MODULE 9

Resource Mobilization: Raising Grant Funds

2nd EDITION 2019
Acknowledgments

This module is part of a series of modules in the Professional Association Strengthening Project. The project has been completed under the auspices of the Survive and Thrive Global Development Alliance, which includes a partnership of professional associations and the private sector with support from the United States Agency for International Development. The mandate of Survive and Thrive includes working to strengthen health professional associations in nations so they become vocal and effective advocates for professional education, clinical excellence, and evidenced-based practice in maternal, newborn and child health.

Contributors

Changes to the 2nd edition of this module were authored by Elizabeth O’Connell, Director of Development, Underserved and International Women’s Health Programs, American College of Obstetricians and Gynecologists.

Overall project management for the Professional Association Strengthening Project was provided by Kate McHugh, American College of Nurse-Midwives, Director of Global Outreach.

Special thanks to the Contributors and Reviewers on this entire project which include professionals from the following health professional associations:

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Where to find the complete the Professional Association Strengthening manual:

The complete set of Professional Association Strengthening modules can be downloaded for no fee at: www.StrongProfAssoc.org.

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Module 9: Resource Mobilization: Raising Grant Funds

Sources of Funding

Funding for programs can come from a variety of sources.

1. **Foundations** – There are many international foundations that provide grants for health programs in countries around the world. The grant process for obtaining grants is outlined below. Note that the process for obtaining grants is similar whether the donor is a foundation, corporation, or government. The specifics of each may vary but the association should be able to move through each stage of the grants process.

2. **Corporate Partnerships** – Private businesses and corporations contribute funds to non-profits, and PAs can leverage these contributions by specifically reaching out to companies within the industry or country in which they operate. Corporate support has changed in recent years and many corporations provide funding for programs in several ways, through:
   - Corporate foundations that provide grants for specific programs.
   - Corporate social responsibility funds from the corporation’s profits.
   - Corporate sponsorships of events or conferences.
   - Corporate partnerships to advance mutual objectives and utilize the corporation’s expertise and employee engagement.

3. **Corporations** might offer in-kind contributions of staff time, office space, equipment, or other donations.

4. **Current and former partners** – These can be implementing organizations that will provide funding to the association for expertise and program assistance.

5. **Government Contracts and Subcontracts** – Many countries provide funding to local organizations for programs and technical expertise. Subcontracts can be made with international NGOs that have received a government grant; many seek local organization partners. They may require a Capability Statement from the association. (See Appendix G for a template.) Information on government funding can be found at www.donotracker.org.

RM Team Key Roles

- **Proposal Manager** – Content expert / advisor who leads the proposal team
- **Proposal Collaborator** – Content person / advisor who provides input
- **Budget Officer** – Familiar with program costs and the PA budget
- **Proposal Coordinator** – Works with Proposal Manager and ensures effective and seamless proposal creation

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**Graph: Cycle of Resource Mobilization**

- Exploration
- Opportunity
- Concept
- Proposal
- Contract
- Negotiation
- Implementation
- Monitoring & Evaluation
Grants Process

Grants are usually for time-specific programs or projects. Donors usually have specific requirements for obtaining a grant. Grants can be time consuming and require work but can support programs and general operations of the association. Stages of the grant process are:

- Prospecting – Identify foundations that support work in the PA’s area. A prospects worksheet is a useful tool to track potential donors.
- Understanding and documenting donor priorities, guidelines and application requirements.
- Identifying an opportunity to ask for funds, either through a Request for Proposals or an invitation by a program officer or other representative of the donor.
- Submitting an application or inquiry – Some donors accept unsolicited proposals or concept notes; others have online application procedures.
- Draft Letter of Inquiry, Concept Note or Proposal, based on donor requirements. See appendix D.
- Follow up with donor to answer any questions.
- If requested, submit a full proposal with detailed budget and other information requested.
- Negotiate a contract or accept the grant.
- Implement the program and report on deliverables and finances.
- Request a new grant in future.

Components of a Proposal

- Contact Information – Who in the organization will be Program lead or point of contact for the donor?
- Summary of Program – Include purpose of the project, how much is being requested and what outcomes are expected.
- Statement of Problem – What critical challenge is being addressed and how the program will solve it?
- Project Description – Include measurable goals, objectives, activities, target population, anticipated results, timeframe, partner organizations.
- Monitoring and Evaluation Plan – How the project will be monitored and results evaluated?
- Budget – For project, including personnel and organization overhead, depending on donor requirements.
- Organization’s Capacity and Previous Success – Include short bios on program staff, organization leadership, legal status.
- Other required information – Donors may require specific information not listed above. Be sure to review donor requirements carefully before applying.

See the Appendix for a Template.

When deciding on whether to pursue a grant, there are several important questions for the association to answer to be sure you have the personnel resources and time to pursue the grant and whether you can do the required work:
Guidelines for Program Design, Proposals, and Reporting

The complete document is in Appendix A.

**Program Development and Budgeting**

- **Summary of the Proposed Project** – include intended outcomes, partners, timeframe
- **Background / Strategic Purpose** – include problem, existing efforts, strategic objectives, vision of success
- **Project Goals & Objectives** – include overall objectives, intended results, measurable outcomes, activities, timeframe, indicators to measure progress, dissemination plan
- **Project Design and Implementation** – include major activities, logical framework, geography, key milestones, monitoring and evaluation plan
- **Organizational Capacity** – include staff and leadership qualifications; previous experience managing programs; partner qualifications; management and administration plan; current donors if any
- **Budget** – include program budget and association budget; a narrative (written summary)

**Stewardship of Grant**

Stewardship of a grant means keeping in communication with the donor about the progress of the program, any issues that arise, that funds are being used appropriately and the program is being carefully supervised.

- Obtain written documentation to support any agreements regarding changes in scope, activities, deliverables, budget, or timetable.
- If major changes to proposed program are necessary, advise donor immediately.
- Keep funders informed of progress and changes throughout the grant period.

Stewardship of a grant is critical during the program to keep the donor informed of progress and changes in the scope of work or finances. Alert the donor as soon as possible to changes in:

- Program implementation, strategy, or deliverables
- Budget
- Personnel implementing the program
- Timeline
- Reporting

While some funders will have specific reporting requirements, activities and outcomes should be reported to all funders on a regular basis and should be monitored throughout the grant period. This information can also be useful for planning of future projects. Interim or progress reports can include the status of the program, milestones and objectives reached, deliverables promised and a report on actual expenditures to date. They should include any deviation from the original proposed activity so the donor is aware of any issues with delivering on the proposed program. Include changes to the program that you will make to put the program back on track.

A reporting template is included in Appendix B.

**Financial Reporting**

Reports of actual expenses and how they differ from the proposed budget should be sent to the donor at the end of the grant period and at other times that the donor requires. Some donors provide specific templates on how to report expenditures; be sure to follow funder’s reporting requirements. Most financial reports include the following budget items:

- Actual direct expenses vs. budgeted with variance
- Expense timeline and variance from proposed timeline
- Final indirect cost rate
- General budget narrative: general description of financial expenditures; where the project progressed as projected and, if not, why
- Explanation of budget variances (generally exceeding 10% of projected) including reasons for variance and any corrective action
- Explanation for unexpended funds

If a grant cannot be completed in the time originally proposed, an association can request a No-Cost Extension (NCE). This means that the donor will not provide more funding but will allow the association to extend program activities beyond the original timeline. If a No-Cost Extension is necessary, it is important to make that request as soon as possible. These requests should not be made very often and should include an explanation of why the program is
delayed and what the plan is to finish the program in the new timeframe.

Before the grant comes to an end, discuss a renewal with the donor or support for a new grant to continue the program or for a new program. After the grant ends, keep the donor informed of activities to maintain the relationship for future funding.

**Evaluation**

Comparing actual RM efforts to the plan will help to identify gaps and areas in need of improvement. The core team can then include corrective measures in the next RM cycle. Evaluation metrics should include:

- Budget required versus actual revenue generated
- Percentage of successful solicitations
- Update on RM progress to PA leadership and members
- To check readiness, refer to Tool 3: Diagnostic Checklist.

**Tools**

There are sources of prospective donors on the internet that you can research to find foundation and corporate donors who might fund programs. They include:

- Devex.com
- Philanthropy.com
- Donortracker.org

**Tool 1: Questions for Environment Scan**

| Competitors | - Which organizations do similar work?  
(Ex: Nurse-midwife association also supports maternal health programs) |
|-------------|------------------------------------------------------------------------------------------|
| Target Segment | - Who in the community does the PA serve?  
- Who will benefit from the PA’s work? |
| Collaborations | - What skills/resources can we bring to partnerships to enhance our work?  
- What skills/resources do we need from partners?  
- What opportunities can we undertake through collaborations with partners? |
| Current Trends | - What are the current trends in philanthropy? Are donors contributing to the health sector in your country?  
- What is the political & legislative framework the PA is operating in? Are there limits on what program work you can undertake? |
**Tool 2: Goal Setting Template (with illustration)**

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<th>Overall RM target</th>
<th>Member In-Charge</th>
<th>Year 1</th>
<th>Year 2</th>
<th>Year 3</th>
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</table>

**Tool 3: Diagnostic Checklist for Readiness**

- We have a clear mission and vision for the association and how its programs can support target communities.
- We have a resource mobilization plan with clear goals.
- We have developed communications materials, program descriptions, organizational capacity statements and online communications tools.
- We have identified an RM lead, staff, members and volunteers who will manage and implement RM activities.
- We have a budget for RM activities, including paid staff if available.
- Our board and leadership understand the RM plan and are actively participating in RM activities.
- We have a plan to raise necessary funding to support the core operations of the association, including volunteer time and in-kind contributions.
- We have internal or external expertise in funding from sources identified in the plan and can call upon experts for other sources.

**REFERENCES**

1. World Bank Small Grants Program  
2. The Capacity Project (www.capacityproject.org)
3. SNV Netherlands Development Organisation Resource Mobilization Division
APPENDIX

Appendix A: Guidelines for Program Design, Proposals and Reporting

Program Development and Budgeting

Summary of the Proposed Project
- What is the project?
- Intended outcomes and impact
- Project leads? Partners?
- Time frame

Background / Strategic Purpose
- What is the problem we are addressing? Importance? Rationale?
- Summary of existing efforts in the sector. How does the proposed project relate to ongoing activities? How is it unique or complimentary, not duplicative?
- Strategic purpose and objective?
- Vision of success?
- How can project outcomes influence others in the sector?

Project Goals & Objectives
- Overall objectives. How do they contribute to reaching vision of success?
- Intended results? Short-term and/or long-term goals?
- Measurable outputs and outcomes
- Activities to achieve outputs
- Timeframe
- Indicators to measure progress
- Dissemination of results? Will outputs/outcomes generate knowledge for sector?

Project Design and Implementation
- Project design and major activities
- Logical Framework
- Geographic areas
- How can the project be scalable? Sustainable?
- How does the project improve on current processes, activities?
- Partners involvement, collaboration
- Timeline including responsibilities
- Key milestones

- Monitoring and Evaluation, data collection, assessment of results, analysis

Organizational Capacity
- PA staff qualifications
- PA history, mission, structure, achievements, impacts
- PA experience in developing, implementing projects in geographic and technical areas proposed
- Key staff positions required to manage project, responsibilities; existing or new hire?
- Management structure and plans for administration of project
- Partner qualifications (if applicable)
- Current donors to PA, activities funded and total contributions (top donors)

Budget
- PA budget
- Personnel: staff involved and percent of time for each; consultants, if applicable
- Timeframe(years
- Direct Costs, including:
  - Full- or part-time staff salary
  - Travel
  - External Consultants
  - Meetings/events
  - Supplies (if applicable)
  - Time for other PA staff (ex. Communications)
- Indirect Costs: rates vary but should be no more than 15% unless otherwise agreed by funder
- Sub-grants, if applicable
- Committed or potential support from other sources
- Budget narrative

Stewardship of Grant
- Obtain written documentation to support any agreements regarding changes in scope, activities, deliverables, budget or timetable
- If major changes to proposed program are necessary, advise donor immediately
- Keep funders informed of progress and changes throughout the grant period

NOTE: Communication to/from funders coordinated with RM Lead
Appendix B: Reporting

While some funders will have specific reporting requirements, the following elements are likely to be required and should be monitored throughout the grant period. This information can also be useful for planning of future projects. Include association produced materials or hyperlinks to PA work in reports when available and appropriate.

Interim or Progress Reports:
- **General progress**: Current status (progress update) of program/grant as described in the proposal; progress made towards the project goal and deliverables.
- **Milestones and Objectives**: Will you achieve all outcomes and milestones laid out in the proposal in the original timeframe? Has your work resulted in any additional outcomes?
- **Deliverables**: Please reference the grant proposal for the deliverables promised. List actions taken to date on deliverables, outcomes to date, and deviations from delivering as originally intended.
- **Key Milestone Deviation**: If specific key milestones or objectives were not met according to the proposed plan, briefly explain why and how the program was altered.
- **Course Correction**: Are there any modifications you would propose to the activities, outcomes, outputs, or key milestones of this project? If so, will you still be able to achieve intended results?
- **Risks**: Are you aware of any significant risks or challenges that have not previously been identified, and that may affect the PA's ability to achieve the agreed-on results? If so, indicate how you are addressing those risks.

Final Reports – All of the Above Plus:
- **Sustainability**: Is this project sustainable beyond the grant period? If so, how? Does the PA have a plan to sustain the project after the grant ends?
- **Scalability**: Is this project scalable? If so, how? Does the PA have a plan to scale?
- **Lessons Learned**: Based on your experience, describe lessons learned and their potential relevance to others working in the sector. Include what has not gone as planned, what you learned from it, and how the program changed based on those lessons.
- **Challenges and/or risks**: Problems or barriers experienced in carrying out the program as planned, if any, and the steps taken to resolve these problems. How were partnerships managed?
- **Changes in assumptions**: Changes made to your planned program approach and reasons for the changes.
- **Changes in leadership**: Changes within the organization that relate to the project (major changes to program staff, PA leadership).
- **Collaboration with funder**: How did you interact with the funder on this program? What lessons did you share? What challenges did you encounter? What recommendations can you make to the funder to make collaborations more effective?
- **Collaboration with partners, others in sector**: How did you interact with project partners or other organizations? How can those interactions be more effective? Can the funder facilitate information sharing and collaboration?
- **How do you share learning with others in the field?** With Ministry of Health? Internally with PA members?

**Financial Reporting**

Reports of projected expenditures from approved budget vs actual expenses. [Note: Some funders require that financial reports include expenditures per objective (ex. Gates Foundation), or other complex budget reporting requirements. In that case, follow funder’s reporting template.]

Most other financial reports include the following budget items:
- Actual direct expenses vs. budgeted with variance
- Expense timeline and variance from proposed timeline
- Final indirect cost rate
- General budget narrative: General description of financial expenditures; where the project progressed as projected and, if not, why
- Explanation of budget variances (generally exceeding 10% of projected) including reasons for variance and any corrective action
- Explanation for unexpended funds

Note: If a budget reallocation request or no cost extension is necessary, it is important to make that request as soon as possible. These requests should be made infrequently and only with extenuating circumstances.
Appendix C: Fundraising Strategy Outline

I. Professional Association Program
   a. PA Position in sector external review
   b. Strategic Plan finalized
   c. Leadership and staff role in fundraising including volunteers
   d. Membership engagement in fundraising

II. Fundraising Model - Mixed
   a. Goal: Diversified fundraising from multiple sources, General Operating Support for continuity, stability
      i. Foundation grants
      ii. Corporate grants
      iii. Government
      iv. Membership Fees
      v. Individual donors

III. Revenue Streams
   a. Foundations
   b. Project support; Percentage for General operating support (GOS)
   c. Corporations Project support; percentage for GOS
   d. Engaged in sector through grants or partnerships
   e. PA members
   f. Government support
   g. USAID subcontractor
   h. Subcontract and subrecipient agreements with partners
   i. Individual Donors
   j. Survey of members
      i. Target email to all
      ii. Major donor strategy for key Members
      iii. Volunteer time for projects
      iv. Online fundraising on dedicated web page
      v. Medical schools with global residency programs
      vi. Corporate partnerships on specific projects/geographic areas
      vii. Strategic Alliances
      viii. Government, Public Private Partnerships

IV. Proposal Documents
   a. Program Summary
   b. Organizational Capacity Statement
   c. Concept Note
   d. Case studies
   e. General Operating Support proposal
   f. Project Specific Proposals
   g. Dedicated web page

V. Prospects
   a. Prioritize
   b. Current relationships
   c. Strong funding presence in sector
   d. Related funding areas
   e. Members

VI. Members
   a. Survey of interest in volunteering
   b. Question on member application form
   c. Email information on programs
   d. Identify Major Donor prospects
   e. Email/mail targeted ask for support for programs
   f. Email blast to full list for donation

VII. Fundraising efforts: Return on Investment (ROI)
   a. Donor Engagement
   b. Contacts made
   c. Meetings held
   d. Concept notes submitted
   e. Full proposals submitted
   f. Gifts received
   g. Amount of gifts
   h. Internal Systems/Processes Established
      i. Researched list of prospects maintained and updated
   j. Regularly maintained database of all donor correspondence
   k. Regular system of contract negotiation, signing and entry
      l. Reporting system with calendar and responsibilities established
   m. Regular schedule of meetings with association leadership maintained
   n. Reporting to donors on time

VIII. Internal Systems/Processes
   a. Collaboration with program staff in RM
   b. Meetings regularly scheduled
   c. Regular joint Program/RM meetings
   d. Occasional joint meetings with Program, RM Lead and Leadership
   e. Distribution of information
   f. Program updates to RM Lead and Leadership
   g. Donor/prospect outreach, feedback to/from RM to Leadership
   h. Database
i. System for information established and regularly updated
j. RM Lead or staff/volunteer will update donor tracker to include all donor information, contracts, outreach
k. Standardized process for contracts
l. Calendar of donor deadlines and reporting maintained by RM lead

Appendix D: Letter of Interest or Letter of Intent (LOI) Template

The LOI provides an introduction to the project, contact information, a description of the organization, a statement of need, methodology for project, a list of other funding sources (if any) and a final summary.

Carefully review the funder’s guidelines for LOIs. Some are very specific and funders will disregard any LOI that does not precisely follow directions. The LOI should be one to three pages (at most), summarizing the proposed project.

If there are no given guidelines, the following elements should be included:

1. The LOI should follow the format of a business letter. It should be submitted on letterhead and signed by an officer of the PA or a Senior Director if there is one.
2. When available, address the letter to a specific recipient, usually the funder’s program manager. It should include any information provided by the donor, including Request for Proposal title and number.
3. The opening of the LOI should be a concise executive summary of the program. Include the name of the organization, the grant applying for (if specified), the amount requested, and a short description of the project. Include a sentence or two about how the project fits the funder’s objectives and interests.
4. Provide a brief history of the organization, its mission, history, and capacity to do the work. Include a description of the organization’s target population and recent examples of success in the programmatic area.
5. Describe the project, including objectives, activities, key staff. Specify how the funder’s money will be used. Summarize your goal for the project.
6. List funding already secured for this project and other funders being approached.
7. Some funders may request or allow attachments. Keep them brief and relevant. More detailed information can be submitted if asked to provide a full proposal.
8. Thank the funder for their consideration and offer to provide additional information upon request. Provide contact information for the program staff who can answer specific questions about the program.

Appendix E: Concept Note Template

A concept note is shorter and less detailed than a full proposal.

- Executive summary – Open with two to three sentences that clearly state your organization’s name, what the grant will accomplish, and the amount of your request.
- Organizational profile – Describe your association, its mission, and who you serve. Brag about any accomplishments or other grants received.
- Statement of need – Give a concise but precise explanation of the need in the community that your organization is passionate about solving. Explain why this is a problem. Include hard data proving your case whenever possible.
- Project description – This is the meat of your proposal. Your “project” is what you are asking the donor to give you money to do. This section should talk about how you will help solve the problem described in the Need section of your proposal. Explain what you will do—and give as much detail as possible.
- Budget – How much will it cost to implement your planned project? What portion of the program will be financed by this grant? What are your plans for securing the other funds your project needs to succeed?
- Evaluation – Describe how you will measure whether your project was a success. This section does not have to be complicated if your funder has minimal evaluation requirements.
- Conclusion – Wrap up your entire concept note. Thank the funder for the opportunity to apply. Paint a picture of how life in your community will be different after your planned project or program is implemented.

Adapted from The Chronicle of Philanthropy
## CORE COMPETENCIES

The American College of Obstetricians and Gynecologists (ACOG) is the United States’ leading professional association focused on improving quality of health care for women. ACOG’s Office of Global Women’s Health addresses critical challenges in health care in low-resource settings to improve women’s health and reduce rates of maternal and newborn mortality and morbidity. Our model of sustainable interventions and strategies includes:

- Enhancing team-based care, quality improvement and integrated clinical training to improve women’s health care.
- Improving medical education, residency programs, continuing education and in-service training.
- Sharing the latest science and evidence-based guidelines on maternal health appropriate to low-resource settings.
- Collaborating with Ministries, universities and other local stakeholders to contribute to harmonization of clinical training curricula, guidelines and educational objectives.
- Strengthening multidisciplinary teams to provide appropriate obstetric care, integrate family planning and other health interventions; developing competent Healthcare workforce to enhance service delivery throughout the continuum of care.
- Increasing capability of professional associations and collaborating with peer professional associations to augment quality of education, team training, and improving facility-based care and data collection for sustainability.

## DIFFERENTIATORS

- **58,000 members**: ACOG is the specialty’s premier professional membership association of obstetricians and gynecologists dedicated to women’s health in the Americas.
- **Fellows**: ACOG Fellows are board certified ob-gyns, who possess unrestricted licenses to practice medicine, and have attained high ethical and professional standing.
- **Authority**: ACOG publishes credible and rigorous medical evidence and defines best practice for medical guidance and medical education standards in residency programs.
- **Twenty years of global health experience**: 20 years in Central and South America, 7 years in Africa and Asia.
- **Washington, D.C.**: ACOG headquarters are in Washington, D.C.
- **Country Experience**: Successfully implemented and managed projects in twenty-two countries in Central and South America, Asia and Africa.

## COMPANY INFORMATION

**Name:** American College of Obstetricians and Gynecologists  
**Location:** 409 12th Street, SW, Washington, D.C. 20024  
**Contact:** Carla Eckhardt, Senior Director, ceckhardt@acog.org  
**Phone:** 202-863-2579, 202-638-5577  
**Website:** www.acog.org/ogwh  
**Type:** 501(c)3  
**NAICS:** 813920  
**DUNS:** 076890524  
**Year of Incorporation:** 1951