PROPOSAL AND GRANT APPLICATIONS

An important resource strategy to secure organizational funding is identifying and writing proposal and grant applications. **Proposal/grant development** is generally done in response to a procurement or solicitation released by a funder or investor.

Your organization can use this method of resource mobilization to obtain funds for one- to six-year projects as opposed to business planning, which secures funding for the development and launch of a single product and/or service. Proposal development can yield considerable revenue for an organization.

This section of the Resource Mobilization I-Kit will cover the steps your organization should take to identify proposal and grant opportunities, write a proposal/grant and finally manage a proposal/grant development process.

LESSON 1: Gather Intelligence

It is imperative that your organization have a resource mobilization team or at least one resource mobilization officer that is responsible for monitoring funder and investor trends continuously. Intelligence gathering is the ongoing collection of information about funders/investors, funding opportunities, other organizations and the political environment.

This process will help your organization:

- Identify prospective funders/investors.
- Determine whether or not to compete for a procurement.
- Monitor market trends, such as the diseases or technical areas funders are prioritizing.
- Identify competitor organizations.

There are three steps to intelligence gathering.

There are various strategies an organization can use to gather intelligence, many of which include:

Scan	Track	Focus
Cast a wide net to see what kinds of funders and/or proposal opportunities exist or are to be released in the future.	Identify the specific funders or opportunities the organization would like to prioritize for closer consideration.	Make a decision to engage a funder or pursue a proposal/ grant application. When selecting which opportunities to pursue, an organization must always consider whether those opportunities align with the vision and mission of the organization.

- Researching funders, competitor organizations and solicitations on the Internet.
- Conducting market research studies (see Section 3. Market for your Business Plan under Revenue Option: The Business Plan).
- Attending public health conferences, summits or meetings.
- Participating in social networks, such as Facebook, Twitter and LinkedIn.

Funder Information Website Links

Instructions: On the next page are examples of a few important funders your organizations should research.

1. Click on the links for each funder.
2. Gather information that may help your organization establish a relationship with these investors.

WEBSITE LINKS

Governments
US Government contracts: http://www.fedbizopps.gov/
US Government grants: http://www.grants.gov/
PEPFAR: http://www.pepfar.gov/
DFID: http://www.dfid.gov.uk/
DANIDA: http://www.um.dk/en/
SIDA: http://www.sida.se/English

Multilaterals
Global Fund: http://www.theglobalfund.org/
World Bank: http://www.worldbank.org/
EU: http://ec.europa.eu/contracts_grants/index_en.htm
UNICEF: http://www.unicef.org/
UNAIDS: http://www.unaids.org/
UNFPA: http://www.unfpa.org/

Key Foundations
Bill and Melinda Gates Foundation: http://www.gatesfoundation.org/
David and Lucile Packard Foundation: http://www.packard.org/
Ford Foundation: http://www.fordfoundation.org/
Johnson & Johnson Foundation: http://www.jnj.com/our-giving
Clinton Foundation: https://www.clintonfoundation.org/

This information can help your organization position itself to win proposal/grant awards from these funders.

It is also important that your organization maintain a funder/investor database, as well as a proposal/grant opportunities tracker, where they can store key information from the intelligence gathering process. It is useful to systematically list all prospective funders and investors who may be interested in working with your organization. Developing such a list will inform you about their social interests and funding patterns.

Funder and Investor Database Template:
http://sbccimplementationkits.org/resource-mobilization/wp-content/uploads/sites/8/2015/07/Funder-Donor-Database.xls

Similarly, your organization may come across various procurements and solicitations that have either been released or will be released in the future worth pursuing. The opportunities tracker will help you organize current procurements that are in development, those that have been submitted and others that may be coming in the future. For this to be useful, the tracker should be updated on a daily basis.

Opportunities Tracker Template:
http://sbccimplementationkits.org/resource-mobilization/wp-content/uploads/sites/8/2015/09/Opportunities-Tracker-2.docx

LESSON 2: Approach Funders and Investors

Once you have completed your intelligence gathering you will know which funders your organization should begin, or continue to, develop a relationship with overtime. It is important to approach funders when you would like to market your organization and potentially influence their funding priorities. You also can approach investors when you have completed a concept paper/abstract for a potential project and need to find funding for this new opportunity.

There are two presentation techniques you can use to approach funders:

1. **Informal:** When an organization informally meets representatives from a potential funder at a conference or other gathering.
2. **Formal:** When an organization has a scheduled meeting or appointment with a potential funder.

With informal presentations, your organization has a limited amount of time to introduce itself and make an impression on the investor. With both formal and informal presentations, you should hit the following three key points when presenting your organization to potential funders:

1. Your organization's name, vision and mission.
2. The proposed opportunity your organization would like to offer or currently offers to accomplish its vision and mission.
3. How your organization is uniquely qualified to deliver the proposed opportunity.

The most effective way for you to prepare for both formal and informal presentations is to rehearse. Every person in your organization should be prepared to give at least an informal presentation to a prospective funder. If your organization can make a good first impression through an informal presentation, most likely that can lead into a more formal meeting with the funder.

Preparing Informal Presentations

Instructions: Read the following scenario and write your responses to points 1-3 on the next page.

1. Tell Bill in one or two sentences what your organization hopes to accomplish in society—its mission or the reason it exists.
2. Tell Bill in one or two sentences what new product, service or project your organization needs to develop and introduce to accomplish its mission more effectively.
3. Tell Bill in one sentence how your organization is uniquely qualified to deliver this new product, service or project.

Preparing for Formal Presentations

Instructions: Read and complete the following steps:

1. Choose a potential funder or investor from your database and prepare a short description of the characteristics of this selected donor.
2. Choose the adequate presentation for this investor and tailor it (if necessary) to speak to the mission and goals of the potential funder or investor.

THE ELEVATOR PITCH

Imagine you have just entered an elevator on the ground floor of a major hotel in the capital city, where you have been invited to attend a reception for donors and philanthropists. Standing next to you is Bill Gates. You are both going to the reception. You introduce yourself and he asks you what kind of work you do. You realize you have about three minutes to tell him about your organization and why it is important to develop and deliver a new product or service you have identified or implement a new project. Your hope is that he will be moved by what you tell him and compelled to fund the development of your organization's new product or service or project.

3. Gather your team members, including those who did and did not participate in the design of the proposed opportunity.
4. Ask team members to pretend that they are the described funder or investor. Tell the group to save all feedback for after you have finished.
5. Give your presentation without interruptions. Be sure not to exceed 15 minutes.
6. Solicit questions from the team members.
7. Ask for feedback from the group.

It is also key that organizations are knowledgeable about the technical areas their prospective or current funders are investing in to achieve their own visions and missions. Thus, it is extremely important that an organization tailor its presentations to each individual funder or investor. An organization should use the information from its intelligence gathering to highlight how their products, services and projects can help the funder achieve its goals.

Tailoring Informal and Formal Presentations

Instructions: Read and complete the following steps:

1. Open the funder database and review the information you have collected in your intelligence gathering.
2. Identify the two to five most likely funders or investors.
3. Prepare the elements of your "pitch" to these prospective funders and investors, using the following guiding questions as a guide:
    - Does your organization adhere and relate to the main focus or interests of the institution?
    - Does this put your organization in direct competition with a potential funder or investor (will it make your organization a competitor)?
    - How does your organization contribute to the common good and how can you emphasize this to best attract the interest of a potential funder or investor?
    - How can you present your organizational impact so it is clear to the funder or investor?
    - What elements from the generic presentation should you emphasize or eliminate for this presentation?

Lastly, most funders are not likely to give their commitment after seeing only an informal (or sometimes even formal) presentation. Relationship building, particularly with new funders and investors, takes time and persistence and should be an ongoing process rather than a one-time presentation. Thus, your organization will need to follow up with those funders that showed the most interest. There should always be one point of contact (preferably the presenter) responsible for re-engaging the funder. Multiple points of contact can be confusing for the funder.

Do	Don't
Below are examples of follow-up techniques your organization can use to re-engage a funder: • DO send a "Thank You" email for the meeting. • DO make follow-up phone calls. • DO schedule follow-up meetings. • DO provide additional details from the presentation. • DO establish links with the decision-makers or senior executives of the company or organization.	However, your organization should also be aware of what not to do when following-up with funders. Below is a list of follow-up practices organizations should not use when approaching funders: • DO NOT post one- or two-line messages on websites and online forums, requesting donations or funds. • DO NOT send or forward emails to donor agencies asking for funds pointlessly. • DO NOT copy proposals from other organizations and send them. It will spoil the reputation of your organization. • DO NOT send unrelated funding queries or unsolicited proposals. It is not a good idea to request funds for HIV/AIDS prevention from a donor that only provides grants for malaria. • DO NOT post your bank account details online hoping that there will be donations dropping in it. Nobody will donate your organization by seeing just your back account.

LESSON 3: Complete Risk Assessment

At this point, we have reviewed how your organization should gather intelligence on potential funders and investors, as well as on current and future grant or proposal applications. We also have discussed different methodologies for approaching potential funders and investors, and how your organization should tailor its presentations to each individual funder. This section will focus on how your organization should determine whether to invest in a particular grant or proposal opportunity.

Typically, funders and investors issue a written request to solicit proposals in a competitive, transparent manner for interested and qualified parties. These requests come out through different funding mechanisms, which are defined in the table below.

Mechanism	Definition
Concept Paper /Expressions of Interest (EOI)	• Summary of a project that reflects the interests, experience and expertise of the organization to address a particular issue or problem. • Donors sometimes use it as a pre-qualification process to later request a full proposal. • Can be a marketing tool to present your organization to private sector funders.
Request for Proposals (RFP)	• Competitive process for issuing an award to an organization that will implement a program/project to address a particular issue or problem. • This is a contract.
Request for Applications (RFA)	• Similar to RFPs, but sometimes they are required to be submitted along with certain formats or application templates. • This is similar to a grant.
Request for Quotations (RFQ)	Competitive process of issuing an award to bidders when the organization is buying a specific service or product.
Public Private Partnerships (PPP)	A collaborative initiative that combines resources from the public sector with resources from the private sector to accomplish a specific goal.
Annual Program Statement (APS)	The APS is a means for disseminating information to prospective applicants so that they may develop and submit applications for USAID funding.
Grand Challenges for Development Initiative (GCDI)	GCDI grants are disbursed by USAID for the purposes of defining problems, identifying constraints, and providing evidence based analysis and systematized solutions.

These requests usually provide detailed information about the products, services and/or programs the funder wishes applicants to offer in a specific geographic region.

It is not very realistic or cost-effective for an organization to invest time and resources on every procurement that a funder releases. Organizations should be strategic about how they use existing resources to develop new business.

Your organization should consider the following factors before pursuing a particular procurement:

- The degree the procurement aligns with your organization's mission and vision
- The degree of interest for your organization in region/zone

- The degree of interest in the technical area or approach
- The degree of interest in the funder
- The likelihood of successful implementation
- The likelihood of leading to other new opportunities
- The impact on other current and/or future projects

While some procurements may be riskier investments than others, your organization should weigh the costs and benefits to every procurement. There may be times when it is opportune for your organization to invest in a high-risk procurement. For example, investing in a high-risk procurement may be worthwhile if it provides an opportunity for your organization to work or familiarize itself with a new funder.

Working with a new funder helps an organization diversify its funding streams and potentially bring more business to the organization.

Risk Assessment
Each organization should have a method for measuring the costs and benefits (or risk) of a procurement. This I-Kit provides organizations with a suggested methodology for assessing the risk of a procurement.

Opportunity Risk Assessment Tool:
https://sbccimplementationkits.org/resource-mobilization/wp-content/uploads/sites/8/2015/07/OpportunityRiskAssessment_Tool.xlsx

Stakeholder Commitment
Once your organization has selected which procurements it will pursue, it is critical that everyone within your organization be committed to investing the time and resources required to develop a successful proposal. With the results from the opportunity assessment, the resource mobilization team should then go to your organization's stakeholders to secure organizational commitment for the opportunity.

Stakeholder's Commitment Worksheet:
http://sbccimplementationkits.org/resource-mobilization/wp-content/uploads/sites/8/2015/09/Stakeholders-2.docx

LESSON 4: Analyze a Solicitation

Once a procurement has been released and your organization has decided to respond to the solicitation, the first step in developing a grant or proposal is to critically read through the information provided in the procurement. Before even beginning to write a proposal, every person on the proposal development team should read through the procurement at least once.

While reading through a procurement, make notes of the following information:

- The stated results that the funder is seeking
- The program components
- Any request for key personnel
- Available funding and project duration
- Deadline for submission
- Submission requirements
- Evaluation criteria
- Other key information and requirements

Procurement Analysis Worksheet:
http://sbccimplementationkits.org/resource-mobilization/wp-content/uploads/sites/8/2015/09/Procurement-Analysis-Worksheet-2.docx

Many proposals are unsuccessful because organizations do not take the time to read through the procurement details carefully. Not doing so often results in proposals that are missing critical information requested by the funder. An organization may misinterpret the funder's program goals and objectives which can also lead to an unresponsive proposal. To avoid these pitfalls, your organization can begin to develop an outline of the technical proposal while going through the procurement details. Doing so can help ensure that a proposal is responding directly to each criteria stated in the procurement.

Technical Proposal Outline Template:
http://sbccimplementationkits.org/resource-mobilization/wp-content/uploads/sites/8/2015/09/technical-proposal-template2.docx

LESSON 5: Manage the Proposal Process

Knowing how to properly manage a proposal process is almost equally as important as knowing how to develop a proposal.

The Development Team

To begin, you should put together a proposal development team, made up of at least two people: one person responsible for the technical proposal (which would include the workplan, timeline, monitoring and evaluation [M&E] plan, etc.) and another in charge of creating the budget.

Ideally, however, your organization should have a larger proposal development team, consisting of a finance officer (accountant or budget analyst), technical expert, human resource manager, reviewer and proposal manager as outlined below:

Proposal Manager

- Coordinates the proposal development process
- Responsible for the submission of a responsive, winning proposal on time

Budgeter

- Collects budget assumptions from technical/program expert, proposal manager and others
- Develops cost proposal (budget)

Technical/Program Expert(s)

- Contributes to the design of the technical strategy
- Writes some of the technical content

Recruiter/Staffing Expert

- Reviews staffing requirements of RFP
- Develops job descriptions
- Identifies, interviews and recruits key personnel

Writer

- Puts the proposal pieces together
- Edits the content
- Could also be a technical expert that contributes to the design of technical strategy

Reviewer

- Reviews proposal content
- Provides feedback and comments for improvement

It is possible for one person to take on multiple roles described above, but an organization should have staff that could fulfill the above responsibilities during a proposal development process.

The Calendar

Once an organization has put together a proposal development team, the next most important step is to create a proposal development calendar. This calendar should demonstrate key deadlines for each component of a proposal, such as the technical drafts, workplan and timeline, M&E plan, budget and more.

When a proposal team develops a calendar, they should start with the formal proposal submission deadline and then work backwards to set all other deadlines. The proposal manager should be responsible for constantly updating the calendar during the proposal development process and ensuring that all members of the proposal development team have access to the calendar. To avoid confusion, it is key that only one person is responsible for developing and updating the calendar. Lastly, it is always a good idea to over-estimate the time it will take to complete the various components of a proposal to give your organization some cushion in case deadlines are not met.

Proposal Development Calendar Template:
http://sbccimplementationkits.org/resource-mobilization/wp-content/uploads/sites/8/2015/07/ProposalDevelopmentCalendar_Template.docx

The Review Process
Proposal managers should always ensure that the people who will be reviewing the proposal are not part of the proposal development team. Ideally, your organization should have at least two proposal reviewers: one person from outside the organization (who is not from a competing organization) and a second within the organization (who is not part of the proposal development team). Reviewers should be given the RFA/P, as well as the proposal development calendar, and must be kept informed of when they will be receiving drafts and final versions of the proposal. It is helpful to provide the reviewers with guiding questions they can use to evaluate the proposal. In general, reviewers should be asking themselves the following questions when reviewing the technical and cost proposals:

- Is the technical proposal responsive to procurement or funder priorities?
- Are the vision, objectives of the project and the proposed strategies clear and coherent?
- Does the proposal demonstrate depth and knowledge of the country and technical expertise area?
- Is the proposed strategy innovative yet realistic for the situation?
- Does the proposal demonstrate convincingly that the proposed team (partners and staff) is the winning team?
- Does the management plan enable the team to achieve the strategy?
- Format and style: Is the proposal clear, concise and compelling?
- Do the costs look reasonable and realistic to achieve the project objectives?
- Is the budget responsive to the procurement requirements?
- Are there any discrepancies or omissions in the technical proposal?
- Is the budget structured according to current funder's requirements and trends?

Production
Lastly, the procurement will always include information on how qualified organizations should produce and submit a proposal. It is extremely important that your organization adhere to the requirements listed in the procurement. One late submission or incorrect format can lead a funder to disqualify an organization from competing in a procurement.

Each proposal manager should be responsible for developing a production check list based on the information from the solicitation. The proposal manager should go through the checklist carefully before submitting a proposal.

Production Checklist Template:
https://sbccimplementationkits.org/resource-mobilization/wp-content/uploads/sites/8/2017/04/ProductionChecklist_Template_042017.docx

GUIDING QUESTIONS FOR REVIEWERS

Contextual Analysis

1. Does our analysis of the context provide an accurate and convincing case for our proposed interventions?
2. Do we adequately identify the causes of health problems, that is, does our analysis inform/strengthen the causal framework?
3. Have relevant actors been identified?

Technical Approach

Are the intended beneficiaries and problems to be addressed clearly described and appropriately quantified?

Technical Interventions and Project Activities

1. Is there a clear explanation of what the proposed project will do, how and by whom?
2. Are the specific approaches and methods to be used clearly described?
3. Is a convincing case made that these are appropriate and likely to be effective?
4. Has research or evaluation of previous projects informed proposed programming?
5. Do we state clearly where the project will be implemented and why the locale is appropriate?
6. Are the roles of any partner organizations or governmental bodies clear and appropriate?
7. Are the outcomes to be achieved both significant and measurable?
8. Are appropriate local partners involved?
9. Have we identified existing programs working in this area and outlined methods of collaboration?

Health Impact and Sustainability

1. Will proposed interventions directly address intended health outcomes?
2. Are the proposed interventions appropriate in the specific implementation sites?
3. Are the proposed interventions realistic?
4. Do we make a convincing case that the activities proposed will be sustainable beyond the life of the project?

Post-Project Plan and Assumptions and Constraints

1. Is the post-project plan clear and achievable?
2. Have underlying assumptions been made clear?
3. Are potential constraints identified and addressed?

Monitoring and Evaluation

1. Is the M&E plan clear, realistic and likely to generate adequate project management information?
2. Have we committed the necessary expertise for effective M&E?
3. Is there potential learning that would be of significant interest to USAID?

Management, Implementation and Staffing

1. Is there a clear overview of the timeline for the major stages of the proposed project?
2. Is the headquarters-project relationship adequately described?
3. Have we proposed well-qualified staff?
4. Are the roles of any partner organizations adequately and clearly described?
5. Are the roles of relevant government ministries and county representatives adequately described?

Institutional Capabilities and Past Performance

1. Have we described our track record implementing this type of project?
2. Have we demonstrated the necessary technical expertise?
3. Have we made a convincing case for strong management and implementation?

LESSON 6: Write a Proposal

Once every person on the proposal development team has read through the solicitation and created the draft technical outline, it is then time to begin writing the proposal. There are several parts or components to a proposal. Below are a few of the most common.

The Executive Summary

The executive summary is often considered one of the most important components of a proposal. Some funders do not read the entire proposal. Thus, the executive summary serves as an opportunity to hook the reader so they are interested in reading the rest of the document in more detail. The executive summary should sell the organization and demonstrate why the funder should pick your organization over a competitor. It should be clear and concise (no more than two pages), and must summarize the content of the whole proposal. Most importantly, the executive summary should be written last, once the entire proposal has been completed.

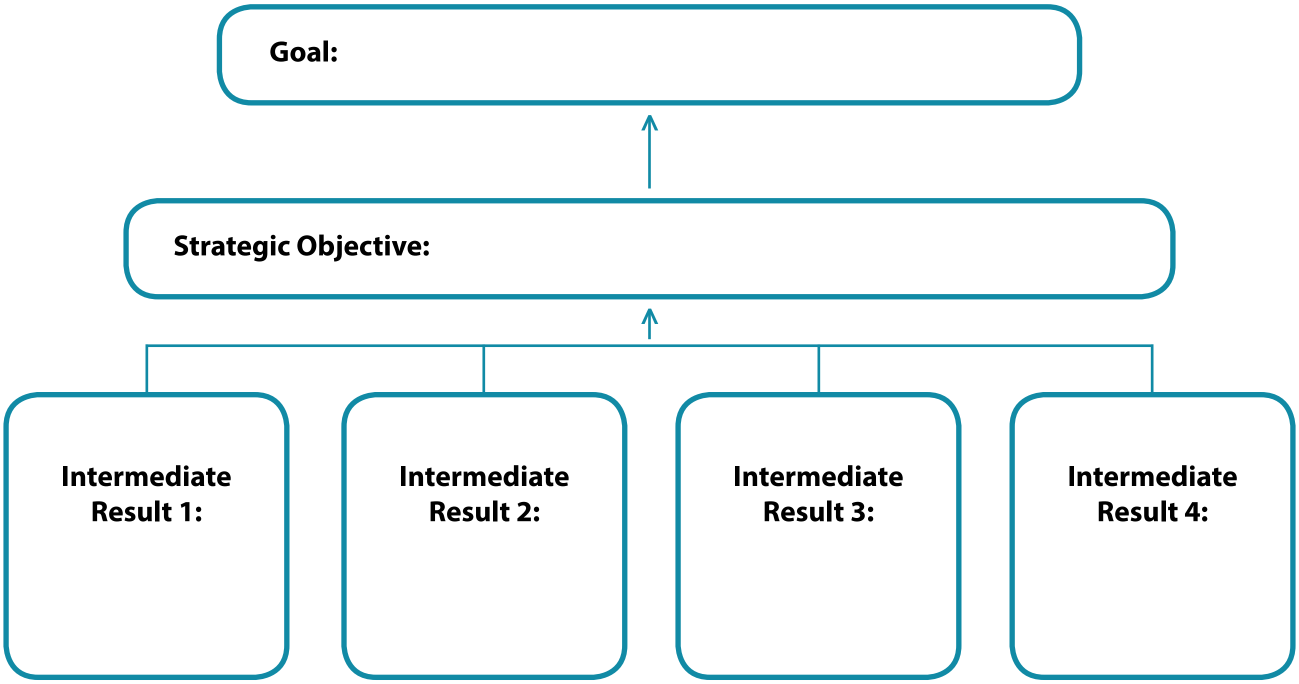
Below are some guiding questions that can help you write your executive summary:

1. Why choose your organization?
    - State the problem in a few sentences
    - Emphasizes how the unique strengths of your organization and partners will be incorporated to address the problem
2. What is your technical strategic approach and why is it the best approach to achieve the funder's objectives?
    - Demonstrates the project design, showing how it will achieve the program results and contribute to the funder's goals and objectives
3. Why is your staff the best one to carry out this work?
    - Describe staff that will be working on the project
4. Why is your management plan the best way to carry out the proposed strategy (if applicable)?
    - Highlight the management plan, stressing partnerships, presence in key geographic areas
5. Closing: What will your partnership, strategy, management plan and personnel do to help the funder accomplish its goal?
    - Describe why your organization's performance makes you the best choice

The Technical Approach

The technical proposal is the crux of the entire grant or proposal. It should tell the funder exactly how your organization will achieve the project's overall goals.

Every technical proposal should begin with a **Results Framework** (**http://sbccimplementationkits.org/resource-mobilization/wp-content/uploads/sites/8/2015/07/results-based-framework1.docx**) as depicted on the next page.



The results framework comes directly from the solicitation released by the funder or investor. Your organization should already have a draft of the framework based on the analysis of the procurement.

Once your organization develops the results framework, it is then possible to develop a technical strategy. The Technical Strategy should describe what your organization will do to reach the program's goal, strategic objective and results. The strategy can be stated in one to four sentences and should take into consideration the country and/or regional context.

Characteristics of a technical strategy include:

- Describes what your organization will do to address specific problems/challenges
- Should be short, realistic and only promise what your organization can deliver
- Identifies the target population and geographic scope
- Includes a vision statement that describes what your organization sees this project achieving at the end of the implementation period

Based on the technical strategy, your organization should then develop a technical approach, which provides a broad description of how your organization will achieve the program's goals. It should also go into detail as to what core activities the program will implement, who the program will collaborate with, when each core activity will occur, where the program will work and what populations the core activities will target.

The approach may include a conceptual framework or graphic demonstrating the program's core activities and any cross-cutting technical areas of work that will be implemented. The approach should then be used to inform the work plan, budget, M&E and staffing needs.

ILLUSTRATIVE TECHNICAL STRATEGY AND APPROACH

Honduras Unidad Local de Asistencia Técnica (ULAT) Project
Our strategy is to connect all aspects of systemic reform to Hondurans who are unable to access health services or for whom services are inadequate, especially for maternal and child health and family planning services. Our approach helps key actors in the health system—especially the Ministry of Health (MOH), Honduran Social Security Institute and non-governmental organization (NGO) service providers—to quickly turn guiding visions and frameworks for improved coverage, quality and access into health impact for underserved and vulnerable groups. Our approach takes into account two central challenges: first, as sector reform advances, roles and responsibilities for public, private and NGO stakeholders will become more distinct, at the same time that disparate organizational missions and functions have to realign and integrate to achieve shared objectives.

Under our organization, ULAT will continue to energize this process, acting as the "honest broker" of sector integration, helping actors to restructure, reorient and manage for results along health service and patient lifecycle continuums of care. Our technical assistance at critical junctures—evidence-based decision making, continuing quality improvement, good standards of community care and involvement of citizens in feedback on health service effectiveness—keeps all sector actors focused on the goal: improved health for the most vulnerable.

Second, as the new health care service model is finalized, process innovations will be required at all levels of the sector in three major areas: service portfolios, management regimes and finance mechanisms. ULAT will shepherd needed sector innovations so that they are treated systemically: codified in policy and the legal and regulatory frameworks, backed by human and financial resource allocations, and supported through organizational and health staff capacity building. This systemic approach ensures feasibility and sustainability.

- What is to be done?
- Who will do it?
- Where will it be done?
- When will it be done?
- What is the objective of this activity?
- Who will participate (target audience)?
- What partners will be involved and in what way (if applicable)?
- What tools/resources will you use or need to develop?
- How does this activity promote the project results?
- How much will it cost? (this will be useful for budget)

Like M&E indicators (which we will cover in the next section), the proposal activities should be written in a SMART way. Below is a table describing the criteria for describing a SMART activity.

Criterion	Description
Specific	It is clearly written and understood. The desired result is specific enough to be measured by a frequency, percentage or number.
Measurable	It is possible to monitor progress and evaluate results. The desired result is framed in terms that are measurable.
Appropriate	The desired result is appropriate to the scope of your work and the mission of your organization.
Realistic	The desired result is achievable and within the control of your organization. It can be realistically achieved using the resources available and within the timeframe of your implementation plan.
Time-Bound	There is a specific time period for achieving the desired result.

Workplan and Timeline
Once your organization develops activities that are based on the technical approach, these activities should then be placed in a workplan with a corresponding timeline. Sometimes, funders will not explicitly ask for a workplan and timeline, but it is always a good idea to include it in the proposal (usually as an annex).

The workplan and timeline should describe what activities will be implemented, when they will be implemented and who will be responsible each activity. If written properly, the workplan and timeline should link the activities with key program outputs/outcomes and should be organized based on the results framework.

Workplan and Timeline Template:
http://sbccimplementationkits.org/resource-mobilization/wp-content/uploads/sites/8/2015/07/WorkplanandTimeline_Template.docx

Illustrative Workplan and Timeline										
Activity	**W1**	**W2**	**W3**	**W4**	**W5**	**W6**	**W7**	**W8**	**Responsible**	**Anticipated Outputs**
1.1 Review NicaSalud's TO financial management model system (including financial, administrative, resource management, procurement, internal control and technical assistance)	X	X	X	X	X				L. Linares	1. A diagnosis of essential performance functions in the TO's financial system and the interrelation and management among the TO's affiliates and partners is completed 2. An assessment on the current state of NicaSalud's financial management is completed
1.1.1 Review the organizational manual, the manuals for financial management procedures, budgets and resources from cooperative sources outside the TO.	X	X	X	X	X				L. Linares	
1.1.2 Review policies, rules and procedures of the procurement, resource management and internal control systems.	X	X	X	X	X				L. Linares	
1.1.3 Research available information on the processes to improve the function and structure of the TO.	X	X	X	X	X				L. Linares	
1.1.4 Analyze the findings and recommendations produced by the audit in order to obtain a reasonable assessment of the TO's ideal performance versus its actual performance.	X	X	X	X	X				L. Linares	

Monitoring and Evaluation Plan

Next, your organization should put together a Monitoring and Evaluation (M&E) Narrative and Plan. The M&E Narrative should describe how your organization will assess whether or not the project has met its objectives within the given timeframe and budget. The M&E Plan describes what indicators your organization will use to measure the project's success against its objectives, and is generally placed as an annex in the proposal.

Like the workplan, the M&E Indicators should be written in a SMART way (for a more detailed description of how to develop strong indicators, please refer to Section 6: The Social Return Indicators of Strategy B: The Business Plan). The M&E plan should include the list indicators organized by result area and activity, indicator definitions, data sources, frequency of data collection and the project's overall targets for each indicator.

Monitoring and Evaluation Plan Template:

http://sbccimplementationkits.org/resource-mobilization/wp-content/uploads/sites/8/2015/07/MonitoringandEvaluationPlan_Template.docx

Other Monitoring and Evaluation Tools:

http://www.cpc.unc.edu/measure/resources/tools/tools-by-title

Illustrative Monitoring and Evaluation Plan				
Illustrative Indicator	**Indicator Definition**	**Data Source**	**Collection Frequency**	**Life of Project Target**
Result 1: Improved Institutional Capacity in Management and Implementation of the Revitalization of Municipal Health Services Strategy, with Attention to Health Information and Human Resources				
Component 1: Provincial and Municipality Health Service Planning, Costing and HRM Development				
Activity 1: Provincial and Municipality Health Planning Process				
Develop, in conjunction with local stakeholders, *Annual Provincial and Municipality Health Planning and Costing Guideline.*	The annual planning guidelines will enhance the use of data, incorporate best management practices, strengthen budget and financial management, and assess and address human resource needs. These guidelines will be developed with broad input by multi-sectoral Government of Angola staff and key donors.	Document available and distributed	Once	One: Milestone
Number and percent of Provincial and Municipal Health Offices (DPS and RMS Units, respectively) supported in the municipal health planning process.	Support will begin with fostering the development of Annual Planning Guidelines. Once the guidelines have been developed and vetted, facilitators will guide the implementation of the plan toward the goals of reducing health problems and increasing the provision of quality services.	Facilitator reports, annual plans	Ongoing	2 Provincial/100% 20 Municipal/80%
Number and percent of DPS and RMS Units completing their annual plans on time by the end of the project.	The due date for annual plans will need to be defined at the time the annual planning guidelines are developed.	Annual plans	Annual	2 Provincial/100% 20 Municipal/80%
Number and percent of municipalities with a functioning municipal health committee.	"Functioning" will be defined as a committee with at least 75 percent of planned meetings held for each project year.	Agenda, minutes	Annual	TBD after completing baseline

Management and Staffing Plan

Not all solicitations will request a management and staffing plan, but if they do, it is an opportunity for your organization to sell the project team and its technical and management expertise to the funder.

A management and staffing plan describes the key staff that will be responsible for implementing the program. It will highlight each individual's experience and qualifications (in short biographies) related to the work they will be carrying out for the project. It often includes an organizational chart that demonstrates the lines of authority and responsibilities across the different staff members.

You should include staff members' CVs as an annex to the proposal and reference them in the management and staffing plan.

GUIDELINES FOR WRITING A COMPELLING MANAGEMENT ANDSTAFFING PLAN

Objectives:

- To understand the importance and typical structure of staffing sections
- To improve our preparation (research and collaboration with Human Resources staff) and writing of these sections
- To evaluate the responsiveness of these sections in order to revise them

Components of the Staffing Plan:

- Determination of qualifications needed to carry out the scope of work and preparation of job descriptions
- Justification of the staffing pattern as a whole and of specific positions
- Bios of key personnel
- Bios of other technical staff
- Usually in annexes: CVs and skills matrix
- Usually in the management plan: organogram and discussion of lines of authority and responsibility

Recruitment:

- CVs
- Interviews with candidates, following the requirements in the RFP
- Follow-up questions, as needed
- Request from key personnel to provide their own bios, as needed

Capability Statement

A capability statement reflects your organization's experience and capacity to perform the technical, managerial and administrative functions required in the procurement.

It is not always explicitly required in a proposal, but it always should be included. Most importantly, it always should include results your organization has achieved while implementing similar programs in the past.

You should use this section as an opportunity to distinguish your organization from competitors.

Guidelines for writing a capabilities statement include:

1. Read the RFP or RFA carefully, with attention to the sections on how the proposal must be presented and organized (which is often called "Technical Application Format") and the evaluation or selection criteria. Flag these sections for later reference and mark other passages that specify what information applicants

must present about their capabilities, experience or expertise.

2. Outline the cape, adhering to length and formatting requirements in the RFP and following the headings given in the RFP so the evaluators will be able to score the cape. You will have to decide whether to organize the cape by technical area (for example, decentralization, quality assurance), country or project. It is common to organize it by technical area, but that approach may be impractical if you need to cover work in many different countries. Sometimes the cape is organized by project and the projects may be grouped under countries or regions.

3. Research to find content for the cape in sources that include:
    - Recent capes and past performance references. The information you use should be updated. It is inappropriate, for example, to write a cape in fall 2008 that says "A series of workshops on quality assurance will be held in the summer of 2008."
    - Communication materials, including annual reports, project and technical brochures, the pocket Gguide and fliers.
    - Project evaluations and annual and final reports.
    - Project publications and documents (workplans, trip reports, briefing papers).

4. Limit your research to what is necessary to write a cape of the length and level of detail required. You usually need to peruse only the major parts of long reports (such as the Executive Summary, Introduction and Recommendations). It is not cost-effective, for example, to compile many pages of information to write a two-page cape.

5. Organize the information you have gathered under the headings in your outline.

6. Rewrite what you have compiled so it conforms to the proposal strategy and length limit for the cape. Adhere to the basics of persuasive writing:
    - The cape statement should be written as if the audience is unfamiliar with the organization's capabilities and portfolio of projects.
    - Use the active voice, short sentences and lively verbs.
    - Simplify wordy, jargon-filled text (Note that "past experience" is redundant).
    - Limit acronyms, unless they are frequently used in the RFP and will be defined in a list at the beginning of the proposal. Define unusual acronyms on first use.
    - Be clear about what pronouns refer to and use the name of your organization. . . we" (not "it").
    - Be consistent in your use of verb tenses.
    - Substantiate claims about your organization's expertise with evidence of results. For example: "The maternal health program trained 300 midwives in the new procedures in the first year and provided them with materials to use in outreach. The number of births assisted by trained attendants in the project areas rose from 40 percent to 60 percent in the second year of the project. By the end of 2001, nearly 75 percent of women had received prenatal care (at least three visits) versus 58 percent in 2000." If you cannot find quantitative evidence of the impact of your organization activities, seek qualitative evidence about the project's success, the quality of the organization's technical assistance and the depth of its experience (for example, a quotation from the project midterm evaluation or a satisfied client in the MOH).

7. Edit the cape (preferably by reading a hard copy and making the changes to the file after that) and then use spell-check. The level of effort required to produce this first version may vary from a few hours (for a very brief cape for which current information is available and time is short) to a week.

8. Coordinate the circulation of the first draft to have an opportunity for internal and external reviewers to review it. Ask reviewers to comment specifically on the completeness, accuracy and currency of the information. Once in print, mistakes of fact get passed down every time they are pirated by the next proposal writers.

9. Revise the cape based on the reviewers' comments, and, ideally, after reading a draft of the complete proposal. This second draft is usually the final version of the cape, unless it needs to be modified in length or content when subcontractors' capes are received.

10. Save the final version of the cape statement.

ILLUSTRATIVE CAPABIITY STATEMENT

Nicaragua
Management Sciences for Health (MSH) applies nearly four decades of worldwide experience to help governments, local organizations and international agencies rebuild and scale up comprehensive, integrated health services. For the past 15 years, MSH has been providing technical assistance in Nicaragua to both the public and private sector. MSH has worked to increase institutional capacity in health and education and has enhanced citizen participation and transparency – leading to the improvement of social capital indicators related to health, education, citizen participation and governance.

The LMS Program in Nicaragua, PRONICASS (Nicaragua Social Sector Support Program), worked in partnership with both public and private organizations to improve social services. PRONICASS was built upon the foundation set by the Management and Leadership (M&L) Program, a USAID-funded cooperative agreement implemented by MSH. From 2001–2005, M&L worked in partnership with public and private organizations with close coordination from the USAID mission and NGOs, including Nicasalud (the Nicaragua NGO Health Network), Profamilia and the Prosalud Project, the former USAID bilateral program. The MOH, the Social Security Institute, the Ministry of the Family and the Ministry of Education were among M&L's client organizations, with some support provided by the Harvard School of Public Health.Throughout the lifespan of LMS, PRONICASS was tasked with confronting challenges, such as these, in implementing projects in several social sectors.

Institutional capacity building challenge with Nicasalud: In 2005-06, PRONICASS received an urgent request from USAID to assist Nicasalud in becoming certified for direct USAID financing. The USAID health strategy called for providing funding for community health activities directly through Nicasalud, rather than through a central project as had been done in the past. In response, PRONICASS led an institutional reorganization initiative to develop budgeting, procurement, accounting and financial management systems. The approval and implementation of these systems permitted USAID certification that benefited 10 Nicasalud staff and its 27 affiliate NGOs.

Supporting the Global Fund CCM: LMS was requested by the USAID Mission in Nicaragua to provide technical assistance to rapidly strengthen management of all Global Fund projects being implemented in the country. Management development assistance was required to ensure compliance with terms of existing projects. The project specifically called for strengthening the management and improving the communication of the Country Coordinating Mechanism (CCM), as well as clarifying its internal roles and responsibilities. Using the systemic approach of "management by process," which is being utilized in other LMS Nicaragua projects and elsewhere in Latin America, the technical assistance teams produced expected results within the two-month timeframe. A key tool produced during the LMS's Global Fund work in the country was the "Early Alert System." This system facilitates routine monitoring and decision-making concerning priority management and technical needs of sub-recipients

Key Results: PRONICASS has been working with 49 organizations to apply leadership and management skills to improve performance in service delivery. More than 4,400 senior leaders have been trained in these practices, with more than 2,500 of them women. PRONICASS has helped transform and update the curriculum of seven medical specialties, including pediatrics and obstetrics, in public medical schools.

- Twenty-nine communities and 750 people in the departments of Leon, Nueva Segovia and Boaco were trained in and applied a guide to implement the new health care model of the MOH.
- PRONICASS has helped transform and update the curriculum of seven medical specialties, including pediatrics and obstetrics, in public medical schools.
- PRONICASS provided technical assistance to the Ministry of Education to develop educational plans to improve local development. To date, over 114 schools in 14 municipalities have begun this school planning process involving the participation of 3,500 school directors, teachers, students and parents.
- Technical assistance provided by PRONICASS resulted in USAID certification of Nicasalud in mid-2006. Under a second request for LMS technical assistance, a contract performance monitoring system was established. PRONICASS completed its technical assistance with the design of the remaining Nicasalud systems – governance, communications and federation network management.
- During the first phase of PRONICASS, the project extended its institutional reorganization efforts to eight federation members and has worked with them and the Nicasalud technical office in helping align institutional operations with the mission, vision and legal mandate of the organization.

Cost Proposal

Finally, once the technical proposal has been completed, you need to draft the cost proposal, which, also referred to as the budget, describes in detail the estimated cost of implementing the project. It is critical that your organization base the budget on what has been written in the technical proposal. The figures in the cost proposal must align with the activities described in the technical approach and workplan. That is to say, every item in the budget should be accounted for in the technical proposal.

Budget notes outline how your organization determined each of the costs that appear in the budget and can include vendor quotes, government per diem rates, travel quotes, salary projections and calculations for holiday, sick and vacation, as well as overhead rates. Even if a solicitation does not request budget notes, it is a good idea for you to document where they obtained the cost information.

Cost Proposal Template:

http://sbccimplementationkits.org/resource-mobilization/wp-content/uploads/sites/8/2015/07/Cost-Proposal-Template.xls

Cost Proposal Template				
Line Item	**Rate**	**Unit**	**Days**	**Amount**
Salaries & Wages				$ -
BPH Master Facilitator				$ -
BPH Co-Facilitator				$ -
Resource Mobilization Master Facilitator				$ -
				$ -
				$ -
				$ -
				$ -
HSV	16.00%			$ -
Subtotal Salaries & Wages				**$ -**
Overhead				
HQ Personnel (HQ)	81%			$ -
Local Personnel (LP)				$ -
Consultant				$ -
Subtotal Overhead				**$ -**
Travel & Transportation				
RT Flight- International				$ -
RT Flight- Local				$ -
Per Diem- International				$ -
Per Diem- Local				$ -
Travel Visa				$ -
Ground Transportation				$ -
Airport Transfer				$ -
Subtotal Travel & Transportation				**$ -**
Additional Direct Costs				
A. Printing/Photocopying				$ -
B. Communication				$ -
C. Postage & Shipping				$ -
D. Supplies & Materials				$ -
E. Other Participant Cost				$ -
G. Venue Cost				$ -
F. Other Direct Costs				$ -
Subtotal Additional Direct Costs				**$ -**
SUBTOTAL				$ -
Fee				$ -
TOTAL				**$ -**