years of implementation. This strategy prepared the team for the implementation of the Cooperative Learning Strategy to be implemented by EcoVentures International. Discussing and documenting their experiences in implementing these activities will help to determine what activities are successful. The HQ Program Manager was working to highlight and disseminate EMIRGE program experiences at a number of key events, such as the SEEP conference.

For its DESIGN project, Global Communities developed the National Cooperative Stakeholder Forum (NCSF), a national event that brings together private, public, and donor funded stakeholders each year to learn from each other and champion new strategies to contribute to the rebuilding of the cooperative sector in Uganda. Global Communities has implemented NCSF annually for two years with Health Partners. NCSF has created awareness and facilitated real changes for cooperatives in the service sector that have become apparent over the last year, but will need to have a champion who can move it forward.

Health Partners

CDO	Health Partners (HP)
Country(ies) of operation	Uganda, Rwanda*, Haiti
Program Sector(s)	Health Care Financing
Cooperative Development Issues addressed	Strengthening cooperative participation and governance, Avoiding dependency: accelerating progress from donor support to commercial operations, Principles of sound cooperative law and strategies to improve the legislative and regulatory environments
Implementation Approaches	Technical assistance to health care groups and government agencies to ensure understanding and knowledge of health and nutrition values as well as managing cooperative groups.

*HP's activities in Rwanda ended by the end of 2013.

Description of program(s)/activities:

In Uganda, HP's Health and Economic Livelihoods Partnership (HELP) project hypothesizes that cooperative development through working with multiple partners from various sectors will lead to reduced poverty. Activities that HP has used to promote better education on health care financing and nutrition include:

1. Pilot Village Saving and Loan Associations / Health Saving Accounts (VSLA / HSA)
2. Leverage health coop and local savings group partnerships
3. Use mobile technology (MCash) as a format for member groups to pay premiums and work with local stakeholders to integrate nutrition assessment
4. Counsel and support leveraging health delivery services and outcomes for health coop members
5. Use sack gardens to educate, encourage, and demonstrate dietary diversity and combat malnutrition

In Haiti, HP and two CDP implementing partners NCBA and WOCCU collaborated to create a cooperative development program that focused on agriculture, finance, and health. They provided technical assistance such as tools, resources, and advice to Developpement des Activités de Sante en haiti (DASH), a local organization, to improve their quality of health care as well as their business model.

In Uganda, HP also had a second project, Enhanced Collaborations Project, in which HP provides capacity building, tools, and resources to local stakeholders (women of reproductive age, health care providers, and the poor) to be able to demand quality health care through locally owned health cooperatives with which they belong.

Description of local cooperatives with which the CDO works:

In Uganda, HP works with VSLAs enabling members to meet health needs by forming HSAs. VSLA members deposit money into HSAs and use funds to pay for health related costs. In Uganda, Health Partners provides capacity building to local stakeholders to develop and grow community-based health cooperatives. Local stakeholders that have received capacity building assistance from HP include Mitooma Women's Dignity Foundation (MIWODIF). Local cooperatives with which HP works include North Ankole Diocese (NAD) health cooperative, Archdiocese of Mbarara Health Cooperative, Ankole Dioceses Health Cooperative and Buhweju People's Health Cooperative.

Implementation approach used by CDO:

HP used two different methods of handling the countries they were working in, one that was a rapid applied partnership in Uganda, and research based approach in Haiti to reach their end goals. In Uganda,

through its partnerships strategy, HP works to connect various stakeholders in support of health cooperative development. For example, HP connected cooperative leaders with the Uganda's Ministry of Trade, Industry and Cooperatives (MTIC) enabling them to register their groups as cooperatives. The organization also connected a health cooperative with a hospital to identify and overcome barriers to ensuring timely payments of health premiums. In addition to providing technical assistance to promote health cooperatives, HP also provides trainings to health practitioners as well as local and national government personnel on various topics including clinical nutrition (how to assess patients, identify malnutrition, and provide appropriate counseling) enabling them to better serve the communities with which they work. Furthermore, HP created Village Health Teams (VHT) comprising of health care workers at community health centers, to expand their health care trainings to rural areas. VHTs have trained rural households on basic nutrition and dietary diversity as well as provided opportunities for their children in to be assessed for malnutrition. HP also works with the national government to promote cooperative development.

In Haiti, HP, NCBA, and WOCCU engaged in dialogue with stakeholders to promote their cooperative development strategy. Stakeholders included national government, health care providers, Ministry of Health, and nongovernment workers.

Challenges:

In Uganda, there were difficulties of working with financial institutions where they were often looking for immediate returns on investments since they are profit oriented enterprises and therefore do not easily contribute to equal partnership opportunities. Some VHT members were not as interested and motivated in promoting health care.

In Haiti, there were delays to the project due to political unrest, which also made it difficult to meet in-person on regular basis. Without a physical presence, there was no dedicated contact at a USAID Mission for consistent engagement, which made building support and momentum difficult. Additionally, there was a general lack of capacity, good governance and leadership among Haitian coops. Funding between CDP partners was often also a constraint.

Successes:

In Uganda, VSLA/HSA had positively impacted health coop members in health savings. The Ministry of Trade Industry and Cooperative asked HP to draft the first national health cooperative bylaws, which has now been approved and incorporate by the Ministry. Additionally, VHTs contributed greatly to HP's community-based nutrition management strategy and in reaching rural households.

Through its Enhanced Collaborations Project, HP conducted an impact assessment of its health cooperative model and learned that compared to patients who pay out of pocket for health care, health cooperative members demonstrate improved preventative and treatment seeking behaviors.

In Haiti, regular and transparent communication with partners lead to harmonized expectations, created clear division of roles and responsibilities and achievement of goals. It was clear that close coordination added value, impact, and lessons. Through its efforts to understand and actively incorporate Haitian culture in the learning process proved to be an effective strategy to increase the impact of network expansion efforts.

Lessons learned:

HP approached its work in Haiti by utilizing research, strict communication with its strategically chosen partners allowed them to anticipate and manage the project more effectively and efficiently. In Uganda/Rwanda there were many miscommunication issues between the partners, cooperatives, and

USAID Missions that caused many of the challenges. Overall, HP learned that there is a high need for health cooperatives and strong interest if implemented with the right cultural understanding of the approach.

Land O'Lakes

CDO	Land O'Lakes (LOL)
Country(ies) of operation	Rwanda, Tanzania, Uganda, Kenya, Ethiopia
Program Sector(s)	Agriculture: Seeds and Dairy
Cooperative Development Issue(s) addressed	Alliance in support of cooperative development objectives, Strengthening cooperative participation and governance, Replication, scale and salience, Change strategies, Avoiding dependency: accelerating progress from donor support to commercial operations
Implementation approaches	Technical assistance to create more enabling environment for improved seed varieties within cooperative/supply chain, technical assistance to specific producer cooperatives, and building knowledge management platform to ensure cooperatives are informed.

Description of program(s)/activities:

LOL ran two programs under the CDP. The first program was the Seed Cooperative Alliance (SCA), which is located in Rwanda and Tanzania. This program is testing the development hypothesis that cooperative alliances can provide commercially sustainable supply chain for distribution of improved hybrid maize seed. In this program, the activities are:

- 1) Market feasibility assessment
- 2) Strategic fit assessment with local agricultural cooperatives
- 3) Partnership alliance meetings with high-potential cooperative alliance partners
- 4) Commercial distribution of new maize seed varieties

The primary outcome of this Seed Cooperative Alliance is the documentation and dissemination of processes, tools, and learning from the diagnostic and strategic planning work, which Land O'Lakes expects to result in more and better cooperative alliances in the future.

The second program is the International Dairy Enterprise Alliance (IDEA), which is located in Rwanda, Uganda, Kenya, and Ethiopia. This program focuses on the support of the transformation of dairy producer groups, particularly those with a significant female membership, into self-reliant, horizontally and vertically integrated dairy cooperatives. The project was implemented in four stages:

- 1) Capture learning related to the various factors that have enabled dairy cooperatives to achieve scale and vertically integrate, the key operational competencies required by integrated cooperatives to maintain or increase competitiveness, and the socio-economic benefits for member farmers in integrated cooperatives
- 2) Formalize IDEA and work with industry thought leaders to generate an array of knowledge, tools, and services that will enable existing integrated cooperatives to increase their competitiveness, emerging cooperatives to build economies of scale, and all cooperatives to increase the socio-economic benefits they provide to members
- 3) Launch a robust learning platform for disseminating information and solutions to cooperatives and cooperative development service providers
- 4) Apply learning and solutions developed in the previous phases and through IDEA to increase the competitiveness of both existing and up-and-coming integrated dairy cooperatives and producer groups to implement transformational change strategies based on scale and integration.

Description of local cooperatives with which the CDO works:

LOL works with various local cooperatives in the SCA activity, and did not focus on any particular cooperatives to promote their program. LOL focused more on outreach to local communities through

stakeholder partners, mainly Seed Co, Winfield Solutions, ADC Rwanda (in Rwanda), CSDI Tanzania (in Tanzania), Yara, and IPSOS.

With its IDEA activity, however, LOL focused activities on specific cooperatives, a few of which include Uganda Crane Creameries Cooperative Union (Uganda), Limuru Dairy Farmers Cooperative Society (Kenya), and Meru Central Dairy Cooperative Union (Kenya). The Kenyan cooperatives have been long established and are strong competitors in the Kenyan dairy market. All three cooperatives' main strength is that they all have a processing plant that was bought and run by each cooperative. They collect the milk from their members and process the collected milk at their processing facility. LOL expanded this program into Rwanda and Ethiopia, working with a total of 8 cooperatives over the five-year life span of the project.

Implementation approach used by CDO

For SCA, LOL initially began with the market feasibility assessment and seed supply chains in both Rwanda and Tanzania. Prior to implementation, LOL performed a commercial viability assessment and analysis, as well as strategic fit assessments to evaluate whether selected cooperatives would be good fit for the program. In Rwanda they were able to establish successful partnership alliances with local cooperatives. The Alliance Facilitator Guides were created and completed to help in training sessions for selected cooperatives. The training sessions focused on seed input distribution, strategic planning, governance and financial management. Activities under SCA included establishing input distribution agreements, demonstration plot collaboration agreements, and supplier distribution partnerships.

For IDEA, LOL is building cooperative capacity through knowledge dissemination, diagnostic tools, and short-term technical assistance. LOL worked with local cooperative partners to identify services that could improve and build capacity, such as transportation of bulked milk, centralized data processing, veterinary services, supplier partnerships, leadership training, and financial linkage and solutions. Through IDEA, LOL strongly emphasized establishing better governance by providing board leadership trainings and elections. LOL also worked with the cooperatives to create a computerized web portal where knowledge sharing and newsletters are accessible and sent to the participating cooperative members.

Successes:

For the Rwanda SCA project, LOL established strong business partnerships with Seed Co. They developed 7 input distribution arrangements and 3 demonstration plot collaboration agreements.

For IDEA, it was a generally successful program, where Meru Central Dairy Cooperative Union saw growth and increased net revenues by 45% from 2014 to 2015. In Ethiopia, Two cooperatives graduated from the program and continue to benefit from the partnership alliance and the web portal. Limuru was able to vertically integrate into feed processing and started a feed mill, as well as began providing financial services including savings and credits to their members.

Challenges:

For SCA, it has been difficult to form partnerships with cooperatives in Tanzania, as in previous experiences, the farmers have had bad experiences with a particular seed variety not performing and had mistrust in the product and company. There was also difficulty in gaining access to finance due to low levels of cooperative bankability.

For IDEA, Lari Dairy Alliance went under due to financial distress and heavy debt. The Uganda cooperative was also discontinued due to leadership change. LOL reallocated funds to focus on activities in Rwanda and Kenya.

NCBA-CLUSA

CDO	National Cooperative Business Association (NCBA)-CLUSA
Country(ies) of operation	Kenya, Mozambique, Haiti, Guatemala, Indonesia, Latin America, International
Program Sector(s)	Agriculture, Technology, Knowledge Management, Governance, Trade, policies/regulations
Cooperative Development Issue(s) addressed	Principles of sound cooperative law and strategies to improve the legislative and regulatory environments, Alliances in support of cooperative development objectives
Implementation approaches (trainings, mentoring, development of business plans etc.)	Technical assistance through trainings/workshops, partnerships/alliances with other cooperatives

Description of program(s)/activities:

NCBA ran eight different programs through the CDP. Projects were specifically tailored to each country and region.

1. In Kenya, NCBA-CLUSA implemented an agricultural project that provided capacity building to cooperatives on topics related to agriculture (i.e. planting and weed control) and finance.
2. In Mozambique, NCBA focused was on cooperative collaboration by creating partnerships between cooperatives within Mozambique as well as with Brazil. CDP activities in Mozambique also led cooperative laws being established.
3. In Haiti, NCBA collaborated with Health Partners on linking multi-sector cooperatives to health products and financing through workshops.
4. In Guatemala, NCBA focused on food and nutritional security and income generation through working with small animal production units.
5. In Indonesia, NCBA worked with its CDP Alliance Program.
6. In Latin America, NCBA worked with its CDP Alliance Program and on establishing more cooperative-to-cooperative trade partnerships between different countries and regions to promote cooperative trade relations.
7. NCBA also has a Knowledge Management platform where aggregated data collected from projects is compiled and can be disseminated for future project reference points.
8. NCBA also manages the grant for the Overseas Cooperative Development Council (OCDC) which serves as a forum for all CDP implementing partners to engage with each other, conduct research, and share cooperative development information with each other.

Description of local cooperatives with which the CDO works:

NCBA worked with various local cooperatives and did not focus on specific cooperatives. They collaborated closely with its partners to implement projects.

In Mozambique, NCBA worked closely with the Mozambican Association For The Promotion Of Modern Cooperatives (AMPCM), an association established to support cooperatives across Mozambique. NCBA and AMPCM provided services that met the needs of local cooperatives. They provided opportunities for cooperatives to participate in trainings, meetings, partnership summits and trade conferences. In addition to Mozambique cooperatives, they also worked with Brazilian organizations and cooperatives. Additionally, they worked together to draft cooperative tax laws.

In Guatemala, NCBA worked with ANACAFE and AGEXPORT through USAID's RVCP project. ANACAFE's programs focus on Guatemalan coffee and handicrafts for trade, as well as pregnant and lactating women. AGEXPORT represents, promotes, and develops non-traditional exports of Guatemalan companies. NCBA-CLUSA's other project in Guatemala focuses on cooperative-to-cooperative trade in which they are working with two local Guatemalan cooperatives: Pachamama Coffee Cooperative and Comercializadora de Café Especial de Guatemala (FECCEG). This program seeks to promote selling locally produced coffee to the United States. FECCEG has 12 smaller producer cooperatives and has their own brand name of coffee that is sold in the United States under the name Kishe Foods. Both cooperatives are registered under Fair Trade America products.

Implementation approach used by CDO:

NCBA-CLUSA's global work with cooperatives largely focuses on business aspects that have been identified as gaps. Much of their country specific projects revolve around creating and establishing partnerships between other cooperatives within the country or globally, influencing and establishing cooperative law, and trainings on agricultural skillsets.

Through NCBA-CLUSA's Knowledge Management Project, NCBA has collected and disseminated knowledge within its own organization as well as across other cooperative development organizations. The purpose of this project is to share knowledge and a database for data collection, management, and dissemination.

Challenges:

In Indonesia, there were competing priorities and inconsistent purchasing between the cooperatives, making it difficult to create trade relationships with other international cooperatives. As there was hidden information among buyers and suppliers, it was difficult to establish trust between the cooperatives to promote lasting partnerships.

NCBA's Knowledge Management program has been in place for ten years with minimal progress. Their biggest challenge was building awareness amongst staff members about the benefits of knowledge management to improve program management and implementation.

Overall, there are various challenges that each of the projects needed to overcome, some being financial constraints (Mozambique), others being extreme climates (Kenya), buy-in from stakeholders (Indonesia and Knowledge Management), and policy and governance ambiguity.

Successes:

The Co-Op to Co-Op Trade Program for Latin America showcased their products at conferences in the United States. Pachamama became vertically integrated and an established cooperative within the coffee supply chain. Pachamama procured a coffee roaster. It is the only established cooperative coffee supply chain that is owned by coffee farmers. Pachamama members have seen a 35% growth in demand and more ownership of the processing and growth in new members on the supply side.

In Kenya, they were successful with buy-in from the stakeholders and local cooperatives. They expanded activities across the country. By 2012, almost all contact farmer groups were operating a well-established table banking system where members borrowed loans and repaid them after one month. Several members used their loans to pay for their children's school fees. NCBA replicated demonstration plots in communities where lead farmers have become role models. They have embraced conservation agricultural concepts and are encouraging other farmers to do the same.

NRECA

CDO	National Rural Electric Cooperative Association (NRECA)
Country(ies) of operation	The Philippines, Guatemala, Dominican Republic, Liberia, Yemen, Uganda, Haiti
Program Sector(s)	Electricity
Cooperative Development Issue(s) addressed	Principles of sound cooperative law and strategies to improve the legislative and regulatory environments, Strengthening cooperative participation and governance, Change strategies, Avoiding dependency: accelerating progress from donor support to commercial operations
Implementation approaches (trainings, mentoring, development of business plans etc.)	Technical assistance through trainings on cooperative board governance and management, and procurement processes for equipment and infrastructure needs.

Description of program(s)/activities:

NRECA works with electrical cooperatives to build actual electric plants, to provide board and managerial leadership trainings, and to set rates transitions. Overall, NRECA implemented 11 projects under the CDP: 4 in The Philippines, 2 in Liberia, and a total of 5 across the remaining countries.

The Philippines:

- The Philippines Electric Cooperative Procurement Best Practices (PECPBP) Project: NRECA collaborates with various stakeholders to facilitate improved equipment and services procurement of 119 electric cooperatives using a reverse-auction system.
- The Philippines Cooperative Governance Training Project provides training to board members and cooperative managers on governance, best business practices, and management through the NRECA US Credentialed Cooperative Director (CCD) training program.
- The Philippines Electric Cooperative Rates Transition Project evaluates the means by which anomalies in the tariff structure set by the Philippines Energy Regulatory Commission (ERC) for electric cooperatives can be identified, evaluated and minimized through open and productive dialogue between the affected ECs (electric cooperatives) and ERC.
- The Philippines Electric Cooperative Regional Power Project focused on power supply contracting, working with cooperatives on bulk power supply contracts, and training them on power purchasing through power supply workshops and power supply plan template.

Liberia:

- The Liberia Rural Electric Cooperative Development evaluated the RREA electrification investment program, developed a plan for establishing and supporting cooperative service providers, and established RREA policies and procedures to support rural electric cooperatives; and established selected operational policies and procedures for rural electric service providers.
- This project has transitioned into the Beyond the Grid project in 2013, which focuses on identifying and connecting off-the-grid communities to an electric infrastructure.

Haiti: The Haiti Rural Electric Cooperative Project is intended to transform several mini-grids in three communes of the Departement Sud (Port-a-Piment, Coteaux, and Roche à Bateaux) in the southwest of Haiti– into a new, formally registered rural electric cooperative that will provide reliable electric service 7 days a week within a sustainable financial model, and demonstrate the feasibility of a clean energy investment in solar-diesel hybrid generation for isolated rural mini-grids.

Active projects: The PECBPB, Philippines Cooperative Governance Training Project, Beyond the Grid, and Haiti Rural Electric Cooperative Project are the only projects that are currently functioning. All other projects have been completed.

Description of local cooperatives and stakeholders with which the CDO works:

- PECBPB collaborates with 119 electric cooperatives and has formed implementing partnerships with a number of stakeholders: Rural Electrification Financing Corporation (REFC), Rural Electrification Trading Authority (RETC), Roanoke Electric Cooperative (REC), and RFQ Hosting. These collaborations have created partnerships and established relationships through procuring and purchasing supplies for building the electric infrastructures in the Philippines.
- In Liberia, NRECA worked through the Rural and Renewable Energy Agency (RREA), an agency owned by the Government of Liberia. NRECA and RREA collaborated to provide workshops on grant/proposal writing for additional funding.
- NRECA will establish the Coopérative Electrique de l'Arrondissement des Coteaux (CEAC) at the start of the Haiti Rural Electric Cooperative Project.

Implementation approach used by CDO (include any modifications):

NRECA's activities included work with many electrical cooperatives in various aspects such as: development of cooperatives and support for better cooperative governance. Implementation included actual construction of power plants and supply lines, research and negotiation of rates and contracts for power supply and infrastructure purchasing, and capacity building through leadership workshops and trainings.

Challenges:

There were strong disputes between boards and managers in the Haiti Rural Electric Cooperative Project causing delays for important decision making and collaborative efforts to continue forward with the project.

Successes:

- The Philippines Cooperative Governance Training Project has reached 564 directors in 68 participating cooperatives.
- The NRECA drafted an "alternative rate" template providing the necessary instructions and spreadsheets to serve as a road-map for other ECs who are financially disadvantaged under the current ERC RSEC-WR rate process to approach the ERC for a new rate filing, completing the Philippines Electric Cooperative Rates Transition project in December 2014.
- The Philippines Electric Cooperative Regional Power Project held three power supply workshops, completed a Study on Scheduling for Spot Market Transactions, developed a power supply plan template to help cooperatives manage their agreements and scheduling, and a contract checklist of "must haves and should avoids" regarding wholesale power contract terms and conditions. The project was completed in December 2014.
- The Haiti Rural Electric Cooperative Project opened commercial service to members in each of the three communes in the service territory. The entire system was energized and CEAC started operating as an electric utility with regular operating hours and multiple points of sale by December 2015. Where they now have 76 connections to over 420 connected and 900 members, and energy sales are also proportionally increasing.

CDO	World Council of Credit Unions (WOCCU)
Country(ies) of operation	Guatemala, Mexico, Kenya
Program Sector(s)	Financial/Agricultural
Cooperative Development Issue(s) addressed	Replication, scale and salience, Planning and information systems
Implementation approaches (trainings, mentoring, development of business plans etc.)	Research-based technical assistance through Agricultural and Rural Finance Toolbox to meet the needs of varied communities.

Description of program(s)/activities:

The focus of this program is to create an Agricultural and Rural Finance Toolbox to guide programming and help credit unions worldwide serve rural populations. Creating this Toolbox allowed WOCCU and its partner credit unions to address two primary constraints faced by farmers and other rural enterprises:

- 1) The limited availability of reasonably priced, high quality and appropriate financial services
- 2) The difficulty in obtaining specialized technical assistance needed to diversify production, improve productivity, access new markets and improve household incomes.

The program has developed, tested, and documented an integrated approach that incorporates improved financial products, services and IT-based delivery mechanisms with technical support to value chains and rural producers in Guatemala and Mexico for a total of 13 consolidated tools. WOCCU is currently replicating this activity in Kenya.

Description of local cooperatives with which the CDO works:

Guatemala's National Credit Union Federation (FENACOAC) has 219 cooperatives and 295,658 cooperative members, with 44% of members being female. This is the largest credit union in Guatemala, giving it more leverage and the ability to reach economies of scale for the 13 toolkits. FENACOAC works with a government bank, Fideicomisos Instituidos en Relación con la Agricultura (FIRA) which has 64 cooperatives and 247,399 cooperative members, FIRA provides credit and assistance with agriculture. FIRA works with two credit unions to implement the toolkits, Caja Zongolica and Caja Providencia.

In Kenya, WOCCU works with several financial cooperatives including IRNet Coop Kenya, E-Kenya SACCO, Tuungane Tujijenge SACCO (TTS), Universal Traders SACCO (UTS), and Kenya Midland SACCO. These savings and credit cooperatives (SACCOs) provide both financial and agriculture support to their members. They also specialize in particular value chains. For example, E-Kenya SACCO focuses on the rabbit, mango, and poultry value chains. SACCOs provide extension services to their members who work in these sectors

Implementation approach used by CDO

WOCCU spend the first two years providing trainings, workshops, gathering data, and documenting the local value chains in each country. Through this research, they were able to compile 13 toolkits on that met the needs of the local communities. Topics included "Farm Budget and Profitability Statement", "Roadmap Instructions and Associated Tools: Agricultural Producer Questionnaire", and "Agricultural Credit Finance Tools." These toolkits were translated in both English and the local language. Some

toolkits were sourced and pooled from different origins including its CDP activities in Mexico, Guatemala, and other CDP implementing partners such as Land O'Lakes.

Challenges:

Translation issues caused delays in developing and replicating the toolkits. WOCCU also experienced delays when reallocating funds from Guatemala to Mexico and Kenya, which meant a collaborative pause as funds could not be spent in certain areas without first reaching approval.

In Kenya, there were a few SACCOs that were eliminated from the program for failure to comply with the requirements of the program. WOCCU also had difficulty identifying farmers to participate in the SACCO systems. Unless the farmers have been brought into the SACCO by WOCCU's agronomists or they took out an agriculture loan product from the SACCOs, WOCCU was unable to identify farmers.

Successes:

Overall, this program has been highly successful. Guatemala was able to reach greater economies of scale by partnering with one of the largest Credit Unions in Guatemala to implement the agricultural and rural finance toolbox methodology. The Guatemala program achieved and/or surpassed all indicators, direct implementation and coordination has been ceased as of September 2013. WOCCU shifted funding from Guatemala to Mexico and Kenya.

In Guatemala, over 99 candidate producer groups and other organizations have applied the Toolbox along with 44 selected organizations. There are 15,826 individuals and 46,528 youth members that have received agricultural sector productivity training. With \$88,929,592 gross income, that gives \$301 income per member each year with 295,658 members.

Groups and individuals who have applied the Toolbox in Mexico include: 49 selected to participate in activity, 6 candidate producer groups and other organizations. There are 5,061 individuals and 59,346 youth members have received agricultural sector productivity training. With \$67,765,608 gross income, that gives \$274 income per member each year with 247,399 members.

In Kenya, over 172 candidate producer groups and other organizations have applied Toolbox, along with 39 selected organizations. There are 9,874 individuals and 7,436 youth members that have received agricultural sector productivity training. With \$15,544,463 gross income, that gives \$49 income per member each year with 332,057 members.

ANNEX XIII: CDP IMPLEMENTING PARTNERS AND AREAS OF FOCUS

This table includes all activities in countries where programming has been active between 2010 and 2015.

CDO	Region	Country	Agency Priority	Development Issue
1. ACDI/VOCA	Africa	Kenya	Food Security Economic Growth	Principles of sound cooperative law and strategies to improve the legislative and regulatory environments
ACDI/VOCA	Africa	Ethiopia	Food Security Economic Growth	Principles of sound cooperative law and strategies to improve the legislative and regulatory environments
ACDI/VOCA	Africa	Tanzania	Economic Growth	Principles of sound cooperative law and strategies to improve the legislative and regulatory environments
ACDI/VOCA	Latin America	Paraguay	Food Security Economic Growth	Principles of sound cooperative law and strategies to improve the legislative and regulatory environments
2. CCI	Africa	Ethiopia	Democracy and Good Governance	Principles of sound cooperative law and strategies to improve the legislative and regulatory environments Strengthening cooperative participation and governance
CCI	Africa	Kenya	Human and Institutional Capacity Development Policy Restoring foundations of growth Democracy and good governance Food security	Strengthening cooperative participation and governance
CCI	Africa	Nigeria	Human and Institutional Capacity Development Policy Restoring foundations of growth Democracy and good governance Food security	Alliance in support of cooperative development objectives Strengthening cooperative participation and governance Avoiding dependency: accelerating progress from donor support to commercial operations
CCI	Africa	Mozambique	Human and Institutional Capacity Development Policy Restoring foundations of growth	Strengthening cooperative participation and governance Addressing HIV/AIDS, Malaria and other Endemic diseases

CDO	Region	Country	Agency Priority	Development Issue
			Democracy and good governance Food security	
CCI	Asia	Mongolia	Human and Institutional Capacity Development Policy Restoring foundations of growth Democracy and good governance Food security	Principles of sound cooperative law and strategies to improve the legislative and regulatory environments
3. CRI	Latin America	Nicaragua	Economic Growth	Strengthening cooperative participation and governance
CRI	Africa	South Africa	Economic Growth	Strengthening cooperative participation and governance
4. Equal Exchange	Latin America	Ecuador	Economic Growth	Strengthening cooperative participation and governance
Equal Exchange	Latin America	Peru	Economic Growth	Strengthening cooperative participation and governance
Equal Exchange	Latin America	Dominican Republic	Economic Growth	Strengthening cooperative participation and governance
5. Global Communities	Africa	Rwanda	Food Security	Principles of sound cooperative law and strategies to improve the legislative and regulatory environments
Global Communities	Asia	Mongolia	Food Security	Principles of sound cooperative law and strategies to improve the legislative and regulatory environments
6. Health Partners	Africa	Uganda	Global Health Economic Growth Democracy and Good Governance	Avoiding dependency: accelerating progress from donor support to commercial operations Strengthening cooperative participation and governance
Health Partners	Africa	Rwanda	Global Health Economic Growth Democracy and Good Governance	Avoiding dependency: accelerating progress from donor support to commercial operations Strengthening cooperative participation and governance
Health Partners	Africa	Haiti	Global Health Economic Growth	Avoiding dependency: accelerating progress from donor support to commercial operations

CDO	Region	Country	Agency Priority	Development Issue
			Democracy and Good Governance	Principles of sound cooperative law and strategies to improve the legislative and regulatory environments
7. Land O'Lakes	Africa	Rwanda	Food Security Economic Growth Democracy and Good Governance	Change strategies Strengthening cooperative participation and governance Replication, scale and salience
Land O'Lakes	Africa	Kenya	Economic Growth	Avoiding dependency: accelerating progress from donor support to commercial operations
Land O'Lakes	Africa	Tanzania	Food Security Economic Growth Democracy and Good Governance	Change strategies Strengthening cooperative participation and governance
Land O'Lakes	Africa	Uganda	Food Security Economic Growth Democracy and Good Governance	Alliance in support of cooperative development objectives Strengthening cooperative participation and governance
Land O'Lakes	Africa	Ethiopia	Food Security Economic Growth Democracy and Good Governance	Replication, scale and salience Strengthening cooperative participation and governance
8. NCBA-CLUSA	Africa	Kenya	Food Security Democracy and Good Governance	Alliance in support of cooperative development objectives, Strengthening cooperative participation and governance
NCBA-CLUSA	Latin America	Guatemala	Food Security	Strengthening cooperative participation and governance
NCBA-CLUSA	Africa	Mozambique	Democracy and Good Governance	Principles of sound cooperative law and strategies to improve the legislative and regulatory environments
NCBA-CLUSA	Asia	Indonesia	Economic Growth	Strengthening cooperative participation and governance
9. NRECA	Asia	The Philippines	Economic Growth Democracy and Good Governance	Principles of sound cooperative law and strategies to improve the legislative and regulatory environments, Strengthening cooperative participation and governance, Change strategies

CDO	Region	Country	Agency Priority	Development Issue
NRECA	The Caribbean	Haiti	Food Security Economic Growth Climate Change Democracy and Good Governance	Avoiding dependency: accelerating progress from donor support to commercial operations
NRECA	Africa	Liberia	Food Security Economic Growth Climate Change Democracy and Good Governance Global Engagement Initiative	Strengthening cooperative participation and governance
NRECA	Latin America	Guatemala	Food Security Economic Growth Climate Change Democracy and Good Governance	Strengthening cooperative participation and governance
WOCCU	Africa	Kenya	Economic Growth	Replication, scale and salience
WOCCU	Latin America	Mexico	Economic Growth	Planning and information systems
WOCCU	Latin America	Guatemala	Economic Growth	Planning and information systems

ANNEX XIV: DOCUMENTS REVIEWED

The evaluation team reviewed over 400 documents that were provided by USAID/E3/LS. Table I shows the types and number of program documents.

TABLE I: PROGRAM DOCUMENTS FROM EACH OF CDP IMPLEMENTING PARTNER AND OCDC

Project Documents	Number of Program Documents
Semi-annual and annual progress reports	240
Work plans	88
PMPs	23
Evaluation reports	21
Other (e.g., research on social capital study, contracts, proposal applications)	36

OCDC Documents not included in the above table

- Enabling Cooperative Development: Principles for Legal Reform (CLARITY Initiative). 2006.
- Measuring Cooperative Success: New Challenges and Opportunities in Low and Mid-Income Countries (METRICS). John Mellor. 2009.

USAID Foundation Documents

- 1961 Foreign Assistance Act
- 2000 Support to Overseas Cooperative Development Act
- 2009 RFA

Secondary Documents

- 2008 CDP Performance Evaluation Report, Lowell Lynch
- Indicators to Measure the Economic Sustainability and Patronage Value of Agricultural Cooperatives: Research and Recommendations, SSG Advisors, March 2016
- Capacities at the Grassroots: Why They Matter and What Can Be Done?, Anirudh Krishna, Duke University, presentation at USAID, May 2016
- A Cooperative Life Cycle Framework, Michael Cook and Molly Burress, June 2009
- India: The Dairy Revolution. The Impact of India and the World Bank's Contribution. Wilfred Candler and Nalini Kumar. 1998.

ANNEX XV: EVALUATION TEAM BIOS

Dr. Barak Hoffman, Team Leader/Evaluation Specialist

Dr. Barak Hoffman is an economist and evaluator with more than 20 years of experience. He is currently a Political Economy Consultant with the World Bank and provides independent consulting services for various public and private institutions including USAID and MacArthur Foundation. His areas of expertise include developing monitoring and evaluation systems, and evaluating projects and activities across multiple sectors including economic development, governance, and accountability at the local level. He has served as team lead for numerous evaluations, including evaluations of programs focused on: capacity building of both local governments and civil society organizations, local community-based organizations working to improve access to water, and local government capacity to improve service delivery. Dr. Hoffman has also served as lead expert on projects and evaluations that focus on community-based organizations, effectiveness of sector associations, support for civil society organizations, and assistance to small-scale farmers. His experience includes field work in Kenya, South Africa, Tanzania, Rwanda, Burundi, El Salvador, Ghana, Egypt, Georgia, and Nigeria. He is fluent in Spanish and proficient in Swahili and Hebrew.

Mai Yang, Evaluation Coordinator

Mai Yang is an international development professional with experience in monitoring and evaluation, program development and management. She has developed and implemented performance management plans and reporting systems of large projects to help develop an organizational wide monitoring and evaluation plan and system to enable better understanding of impact. She has conducted research and authored report to inform strategic programmatic approaches, policy advocacy in various sectors including education, land rights, and refugee rights. She has conducted data collection and data quality assurance to support evaluations, research activities, and monitoring and evaluation systems of projects.

Dr. Gary Glass, Social Capital Study Lead

Gary Glass Jr. is a quantitative specialist with nine years of experience in data analysis with extensive knowledge of domestic and international survey research, including studies in the United States, Eurasia and China. Currently, he serves as a monitoring and evaluation specialist for MSI reviewing survey research instruments and creating analyses for quantitative and qualitative evaluation. Previously, he was a research fellow at the Office of Research Evaluation and Program Support where he conducted evaluation and analysis of educational programs. Earlier in his career, he was a data analytics consultant in Armenia designing mixed methods studies and managing a field research team. He has a proven track record of academic and applied research publications utilizing statistical analyses. He holds a PhD in Sustainable Development and a Masters in Analytical Processes from the University of Missouri, and a Bachelor's degree in Sociology from the University of California, Santa Cruz.

Barry Silver, Cooperative Development Expert

Barry Silver is a business and finance expert with more than 45 years of experience including the development and management of agricultural cooperatives in South America. Currently he serves as a President and CEO of CoopEquity providing financial consultancy. He also provides consultancy for USAID and ACDI-VOCA in development of capital plans, and financial and operational benchmarks for agricultural organizations and cooperatives. Previously, he was executive VP for National Cooperative Bank, NA where he was a member of Executive Council involved in lending, credit, product

development and portfolio management. He has a Master's degree in Business Administration from the American University and a Bachelors in Business from Nichols College. He speaks fluent Spanish.

Dr. Obuya Bagaka, Kenya Evaluation Specialist

Dr. Obuya Bagaka is a monitoring and evaluation specialist with experience in cooperative development, local government capacity building and assessment, and public sector. He has experience organizing and conducting group interviews, individual interviews, and research. Additionally, he has developed, designed, and participated in strategic planning for public and private programs. He holds a PhD in Public Administration and Policy from Northern Illinois University.

Andrew Kezala, Uganda Evaluation Specialist

Mr. Kezala is an agribusiness development professional with 10 years' experience in agribusiness development in Northern, Eastern and Central Uganda with experience in designing new innovative business models that benefit the poor and increase climate resilience using the M4P approach, support, research, design and manage rural agricultural value chain development programs, experience in business strategy development, private sector investment identification and pursue private sector partners to invest in a new business idea on purely commercial terms.

Giovanna Monteverde, Peru Evaluation Specialist

As an international research manager and monitoring and evaluation specialist, Ms. Monteverde has 10 years of experience evaluating development programs and conducting quantitative and qualitative research in more than 25 countries of the world specially in Latin America including research plan and logic model development, performance measure testing, instruments development, fieldwork coordination, and data analysis (multivariate analysis-SPSS). Her experience includes managing research studies related to International Development, Public Diplomacy, Food Security, Social Inclusion, Mobile Banking, Communication, and Social Responsibility for organizations such as USAID, Gates Foundation, ICF International, BBC World, and Voice of America.

Gloria Vuluku, Kenya FGD Facilitator

Ms. Vuluku is a research and M&E professional with five years of experience. She was previously a Program Officer for the Institute for Development Studies where she oversaw ongoing projects and studies. She has designed and led FGDs and KI interviews in the field in supervisory role and team member roles. Ms. Vuluku has worked in the DRG sector to research access to justice for vulnerable groups in Kenya with UN Women, Uraia, and UNDP Amkeni. She has designed data collection tools and performed analysis to prepare progress reports and presentations for the Institute for Development Studies. Ms. Vuluku graduated from the University of Nairobi with a Master of Arts in Political Science and Public Administration.

Dr. Brent Vickers, Desk Review Researcher

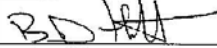
Dr. Vickers is a researcher with several years of experience collecting and analyzing qualitative and quantitative data in overseas, rural communities, including in Vietnam, Somoa, and Guam. He has conducted multivariate analysis from large data sets, using content analysis of qualitative data, preparing research instruments, and interviewing key informants and FGDs. He has a PhD in Anthropology from the University of Georgia.

ANNEX XVI: CONFLICT OF INTEREST DISCLOSURE FORMS

Disclosure of Conflict of Interest for USAID Evaluation Team Members

Name	Barak D. Hoffman
Title	Consultant
Organization	MSI
Evaluation Position?	<input checked="" type="checkbox"/> Team Leader <input type="checkbox"/> Team member
Evaluation Award Number (contract or other instrument)	TO AID- 024A -M-13-02017
USAID Project(s) Evaluated (Include project name(s), implementer name(s) and award number(s), if applicable)	Cooperative Development Program (multiple implementers + award #s)
I have real or potential conflicts of interest to disclose.	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
If yes answered above, I disclose the following facts: <i>Real or potential conflicts of interest may include, but are not limited to:</i> <ol style="list-style-type: none"> 1. Close family member who is an employee of the USAID operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated. 2. Financial interest that is direct, or is significant though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation. 3. Current or previous direct or significant though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project. 4. Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated. 5. Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated. 6. Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation. 	


I certify (1) that I have completed this disclosure form fully and to the best of my ability and (2) that I will update this disclosure form promptly if relevant circumstances change. If I gain access to proprietary information of other companies, then I agree to protect their information from unauthorized use or disclosure for as long as it remains proprietary and refrain from using the information for any purpose other than that for which it was furnished.

Signature	
Date	April 12, 2017

Disclosure of Conflict of Interest for USAID Evaluation Team Members

Name	Mai Yang
Title	Technical Associate
Organization	MSI
Evaluation Position?	<input type="checkbox"/> Team Leader <input checked="" type="checkbox"/> Team member
Evaluation Award Number <i>(contract or other instrument)</i>	AID-OAA-M-13-00017
USAID Project(s) Evaluated <i>(Include project name(s), implementer name(s) and award number(s), if applicable)</i>	Cooperative Development Program (CDP)
I have real or potential conflicts of interest to disclose.	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
If yes answered above, I disclose the following facts: <i>Real or potential conflicts of interest may include, but are not limited to:</i> <ol style="list-style-type: none"> 1. Close family member who is an employee of the USAID operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated. 2. Financial interest that is direct, or is significant though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation. 3. Current or previous direct or significant though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project. 4. Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated. 5. Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated. 6. Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation. 	

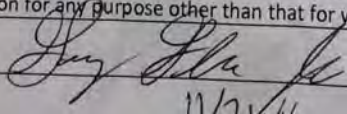
I certify (1) that I have completed this disclosure form fully and to the best of my ability and (2) that I will update this disclosure form promptly if relevant circumstances change. If I gain access to proprietary information of other companies, then I agree to protect their information from unauthorized use or disclosure for as long as it remains proprietary and refrain from using the information for any purpose other than that for which it was furnished.

Signature	
Date	11/23/16

Disclosure of Conflict of Interest for USAID Evaluation Team Members

Name	Gary Glass Jr.
Title	Technical Manager
Organization	Management Systems International
Evaluation Position?	<input type="checkbox"/> Team Leader <input checked="" type="checkbox"/> Team member
Evaluation Award Number (contract or other instrument)	
USAID Project(s) Evaluated (Include project name(s), implementer name(s) and award number(s), if applicable)	
I have real or potential conflicts of interest to disclose.	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
<p>If yes answered above, I disclose the following facts:</p> <p><i>Real or potential conflicts of interest may include, but are not limited to:</i></p> <ol style="list-style-type: none"> 1. Close family member who is an employee of the USAID operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated. 2. Financial interest that is direct, or is significant though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation. 3. Current or previous direct or significant though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project. 4. Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated. 5. Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated. 6. Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation. 	

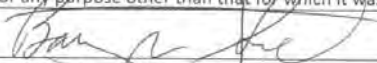
I certify (1) that I have completed this disclosure form fully and to the best of my ability and (2) that I will update this disclosure form promptly if relevant circumstances change. If I gain access to proprietary information of other companies, then I agree to protect their information from unauthorized use or disclosure for as long as it remains proprietary and refrain from using the information for any purpose other than that for which it was furnished.

Signature	
Date	11/21/16

Disclosure of Conflict of Interest for USAID Evaluation Team Members

Name	Barry W. Silver
Title	Consultant
Organization	CoopEquity, LLC
Evaluation Position?	<input type="checkbox"/> Team Leader <input checked="" type="checkbox"/> Team member
Evaluation Award Number (contract or other instrument)	350000.57.500-03-11
USAID Project(s) Evaluated (Include project name(s), implementer name(s) and award number(s), if applicable)	E3 Global Analytics and Evaluation for period 2010-2015 for USAID Cooperative Development Program
I have real or potential conflicts of interest to disclose.	<input checked="" type="radio"/> Yes <input type="radio"/> No
If yes answered above, I disclose the following facts: <i>Real or potential conflicts of interest may include, but are not limited to:</i> <ol style="list-style-type: none"> 1. Close family member who is an employee of the USAID operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated. 2. Financial interest that is direct, or is significant though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation. 3. Current or previous direct or significant though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project. 4. Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated. 5. Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated. 6. Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation. 	<p>Applies to No. 3--I worked as a consultant with Equal Exchange from 2012-2016 providing expertise on cooperative development and evaluation of agricultural cooperative equity programs in cacao and coffee for the three agricultural cooperatives in Peru and a small number of like cooperatives in Ecuador. In this consultant role, I worked with the coop boards and management, suggesting equity mechanisms and training for coop members. I did not always agree with the disclosure strategies identified by Equal Exchange as they related to one particular cooperative, Oro Verde, based in Lamas, Peru. I continue to provide advice to EE on equity and training programs for Peruvian cooperatives. BWS</p>


I certify (1) that I have completed this disclosure form fully and to the best of my ability and (2) that I will update this disclosure form promptly if relevant circumstances change. If I gain access to proprietary information of other companies, then I agree to protect their information from unauthorized use or disclosure for as long as it remains proprietary and refrain from using the information for any purpose other than that for which it was furnished.

Signature	
Date	September 22, 2016

Disclosure of Conflict of Interest for USAID Evaluation Team Members

Name	Andrew Kezala
Title	Researcher
Organization	Palladium International, LLC
Evaluation Position?	<input type="checkbox"/> Team Leader <input checked="" type="checkbox"/> Team member
Evaluation Award Number (contract or other instrument)	TO# AID-OAA-M-17-00017; Contract# GS-10F182AA
USAID Project(s) Evaluated (include project name(s), implementer name(s) and award number(s), if applicable)	Project: Cooperative Development Program PE (#046)
I have real or potential conflicts of interest to disclose.	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
If yes answered above, I disclose the following facts: <i>Real or potential conflicts of interest may include, but are not limited to:</i> <ol style="list-style-type: none"> 1. Close family member who is an employee of the USAID operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated. 2. Financial interest that is direct, or is significant though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation. 3. Current or previous direct or significant though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project. 4. Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated. 5. Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated. 6. Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation. 	

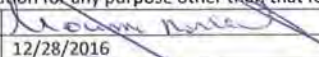
I certify (1) that I have completed this disclosure form fully and to the best of my ability and (2) that I will update this disclosure form promptly if relevant circumstances change. If I gain access to proprietary information of other companies, then I agree to protect their information from unauthorized use or disclosure for as long as it remains proprietary and refrain from using the information for any purpose other than that for which it was furnished.

Signature	
Date	11/22/2016

Disclosure of Conflict of Interest for USAID Evaluation Team Members

Name	Giovanna Monteverde
Title	Researcher
Organization	Palladium International, LLC
Evaluation Position?	<input type="checkbox"/> Team Leader <input checked="" type="checkbox"/> Team member
Evaluation Award Number (contract or other instrument)	TO# AID-0AA-M-17-00017; Contract# GS-10F182AA
USAID Project(s) Evaluated (Include project name(s), implementer name(s) and award number(s), if applicable)	Project: Cooperative Development Program (CDP) Performance Evaluation (PE) (#046)
I have real or potential conflicts of interest to disclose.	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
If yes answered above, I disclose the following facts: <i>Real or potential conflicts of interest may include, but are not limited to:</i> <ol style="list-style-type: none"> 1. Close family member who is an employee of the USAID operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated. 2. Financial interest that is direct, or is significant though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation. 3. Current or previous direct or significant though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project. 4. Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated. 5. Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated. 6. Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation. 	

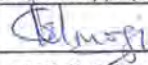
I certify (1) that I have completed this disclosure form fully and to the best of my ability and (2) that I will update this disclosure form promptly if relevant circumstances change. If I gain access to proprietary information of other companies, then I agree to protect their information from unauthorized use or disclosure for as long as it remains proprietary and refrain from using the information for any purpose other than that for which it was furnished.

Signature	
Date	12/28/2016

Disclosure of Conflict of Interest for USAID Evaluation Team Members

Name	Gloria Mmoji Vuluku
Title	Researcher
Organization	Management Systems International
Evaluation Position?	<input type="checkbox"/> Team Leader <input checked="" type="checkbox"/> Team member
Evaluation Award Number (contract or other instrument)	350000.57-500-03-15
USAID Project(s) Evaluated (Include project name(s), implementer name(s) and award number(s), if applicable)	1. Kenya Tuna Uwezo (KTU) implemented by Global Communities 720700.40-500-03-15 2. Peace Initiative Kenya (PIK) implemented by International Rescue Committee 720700.38-500-03-15
I have real or potential conflicts of interest to disclose.	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
If yes answered above, I disclose the following facts: <i>Real or potential conflicts of interest may include, but are not limited to:</i> 1. Close family member who is an employee of the USAID operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated. 2. Financial interest that is direct, or is significant though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation. 3. Current or previous direct or significant though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project. 4. Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated. 5. Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated. 6. Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation.	

I certify (1) that I have completed this disclosure form fully and to the best of my ability and (2) that I will update this disclosure form promptly if relevant circumstances change. If I gain access to proprietary information of other companies, then I agree to protect their information from unauthorized use or disclosure for as long as it remains proprietary and refrain from using the information for any purpose other than that for which it was furnished.

Signature	
Date	4/12/2017

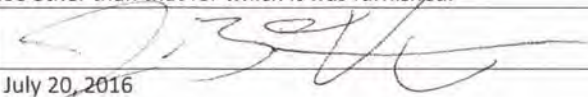
4. Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated.
5. Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated.
6. Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation.

Disclosure of Conflict of Interest for USAID Evaluation Team Members

Name	Brent Vickers
Title	Researcher
Organization	Palladium International, LLC
Evaluation Position?	<input type="checkbox"/> Team Leader <input checked="" type="checkbox"/> Team member
Evaluation Award Number <i>(contract or other instrument)</i>	TO# AID-OAA-M-13-00017; Contract# GS-10F182AA
USAID Project(s) Evaluated <i>(Include project name(s), implementer name(s) and award number(s), if applicable)</i>	Project: Cooperative Development Activity #46
I have real or potential conflicts of interest to disclose.	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
If yes answered above, I disclose the following facts: <i>Real or potential conflicts of interest may include, but are not limited to:</i> 1. <i>Close family member who is an employee of the USAID operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated.</i> 2. <i>Financial interest that is direct, or is significant though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation.</i>	

<p>3. <i>Current or previous direct or significant though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project.</i></p> <p>4. <i>Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated.</i></p> <p>5. <i>Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated.</i></p> <p>6. <i>Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation.</i></p>	
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I certify (1) that I have completed this disclosure form fully and to the best of my ability and (2) that I will update this disclosure form promptly if relevant circumstances change. If I gain access to proprietary information of other companies, then I agree to protect their information from unauthorized use or disclosure for as long as it remains proprietary and refrain from using the information for any purpose other than that for which it was furnished.

Signature	
Date	July 20, 2016

ANNEX XVII: EVALUATION DISSEMINATION PLAN

This annex summarizes the dissemination activities anticipated for this evaluation, as agreed between the evaluation team and USAID/E3/LS.

Upon USAID's acceptance of the final report, the evaluation team will upload the report to USAID's Development Experience Clearinghouse. At that time, the evaluation team will also coordinate with USAID/E3/LS to schedule a presentation of the evaluation's key findings, conclusions, and recommendations to USAID/E3/LS staff as well as other relevant Agency staff, such as monitoring and evaluation points of contact, staff from the E3 Office of Planning, Learning, and Coordination, and Evaluation Interest Group members. Additionally, the evaluation team will make a presentation of relevant evaluation findings, conclusions, and recommendations to the OCDC board at its next board meeting, anticipated to take place at the end of May 2017.

USAID/E3/LS also plans to schedule briefing sessions with CDP implementing partners and their field staff on evaluation findings and recommendations as well as to discuss the dissemination of lessons learned from the evaluation.

Dissemination Activities	Estimated Date
Presentation of evaluation findings, conclusions, and recommendations to USAID/E3/LS and invitees	o/a May 18, 2017
Presentation to OCDC board	o/a May 25, 2017
Debriefings to individual CDP implementing partners on relevant recommendations (to be arranged and conducted by USAID/E3/LS)	TBD
Consultations with individual CDP implementing partners and their field staff on disseminating evaluation findings (to be arranged and conducted by USAID/E3/LS)	TBD

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Washington, DC 20004