



Partnering for Innovation

PRE-AWARD SURVEY, PART I: All potential partners must complete due diligence and negotiations, of which this compliance sheet is a part. Please complete, and return to you partnership manager, within one week of receipt.

A. Basic information

1. Name	<input type="text"/>	2. Title	<input type="text"/>
3. Organization	<input type="text"/>	4. Years in operation	<input type="text"/>
5. Business sector	<input type="text"/>	6. Website	<input type="text"/>
7. Telephone number(s)	<input type="text"/>	8. Email(s)	<input type="text"/>
9. Address of organization	<input type="text"/>		

B. Organizational management

10. Where is your organization incorporated?

11. What type of organization is it?

for-profit governmental organization
 nonprofit other (please specify):
 educational institution

12. Who owns your organization? (e.g., single owner, family company, shareholder or investor-owned)

13. How many people does your organization employ full-time?

women: men:

14. Part-time or seasonally?

women: men:

15. Do you have a board? If so, what type of board does your organization have?

<input type="checkbox"/> board of trustees	<input type="checkbox"/> none
<input type="checkbox"/> executive leadership board	<input type="checkbox"/> other, please describe:

16. Is your organization facing any lawsuits?

Yes No
 Describe (inc. status):

C. Financial Management

17. How often does your organization prepare financial reports?

- | | |
|------------------------------------|--|
| <input type="checkbox"/> Monthly | <input type="checkbox"/> All of the above |
| <input type="checkbox"/> Quarterly | <input type="checkbox"/> Other (specific): |
| <input type="checkbox"/> Annually | |

18. Does your organization have loans, credit, or shares outstanding?

Type	Lender/Investor	Value (approximate)	Terms	Contact for loan/credit/investment officer

- | | | | |
|--|--|--------|--|
| <input type="checkbox"/> Total Current loans: | | Value: | |
| <input type="checkbox"/> Total Line(s) of credit: | | Value: | |
| <input type="checkbox"/> Total Shares outstanding: | | Value: | |

19. Does your organization currently receive, or has it received in the past, USAID or other donor/grant assistance (e.g., DFID, GIZ, etc.)?

NOTE: PLEASE LIST THE NAME OF THE FUNDER/DONOR/INVESTOR ORGANIZATION, FUNDING TYPE, APPROXIMATE VALUE, DATES VALID, AND TERMS.

Funder Organization	Funding Type (grant, contract)	Value (approximate)	Dates (period of duration)	Contact

20. What is your organization's overhead rate? (NGOs only)

D. Technical Capability

21. Does the organization have an organizational chart?

Yes No

22. Does the organization have by-laws or a constitution?

Yes No

23. Where is your product manufactured?

Outside the country, in: _____

In the country, in: _____

24. If your product is manufactured outside of the country, does your organization have a license to import it already?

Yes No

If no, please explain:

Sub-Partner

Principal

25. If you will be paying a partner (“sub-partner”) using grant capital from Partnering for Innovation, please list along with the name of the principal.

E. Conflict of Interest

26. Is anyone at your organization or the sub-partner organization(s) related to or maintain a personal relationship with any Fintrac employee(s)?

Yes No

If yes, please explain:

27. Is anyone at your organization or the sub-partner organization(s) related to or maintain a personal relationship with any USAID employee(s)?

Yes No

If yes, please explain:

DOCUMENTATION – please send within two weeks to your assigned partnership manager

REQUIRED

- Organization’s legal registration
- List of organization’s owners including full names, titles, and contact information
- List of company’s board members including full names, titles, and contact information
- Audited financial reports for the past three years
- Organization’s budget for the current year
- Organization’s budget projections for the current year, including assumptions on calculations

OPTIONAL (IF AVAILABLE)

- Past two annual reports
- Organization’s bylaws and/or constitution
- Organization’s conflict of interest policy

<ul style="list-style-type: none"><input type="checkbox"/> Accounts receivable and payable report covering a 12-month period, including who, amount, and due date for each<input type="checkbox"/> Organizational chart<input type="checkbox"/> Most recent three- or five-year business strategy<input type="checkbox"/> NICRA documentation and letter(only for NGOs)	
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Partnering for Innovation

PRE-AWARD SURVEY, PART II: Completed by the partnership management team during due diligence and negotiation, with focus on areas of the business model and application that require additional information.

PLAN: *Make a plan for how you will get all the information you need. Use this coverpage to note what areas you need to focus on and any specific questions you need/want to ask to complete the preaward survey.*



A. ADMIN

Name and title of reviewer/s: _____

Start Date

End Date

NOTE: LIST THE FINAL SET OF INDIVIDUALS AND ORGANIZATIONS CONSULTED FOR DUE DILIGENCE AND NEGOTIATION, AT MINIMUM THE LEAD APPLICANT (PRIME) LEADERSHIP AND GRANT POINT-PERSON.

Role	Organization	Full name	Title	Email	Telephone

B. Potential Partner (Prime) – Leadership and Grant Point-Person

Thank you for meeting/talking with me/us. The purpose of our questions is twofold: 1) To ensure that US Government compliance criteria are met; and 2) To better understand your business, including how we can add additional value, for a potential partnership with you. We also see this as an opportunity for you to get to know us – these visits end up being the foundation of a partnership, should we move forward - so please chime in with any thoughts or questions throughout!

I. We would like to get a clear sense of the organizational structure and roles and responsibilities as they pertain to activities that the grant capital would support. How will each role contribute to the launch or growth of the work we would be funding? Are you satisfied that you have the right team in place for this initiative? If not, what skills are missing? How will you address this?

NOTE: DO NOT READ OUT EACH ROLE ; SIMPLY LISTEN AND NOTE RESPONSES ACCORDINGLY.

	Name?	Qualifications and Decision-making role?
Proposed manager		
Financial Manager/ CFO		
Operations/ COO		
Sales and marketing		
Production		
Logistics		
Personnel management		

2. How does the organization structure the most critical activities of the

business/ product or service line that we would be supporting?

3. How do you monitor expenditures (e.g. year-to-date compared to approved budgets)?

NOTE: QUESTIONS 4-14 CLARIFY GAPS ABOUT PROPOSED PRODUCT/SERVICE AND BUSINESS MODEL. PICK AND CHOOSE THOSE FOR WHICH MORE INFORMATION IS NEEDED.

4. What customer problem does your product/service aim to solve? How does the product/service solve for this customer problem?

a. How do customers access the product/service and how do they use it?

b. What is your distribution plan?

c. Please describe and aftercare services and/or upkeep/parts you offer customers.

d. What is your promotional plan?

5. Is your organization's product or service already available in the market?

Yes

Yes, but not in the form proposed (e.g., different package size, for commercial use, etc.)

No

6. What is your product or service's market share currently?

 %

7. What is the growth projection of the market share?

8. How many smallholder farmer consumers does the current and project market share represent?

9. Describe the other companies or organizations in your network that help you reach/sell to smallholder farmer customers?

10. Who are your competitors? What are their market shares? Describe how your product and price compares to their product/price.

11. What are the key risks facing your organization in meeting your business objective. How are you addressing each? Probe: enabling environment.

12. Do you have systems (SOPs) in place for HR, accounting, purchasing, production, sales, cash management. Can you share for review any manuals that describe these systems?

13. Do they have these records on an IT system?

14. Can you provide bank statements for the past three month? Do you have copies of invoices that you send to clients.

D. Board Member

NOTE: INFORMALLY INQUIRE INTO THE LEVEL OF KNOWLEDGE ABOUT THE GRANT AND FILL IN DETAILS AS NEEDED.

Thank you for meeting/talking with me/us. The purpose of our interview is to better understand _____ company for receiving grant capital that must comply with USG regulations. We also provide acceleration through to our investees and so this discussion helps us understand what may be most useful to _____ should the company be selected.

- 1. For how long have you known the applicant? Please describe the nature of your work with [company name].
- 2. What do you see as the applicant's greatest strength – for example, what sets it apart from the competition?
- 3. What do you see as the core technical competency of the applicant? Which areas of the organization are well-suited for delivering on the goals of the potential grant capital (as I've/we've described it)?
- 4. The applicant proposes [team members as per the application] to work on activities related to achieving milestones of the grant capital. Can you describe their qualifications and strengths? Do you recommend someone else if available?
- 5. What style of management - partners, timelines, budgets - does the applicant use?
- 6. What areas of the organization need strengthening? What areas need strengthening as specifically related to the grant capital?

E. Lenders/Investors/Funders (sources of capital)

NOTE: CONTACT/S SUPPLIED IN PART I.

We are currently doing due diligence on the organization _____ for a competitive grant program. We also provide acceleration through to our investees and so this discussion helps us understand what may be most useful to _____ should the company be selected. Is this an okay time to talk?

Lender:

- 1. How long has [insert applicant] been a customer?
- 2. What is the line of credit you provide (working capital, debt, loan, etc.)?
- a. Has the partner reliably serviced their loan?
- b. What issues/challenges exist?

Investor:

- 1. How long have you worked with the applicant? Please describe the nature of this work, including the type of investment you made.
- 2. Has the organization complied with the terms of your investment? Yes No
- 3. What do you see as the applicant's greatest strength – for example, what sets it apart from the competition?
- 4. What do you see as the core technical competency of the applicant?
- 5. What style of management - staff, partners, timelines, - does the applicant use?
- 6. Are you satisfied with the organization's performance overall? Yes No
- 6b. Why or why not?

7. Would you invest again in the organization?

Yes

No

8. What areas of the organization need strengthening? What areas need strengthening as specifically related to the grant capital?

Donor

1. How long have you worked with the applicant? Please describe your work with the applicant, including funding.

2. What is the current nature of your relationship? (select one or more)

Informal – Stay in touch

Formal – cooperative agreement or grant

Informal – Technical partner

Formal – MOU

Formal – contract

Formal – Co-funder

3. Has the organization complied with the terms of your funding? Please describe administrative competencies.

4. What do you see as the applicant's greatest strength – for example, what sets it apart from the competition?

5. What do you see as the core technical competency of the applicant? How is it well-suited for delivering on the goals of the grant capital (as described)?

6. Would you invest again in the organization?

Yes

No

b. Why or why not?

F. Suppliers/Buyers

We are currently doing due diligence on the organization _____ for a receiving an investment of grant capital. We understand that you currently work with this organization.

1. What goods/services do you supply the organization?

2. What is the dollar value per month that they purchase?

3. Has this amount increased/decreased over the past year?
4. What goods/services do you supply the organization?
5. Do you offer the goods/service on credit? If so, what are the terms (net 30 days, 60 days, etc.)?
6. Has there been a problem collecting payments from the organization? If so provide details.
7. (buyer) Do they deliver on time? If not, why not?
8. What is the quality of the product or service overall?

G. Auditor/Accounting Firm

We are currently doing due diligence on the organization _____ for a receiving an investment of grant capital. We also provide acceleration through to our investees and so this discussion helps us understand what may be most useful to _____ should the company be selected.

1. How long have you worked with them?
2. Is their financial reporting up to date? What is last full year that has been audited? If they are behind, why?
3. How would you rate their financial systems and reporting? Their financial team?
4. What areas of concern do you have/areas that need improvement?

H. Facilities Visit

Complete the plant visit and fill in the below tables and questions after the tour is completed. All associated instructions are here. Please re-read the instructions prior to your visit.

	Ratings	Poor	Below Average	Average	Above Average	Excellent	Best in Class	
No		1	3	5	7	9	11	Scores
1	Customer Satisfaction							
2	Safety, environment, cleanliness, & order							
3	Visual Management Deployment							
4	Scheduling system							
5	Product flow, space use & material movement means							
6	Inventory & WIP Levels							
7	People teamwork, skill level, & motivation							
8	Equipment & tooling state & maintenance							
9	Ability to Manage Complexity & Variability							
10	Supply Chain Integration							
11	Quality System Deployment							
	TOTALS							

Item

Y/N

Are visitors welcomed and given information about plant layout, workforce, customers, and products?

Are ratings for customer satisfaction and product quality displayed?

Is the facility safe, clean, orderly, and well lit? Is the air quality good and noise levels low?

Does a visual labeling system identify and locate inventory, tools, processes, and flow?

Does everything have its own place, and is everything stored in its place?

Are up-to-date operational goals and performance measures for those goals prominently posted?

Are production materials brought to and stored at line side rather than in separate inventory storage areas?

Are work instructions and product quality specifications visible at all work areas?

Are updated charts on productivity, quality, safety, and problem solving visible for all teams?

Can the current state of the operation be viewed from a central control room, on a status board, or on a CRT?

Are production lines scheduled off a single pacing process with appropriate inventory levels at each stage?

Is material moved only once as short a distance as possible and in appropriate containers?

Is the plant laid out in continuous product flow lines rather than in "shops"?

Are work teams trained, empowered, and involved in problem solving and ongoing improvements?

Do employees appear committed to continuous improvement?

Is a timetable posted for equipment preventive maintenance and continuous improvement of tools and processes?

Is there an effective project management process, with cost and timing goals, for new product start-ups?

Is a supplier certification process--with measures for quality, delivery, and cost performance--displayed?

Have key product characteristics been identified and fail-safe methods used to forestall propagation of defects?

Would you buy the products this operation produces?

Total number of Yeses



1. Based on the ratings from the form, what are the strengths and weaknesses of the facility/plant? Be sure to explore power and water availability, key production challenges, and items related to human consumption.

2. Are significant upgrades or other improvements needed for the facility/plant to deliver on the production needed to reach the intended number of smallholder farmer customers? Please describe.

3. Based on the ratings and whether or not significant upgrades are needed, is the facility/plant satisfactory to achieve results as described in the RFA?

H. Site Visit: NOTE: Observe the product or service in action, and if possible, interview with three-five farmers (table below).

1. Did you see any signboards or advertisements for the product or service, or a competing product or service, on the drive to the site or near the site?

2. Describe the product/service and how it is used in the field. Do smallholder farmers use it directly or indirectly?

	Farmer 1	Farmer2	Farmer3	Farmer4	Farmer5
Do you know X company?	<input type="checkbox"/> Yes <input type="checkbox"/> No				
Do you know (insert name of product or service)?	<input type="checkbox"/> Yes <input type="checkbox"/> No				
If yes: What is your opinion about it? Probes: What is the value for the cost? Where do you purchase it? How do you feel about the overall quality?					
If yes, how is it useful? NOTE: Ask as an open-ended question and mark the topics mentioned, or fill in "other"	<input type="checkbox"/> It's not <input type="checkbox"/> For production <input type="checkbox"/> For post-harvest <input type="checkbox"/> For saving time <input type="checkbox"/> For saving money <input type="checkbox"/> For earning more money <input type="checkbox"/> For increasing yields <input type="checkbox"/> Other:	<input type="checkbox"/> It's not <input type="checkbox"/> For production <input type="checkbox"/> For post-harvest <input type="checkbox"/> For saving time <input type="checkbox"/> For saving money <input type="checkbox"/> For earning more money <input type="checkbox"/> For increasing yields <input type="checkbox"/> Other:	<input type="checkbox"/> It's not <input type="checkbox"/> For production <input type="checkbox"/> For post-harvest <input type="checkbox"/> For saving time <input type="checkbox"/> For saving money <input type="checkbox"/> For earning more money <input type="checkbox"/> For increasing yields <input type="checkbox"/> Other:	<input type="checkbox"/> It's not <input type="checkbox"/> For production <input type="checkbox"/> For post-harvest <input type="checkbox"/> For saving time <input type="checkbox"/> For saving money <input type="checkbox"/> For earning more money <input type="checkbox"/> For increasing yields <input type="checkbox"/> Other:	<input type="checkbox"/> It's not <input type="checkbox"/> For production <input type="checkbox"/> For post-harvest <input type="checkbox"/> For saving time <input type="checkbox"/> For saving money <input type="checkbox"/> For earning more money <input type="checkbox"/> For increasing yields <input type="checkbox"/> Other:

PART III: SUMMARY AND RECOMMENDATION

Purpose: The purpose of Part 3 is to summarize all findings from the due diligence and negotiation process into a final recommendation based on findings, as well as for capturing relevant findings related to potential milestones and acceleration services. Note: Please follow prompts within each category as helpful/ subtracting and adding observations as sufficient to make your recommendation. Please draw on required documentation, financial information, product findings, and any board/donor/investor recommendations.

Based on your due diligence procedures including reviewing required documents and meeting with the organization and other stakeholders, is the organization (along with its sub-partners) suited to technically, organizationally, and managerially handle a Partnering for Innovation sub-award?

If yes, please briefly justify your recommendation (two pages maximum). If not, please explain and attach a decision memo. Describe areas of weakness that can be addressed by PI during implementation. (one page maximum).

Organizational Capacity – 1. Describe the roles of leadership and management staff and address the capabilities for managing implementation of activities related to PI funding. 2. Describe strengths of the organization and what may need strengthening (staff, processes, etc.) to achieve the goals of the proposed partnership.

Technical Capabilities – Please describe the prime organizations' experience in distribution, promotion, and sales of the proposed products or services. Include how any sub-partners complement the described experience and/or fill in gaps in the prime's experience.

Market Opportunity – Please describe any competing products or services in the market, including if there are already other investors or donors funding them. Include if it has the potential to support (and crowd-in others) or distort (crowd-out others) the market. In your opinion is the product/service accessible to smallholder farmers, and what impact will it have for smallholder farmers/ food security. Include how the company is estimating impact.

Viability – Please describe the potential viability of the product or service line that would be supported with the PI grant capital. Include how the audited financials, current and projected budgets, and market/customer knowledge of the leadership and staff factor in.

Milestones: At this time, do you have any observations/ information helpful to developing milestones or means of verification? What stood out to you as potential milestones that would best the partner in its business priorities and in reaching SHFs? Is there a unique aspect of the work, or mandatory target to meet, which is best incentivized through a milestone or means of verification?

Acceleration: At this time, do you have any observations/ information helpful to developing acceleration services? What areas did interviewees point out as gaps that the company might strengthen to better meet commercialization or farmer impact goals?