

# **Evaluation of the Annual Grant Competition Program**

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by

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## ❖ Executive Summary

The purpose of this evaluation is to provide USIP leadership and staff an assessment of the contribution and impact of the work of USIP's Annual Grant Competition Program from 1996-2006. ***The overall findings of the evaluation are that over the span of time and evolution of strategic allocation, the Annual Grant Competition Program has indeed had a positive impact on its own goals and USIP's mission, and enjoys a positive reputation globally.*** It should be noted that strategic allocation trends will make it increasingly difficult to gauge the Program's impact with any rigor.

USIP sought an assessment of the program's effectiveness in advancing its mission to "prevent and resolve violent international conflicts, promote post-conflict stability and development, and increase conflict management capacity, tools, and intellectual capital worldwide." The Annual Grant Competition Program contributes to this mission in a number of ways.

The evaluation assessed the extent to which the Annual Grant Competition Program has achieved these objectives and contributed to the development of the overall field of conflict resolution and peacebuilding. In addition, the data and information will help program staff and the USIP more broadly to answer such descriptive, accountability, impact, and perception questions as:

- *Descriptive* – Which organizations and individuals have been funded by USIP grants?
- *Accountability* – Are USIP grantees actually doing what they say they were going to do?
- *Impact* – Do USIP grants make a difference?
- *Perception* – How is the Annual Grant Competition Program perceived?

Due to the nature of the Program, there are some methodological constraints on our ability to gauge impact with tremendous rigor. USIP's mission is itself quite broad and has high aspirations, which inhibits this small-scale effort to explore the Program's contributions to that mission. The disciplinary and professional orientation breadth is one obstacle, for example, as the complexity of comparing the impact of an academic book to the impact of a peacebuilding training-of-trainers workshop is daunting. That said, there are several different methods that we employed to ascertain impact of the Program.

An additional set of constraints on our capacity to evaluate the effectiveness of the Program arose from USIP's method of monitoring and evaluation. USIP relies on grantees to report their activities to USIP and sends these materials to external evaluators. In many instances, though, we found that these reports were incomplete and thus external evaluators were not able to adequately assess the quality of the project.

The final constraint on our capacity to assess the impact of USIP grants derives from a lack of clear benchmarks to determine the relative performance of practitioner to research grants. Practitioner grants do not aspire in most cases to make a broad impact beyond the participants in the project while research grants typically aspire towards this goal. Although it is clear that USIP could enhance its public image through allocating greater funds for research, such a move would not necessarily make the Program more effective.

Our findings are based on research methodologies stemming from the need to adapt to the unique context of the Program, and there are limitations on the rigor and possible interpretations that should be recognized.

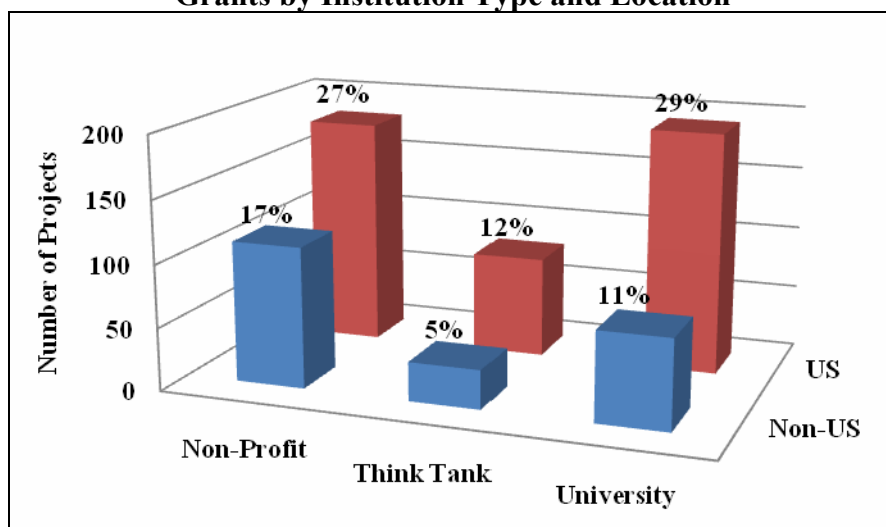
The *descriptive* and *accountability* questions were examined through analysis of USIP-supplied data in the form of external reviews of project results. The *impact* question was examined through analysis of several different sources of data, including academic citations, web hits, and web-based surveys of grantees and non-grantees. The *perception* question was examined through specific questions in the surveys.

We found overall that the Program has indeed had a positive impact on its own goals and USIP’s mission, although it should be noted that trends in the Program’s awarding pose increasing challenges to gauging its contribution to those ends.

Historically dominated by US-based research projects, the Program has gradually shifted more awards toward non-US organizations and practitioner (education and information services) projects. US-based research projects are still the majority, however.

*I will add that it is valuable that the competition is not limited to US citizens. (Researcher)*

**Grants by Institution Type and Location**



At the most basic level of accountability, recipients have completed 90% of their grant projects, 7% are still active, and cancelled, inactive, and rescinded grants represent 1% each. Our analysis of external reviews of completed projects showed that there was no bias with respect to type of organization, geographic location, or grant size, but that there were differences in research versus practice projects. We concluded that (a) the criteria for success should be but generally are not different for the two types of projects; (b) lack of information is a key problem for accurate review of practice projects; and therefore (c) US-based research projects tend to be viewed as more successful. The challenge inherent to the shift described above is thus that it will be more difficult for the Program to enforce accountability and gauge impact, because the existing external review process is ill-suited to non-US based projects and activities besides English-language research publications.

Our analysis of research projects makes clear that USIP's grants in this area have made strong contributions to a number of diverse fields, including ethnic conflict and civil wars, elections and democracy, nuclear proliferation, terrorism, US foreign policy, international organizations, and conflict resolution. That USIP research has affected academic and policy discourse in such a diverse range of areas is an impressive achievement. On the basis of scholarly citation measures, we concluded that:

*The USIP program provides an invaluable bridge between practitioners and scholars with interests on problems of international security. (Researcher)*

- *A few grants have had a large impact, but many grants have had no impact.* A small number of research projects have led to transformational works in areas such as civil conflict, war, and terrorism, going beyond academia to influence US policies and public opinion. Approximately one-third of research projects yielded little or no innovative work, but it is likely that we have under-estimated the impact of some of these projects. In addition, we have no 'peer group' benchmark with which to judge this performance.
- *Program-funded research rivals most productive research in political science.* Scholarly recognition of the most prominent books supported by Program awards is nearly equal to the most widely-respected books published in political science over the same time period.

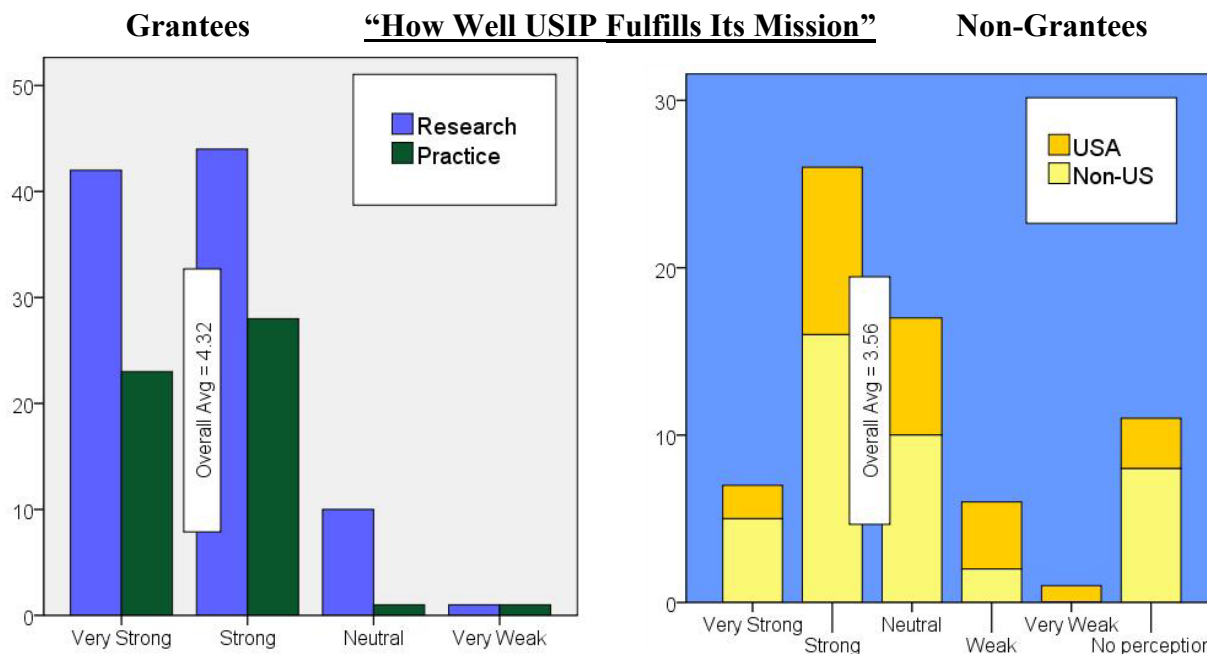
Examples of well-known work include Gourevitch's *We Wish to Inform You that Tomorrow We Will be Killed*, Gunaratna's *Inside al-Qaeda*, Stern's work on terrorism, Gurr's work on ethnopolitical war, and Cohen's books on India and Pakistan.

Our analysis of practitioner projects was complicated by the nature of the work and a lack of relevant impact data. Practitioner projects cover diverse activities that often do not have a physical work product intended for wider distribution. On the basis of a comparison of web 'hits' for prominent practitioner and research projects, we concluded that major practitioner projects performed similar to research projects beyond the handful of most well-known projects. Examples of well-known work include the *World Directory of Minorities* database, *New Tactics in Human Rights* training, the *Applied Conflict Transformation Studies* curriculum, and other curricula for resolution of intractable conflict.

The professional development of grantees was also demonstrably improved because of Program-funded projects, particularly in the kinds of professional activities that communicate new ideas across the research-practice divide. Analysis showed that the two groups were distinct, however, providing further evidence that the Program has two different impact dynamics. This is seen again in the issue of development of intellectual capital, whereby both valued individual development similarly high, but practitioners' greater ambivalence about broader development likely stemmed from a different professional context. Non-grantees on the whole were positive, but displayed slightly more ambivalence about both individual and broader intellectual capital from Program-funded work.

Awareness of USIP as an organization among non-grantees reached almost 90%, with negative responses all coming from outside the US. Almost 75% of non-grantee survey respondents had heard of the Program. On a deeper level, non-grantee awareness of Program-funded work was quite positive when presented with a list of 20 prominent research and practice work products.

Grantees and non-grantees alike value the Program highly: 93% of grantees and 88% of non-grantees would recommend the program to faculty, students, or colleagues. Perception of how well USIP fulfills its mission was similarly strong (below). Both research and practice grantees were strongly positive, with non-grantees again positive but displaying more ambivalence.



Another window into perceptions of the Program comes from the company it keeps, so to speak. Grantees and non-grantees viewed USIP’s peer group a bit differently, but it is interesting to examine the response sets: the top four targets of proposals by grantees were Ford, MacArthur, EU entities, and Carnegie; for non-grantees were USAID, Ford, EU entities, and DfID. Unsolicited comments from the surveys, however, indicated that the Program is unique in many different ways, and is not viewed as simply another source of project funding.

There is no doubt that USIP’s grants program has been overall quite successful. Nevertheless, our analysis suggests four interrelated points that USIP may want to consider going forward:

1. We may have understated impact due to a lack of information;
2. As the strategic allocation of grants evolves, greater and more direct monitoring and evaluation is needed in order to enforce accountability and better understand impact;
3. Research and practice projects have different dynamics of impact; and
4. Increased communication with grantees would result in more thorough knowledge of work products.

## ❖ **Evaluation Introduction, Context, Methodologies and Constraints**

The purpose of this evaluation is to provide USIP leadership and staff an assessment of the contribution and impact of the work of USIP's Annual Grant Competition Program (hereafter "the Program") from 1996-2006. USIP seeks an assessment of the program's effectiveness in advancing the Institute's mission to "prevent and resolve violent international conflicts, promote post-conflict stability and development, and increase conflict management capacity, tools, and intellectual capital worldwide." The Program contributes to this mission in a number of ways. These include:

- Creating new knowledge by supporting research, training, and education in the field of peacebuilding and conflict resolution;
- Strengthening connections between research and practice in the fields of peacebuilding and conflict resolution;
- Enriching the conceptual foundations of the field of peacebuilding and conflict resolution;
- Promoting the development and dissemination of innovative tools and resources in areas in which the Institute is active;
- Informing public policy on issues relevant to peacebuilding and conflict resolution through its support for public information and outreach activities; and
- Serving the public interest by contributing to the presence of a robust nonprofit sector that contributes to peacebuilding and conflict resolution through research, training, education, media, and other activities.

The evaluation will assess the extent to which the Program has achieved these objectives and contributed to the development of the overall field of conflict resolution and peacebuilding. In addition, the data and information that will help program staff and the USIP more broadly to answer such descriptive, accountability, impact, and perception questions as:

- *Descriptive* – Which organizations and individuals have been funded by USIP grants?
- *Accountability* – Are USIP grantees actually doing what they say they were going to do?
- *Impact* – Do USIP grants make a difference?
- *Perception* – How is the Program perceived?

The evaluation will be presented to USIP leadership for comment and subsequent revision as needed, and made available to program staff.

### **Evaluation Context**

The Program, formerly the semi-annual Unsolicited Grant Initiative, is a cross-disciplinary approach supporting innovative peacebuilding projects for both scholars and practitioners in the US and abroad. The substantive, geographic, and eligibility breadth of the Program are its strength as a grant-making effort, but a weakness in terms of being able to demonstrate rigorously its impact on USIP's mission.

### **Evaluation Methodologies and Constraints**

The evaluation utilized a number of different data sources and methodologies to analyze the descriptive, accountability, impact, and perception questions. Due to the nature of the Program,

there are some major constraints on our ability to gauge impact with tremendous rigor. USIP's mission is itself quite broad and aspirational, which inhibits this small-scale effort to explore the Program's contributions to that mission. The disciplinary and professional orientation breadth introduces another obstacle, as the complexity of comparing the impact of an academic book to the impact of a peacebuilding training-of-trainers workshop is daunting. In addition, analyzing the impact of a project proposed by an individual is different than one proposed by a senior practitioner at an established NGO, and different still than one proposed as an organizational priority. Perhaps most importantly, we have no pre-test or counter-factual data to use as a baseline: we cannot explore what an individual's professional trajectory would have been like without the Program award, for example, nor we do know what an organization's capacity to provide peacebuilding curricula to trainers was before the award. Finally, there are no clear benchmarks for 'success' for this grant-making activity, in fact it is not clear what the Program's peer group would be. That said, there are several different methods that we employed to ascertain impact of the Program.

The *descriptive* and *accountability* questions will be examined through analysis of USIP-supplied data. One source is the external reviews of project results. Note that USIP does not conduct regular evaluations of its programs. Rather, USIP requests that grant recipients send to it all outputs the grant has produced, but does not send each file for review nor ensure that grantees send all of the materials their grant produced. Two events trigger an external evaluation: a grant in excess of \$70,000 and an application for a grant by a previous recipient.<sup>1</sup> Large grants account for approximately one-fourth of the total external evaluations while re-applicants account for the remainder. In total, USIP has conducted an external review of approximately one-third of its grants over the evaluation period. The evaluation team reviewed the USIP-supplied database and coded the appraisals as positive, neutral, or negative. The other source of data is the grant allocation patterns that track USIP grants by activity, location, year, institution, and USIP strategic center.

The *impact* question was examined through analysis of several different sources of data. One source of data is *Google Scholar* (<http://scholar.google.com>), which provides information on the number of citations in academic publications. Grants awarded to practitioners, however, presented something of an obstacle, because by nature such work products are not intended for academic publications, but for training, project implementation, and so on. To gauge use of practitioner-generated work products, we utilized search engine 'hits' as a second source by combining multiple terms for work product titles, people, and/or organization. We also compared recognition of USIP supported research to the most prominent scholarly work conducted over the survey period by examining citations of books USIP grants supported to the winners of the American Political Science Association's (APSA) Greg Luebbert Award for the best book in comparative politics. A third source is web-based surveys of grantee and non-grantee populations (see Annexes B and C for the survey instruments). The grantee survey was fielded via SurveyMethods, based on email contact information found in USIP's database and updates generated by the evaluation team. The surveys were completely anonymous, but note that four exact copies of the grantee survey were created in order to distinguish research versus practice and reviewed versus not. We have some concern that grantee survey respondents are self-selected, so that the results may positively over-estimate impact in various aspects. The non-

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<sup>1</sup> Prior to 2004, the threshold was \$40,000.

grantee survey was based in part on the grantee survey, so there are overlapping questions that provide some basis for comparison. Identification and contact of relevant non-grantee populations was difficult, however, as all programs affiliated with the Association of Professional Schools of International Affairs we contacted did not maintain their own database of alumni contact information. Relevant professional associations like APSA, the Association for Conflict Resolution (ACR), and the International Studies Association (ISA) maintain and rent out mailing lists, but this does not include email information. The non-grantee survey was also completely anonymous, fielded in the form of messages posted to relevant discussion forums on two different peacebuilding online networks, the Alliance for Peacebuilding and the Peace & Development Network. As with the grantee survey, there are issues of self-selection that may influence responses, and in addition we have no concrete knowledge of the details of the target population.

The *perception* question was also examined through the grantee and non-grantee surveys, all caveats apply as before. The perception questions also allowed for open-text responses that we will use to gather more qualitative information about perception of the Program's utility and potential peer group. Due to concerns about the parameters and selection bias of the non-grantee survey population, we eschewed comparing grantee and non-grantee responses in favor of highlighting responses in each group with respect to particularly salient characteristics.



## ❖ Evaluation Findings

We found overall that the Program has indeed had a positive impact on its own goals and USIP's mission, although it should be noted that trends in the Program's awarding pose increasing challenges to gauging its contribution to those ends.

Historically dominated by US-based research projects, the Program has gradually shifted more awards toward non-US organizations and practitioner (education) projects. US-based research projects are still the majority, however. The challenge inherent to this shift is that it is more difficult for the Program to enforce accountability, because the existing external review process is ill-suited to non-US based projects and activities besides English-language research publications.

The impact of Program-funded work is incredibly high with respect to a small number of projects, particularly but not exclusively research efforts culminating in books. Constraints on our ability to gauge impact of work products has likely led to an under-estimation of its effectiveness, it should be noted. That said, it is clear the Program-funded research has an impact on the field similar to the leading publication of the political science discipline generally. Assessing the contribution of practitioner projects was very difficult in its own right, as the tools and information sources available for research work products do not catch the types of activities conducted by practitioner awards. Non-grantees are aware of and use prominent Program-funded work products, largely through research or a combination of research with teaching or programming, and particularly among US-based researchers. Grantees and non-grantees alike valued how the award enhanced their professional development, albeit in different ways. Both researchers and practitioners thought their own intellectual capital was strengthened considerably by the award, with the former more positive than the latter.

Perceptions of the Program's utility and contribution were quite strong, as well. Non-grantees were overwhelmingly aware of both USIP and the Program. Similarly high numbers would recommend the Program to students and colleagues, though it should be noted that negative ratings came predominantly from US respondents. Grantees had a strong positive perception of how well the Program fulfills USIP's mission, while non-grantees were more neutral. Each group also viewed USIP's peer group a bit differently, perhaps because the survey populations themselves differed: the top four targets of proposals by grantees were Ford, MacArthur, EU entities, and Carnegie; for non-grantees were USAID, Ford, EU entities, and DfID.

The findings are based on research methodologies stemming from the need to adapt to the unique context of the Program, and there are limitations on the rigor and possible interpretations that should be recognized.

### **Descriptive Findings**

Table 1 below shows annual proportion of grants by each type, demonstrates clearly how dramatically USIP's allocation has changed during the survey period. In the mid to late 1990s, research accounted for about three-fourths of all grants, education for about 20% to 25%, and information for never more than 5%. By the mid-2000s, these proportions had change to about 65%, 30%, and 5% for research, education, and information services, respectively.

It is difficult for us to determine whether this shift derives from a conscious effort to change the distribution of grants over the time period or reflects an increase in the number and/or quality of

education and information services grant proposals relative to those for research as USIP does not track grant submissions by this criterion.

**Table 1: Proportion of Annual Grants by Program Type**

	Education	Information	Research
<b>1996</b>	21%	5%	74%
<b>1997</b>	22%	2%	76%
<b>1998</b>	24%	2%	74%
<b>1999</b>	33%	2%	65%
<b>2000</b>	36%	2%	62%
<b>2001</b>	21%	1%	77%
<b>2002</b>	28%	5%	67%
<b>2003</b>	44%	7%	49%
<b>2004</b>	33%	2%	65%
<b>2005</b>	20%	18%	62%
<b>2006</b>	45%	11%	43%
<b>Average</b>	<b>30%</b>	<b>5%</b>	<b>65%</b>

**Table 2: Annual Grants by Institution Type**

	Non-Profit	Think Tank	University
<b>1996</b>	31 (42%)	15 (21%)	27 (37%)
<b>1997</b>	19 (28%)	11 (16%)	37 (55%)
<b>1998</b>	31 (48%)	11 (17%)	22 (34%)
<b>1999</b>	21 (40%)	7 (13%)	25 (47%)
<b>2000</b>	34 (48%)	13 (18%)	24 (34%)
<b>2001</b>	25 (42%)	9 (15%)	25 (42%)
<b>2002</b>	38 (57%)	7 (10%)	22 (33%)
<b>2003</b>	22 (46%)	11 (23%)	15 (31%)
<b>2004</b>	20 (36%)	9 (16%)	27 (48%)
<b>2005</b>	16 (40%)	3 (8%)	21 (53%)
<b>2006</b>	21 (42%)	13 (26%)	16 (32%)
<b>Total</b>	<b>278 (43%)</b>	<b>109 (17%)</b>	<b>261 (40%)</b>

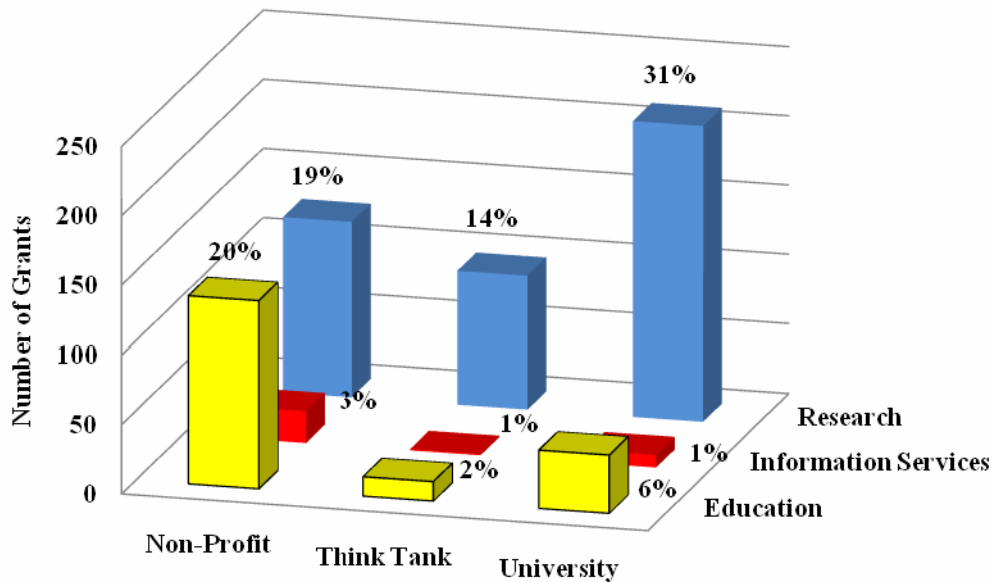
Having examined grants by type over the survey period, we turn to grants by institution type, non-profit, think tank, and university. Table 2 shows these in terms of the number and proportions of grants to the three types of institutions. USIP has made the largest number of grants to non-profits (278 over the survey period), followed closely by universities (261), and has made far fewer grants to think tanks (109). Over this time, grants to non-profits and universities

*USIP, in my view, is a relevant institution because it adapts its priorities to the current developments and has capability to identify them in a very specific way.*  
(Researcher)

accounted for approximately 40% each while those to think-tanks accounted for about 20%. The table also shows that the reduction in the overall number of grants per year has fallen evenly across institutions. As a result, the proportion of grants going to each type of institution did not change significantly over the survey period.

Figure A below examines grants by institution and type. The types of grants vary systematically between non-profits on the one hand, and universities and think tanks on the other. By far the most common type of USIP grant over the period was to universities for research. These grants account for close to one-third of all USIP’s grants over the evaluation period. USIP grants to non-profits were equally split between research and education, each accounting for approximately twenty percent of all grants. Grants to think-tanks, almost exclusively for research, account for about 17% of total grants.

**Figure A: Grants by Type and by Institution**



We next examine grants by US versus foreign recipients. Over the survey period, USIP has extended approximately 70% of its grants to institutions within the United States. Table 3 shows that USIP has reduced the number of grants it extends to institutions based in the United States dramatically over the survey period. Consequently, the share of grants going to US institutions has fallen from about 75% between 1996 and 1999 to approximately two-thirds since 2003. There is no difference in the size of grants between US and non-US based institutions.

**Table 3: Annual Grants by Institution Location**

	Non-US	US	US/Total
1996	19	55	74%
1997	18	50	74%
1998	13	51	80%
1999	15	38	72%
2000	33	39	54%
2001	19	41	68%
2002	22	46	68%
2003	11	38	78%
2004	22	34	61%
2005	14	26	65%
2006	21	30	59%
<b>Total/Avg</b>	<b>207</b>	<b>448</b>	<b>66%</b>

**Figure B: Grants by Location and Type**

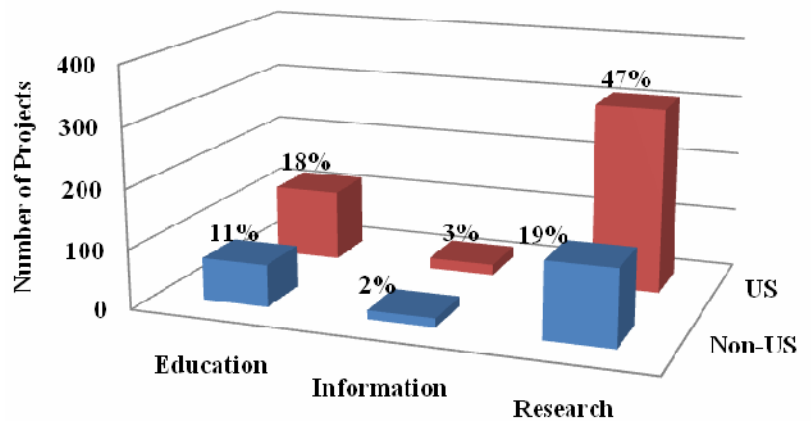
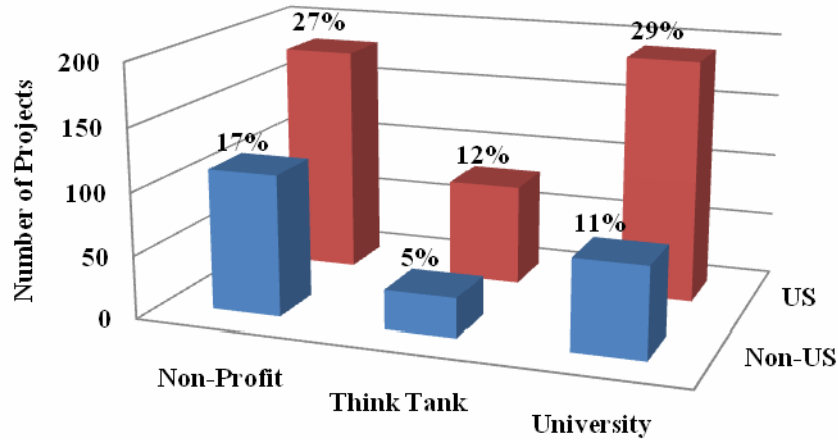


Figure B examines USIP’s grants between US and non-US institutions by type of grant. US grants for research account for the highest share for US institutions, 47%, while those for information services account for the fewest. Figure C below analyzes grants by type of institution and by

location. Grants to US universities account for the largest share of this category, 29%, followed closely by US non-profits, 27%.

**Figure C: Grants by Institution Type and Location**



The final trend we analyze is grant by USIP strategic center over the evaluation period (Table 4): Conflict Analysis and Prevention (CAP), Mediation and Conflict Resolution (MCR), Post-Conflict Peace and Stability (PCPS), and Peace Building Capacity and Tools (PBCT). Approximately 30% of grants were for CAP, nearly 25% each were for PCPS, and PBCT, and about 20% of grants went to MCR. USIP grants to these areas do not show a large amount of variation in overall trends over the survey period.

**Table 4: Annual Grants by USIP Strategic Center**

	CAP	MCR	PCPS	PBCT
1996	20	17	16	21
1997	17	19	13	19
1998	18	15	10	21
1999	20	11	10	12
2000	19	18	17	17
2001	18	14	16	11
2002	19	12	20	16
2003	18	6	11	13
2004	20	5	19	12
2005	9	9	13	9
2006	16	16	12	7
<b>Total</b>	<b>194</b>	<b>142</b>	<b>157</b>	<b>158</b>

**Accountability Findings**

At the most basic level of accountability, recipients have completed 90% of their grants, 7% are still active, and cancelled, inactive, and rescinded grants account for approximately 1% each.

In this section, we measure the accountability of USIP grants through a detailed study of external reviews of them. Before we examine the content of the reviews, it is important to discuss the appraisal process and the methodology we employ in our analysis of them. USIP does not conduct

regular reviews of Program awards. Rather, USIP requests that grant recipients send to it all outputs the grant has produced, but does not send each file for review nor ensure that grantees send all of the indirect or future materials their grant produced over time.<sup>2</sup> Two events trigger an external review, a grant in excess of \$70,000 and an application for a grant by a previous recipient. Large grants account for approximately one-fourth of the total external reviews while re-applicants account for the remainder. In total, USIP has conducted an external review of approximately one-third of its grants over the evaluation period.

One large concern we have about the utility of employing the content of external reviews as a method of understanding the impact of USIP's annual grants program is that the reviewed grants may represent a biased sample of all grants. In particular, since 75% of the external reviews come from former grantees seeking new projects, there is a strong possibility that selection bias may hinder what we can derive from an analysis of external reviews. The reason for this is because if grantees who performed well are more likely to apply for another grant than those who perform poorly, the results of the external reviews will be biased heavily towards more effective projects. Consequently, before we examine the content of the reviews, we must attempt to determine if we have a biased sample.

The most effective method for testing for sample bias in terms of re-applicants is through a random review of those who have not reapplied. If the distributions of both types of grants are similar in terms of their success rates, then selection bias among re-applicants is not likely to exist. Fortunately, USIP engages in just this type of activity. Specifically, USIP reviews all grants over \$70,000, but does not inform the grant recipients of this policy.<sup>3</sup> Hence, from the point of view of the grantee, the external review is random. Since it is reasonable to presume that those who are re-applying are more likely to think USIP will review their performance than those with large grants, comparing reviews of new applications by former grantees to those of recipients of large grants is a reasonable method for examining for selection bias among the latter.

The final pieces of information we need to discuss before examining for selection bias is to describe how USIP evaluates its grants and how we transformed those reviews into a form suitable for testing for selection bias. When USIP performs an external review, it typically sends all the grant materials the grantee supplies to one reviewer who undertakes a qualitative examination. We coded the reviews as positive, negative, or neutral. In most cases, external reviewers stated their evaluation explicitly. In the cases where reviewers were less explicit, we coded a grant as positive if reviews were mainly upbeat, negative if the comments were mainly critical, and neutral reviews were possessed even amounts of praise and criticism. The data demonstrate that no apparent selection bias among re-applicants for USIP grants. Specifically, reviews of re-applicants were 57% positive, 23% neutral, and 20% negative (see Table 5). For external reviews of large grants, 59% were positive, 14% were neutral, and 27% were negative. Since the positive reviews of large grants and previous grant recipients are similar (especially with regard to success rates), the results do not suggest successful previous grantees were more likely re-apply.

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<sup>2</sup> As will become clear in our analysis, this lack of information inhibits our capacity to determine the effectiveness of the programs. For practitioner grants, a number of external evaluators cited lack of review materials as an impediment to their capacity to ascertain the quality of the project. For research grants, lacking a comprehensive list of all publications likely results in us understating the volume of academic citations the grants have produced, an issue we describe in great detail in the next section.

<sup>3</sup> It is possible that recipients of large grants might be motivated to perform better because they know the size of the grant is large compared to the typical USIP grant. However, for this to be the case, grant recipients would need to have grant-level data and to know what qualifies as a large grant, information they are unlikely to possess.

Although there appears to be no selection bias evident among more successful re-applicants, there is a trend in the grant reviews that it is important to note. Reviewed grants are heavily skewed towards the early years of the survey period. Two-thirds of them occur before 2000 and ninety percent before 2003. This trend is not surprising for two reasons. First, if grants proposal from re-applicants occur apply at roughly the same rate, we would expect the number of them to rise over time. Second, grantees must complete their work on the prior grant before applying for a new one. Thus, it is logical to expect a low number of re-applicants in the years prior to the end of the survey period. These trends are important to document because USIP grant allocations have changed dramatically over time. Specifically, the data we presented in the overall trend analysis shows that USIP has shifted its allocation more towards practitioner grants (i.e., education and information services) at the expense of research over the survey period. Thus, the reviewed grants have a larger proportion of those for research as compared to USIP’s current grant program.<sup>4</sup>

**Table 5 – Number of Evaluations by Year**

<b>Year</b>	<b>Negative</b>	<b>Neutral</b>	<b>Positive</b>	<b>Total</b>
<b>1996</b>	11	11	20	43
<b>1997</b>	4	6	17	27
<b>1998</b>	1	4	16	21
<b>1999</b>	7	8	18	33
<b>2000</b>	4	6	8	18
<b>2001</b>	7	6	10	23
<b>2002</b>	2	0	13	15
<b>2003</b>	1	2	10	13
<b>2004</b>	1	3	3	7
<b>2005</b>	0	1	2	3
<b>2006</b>	0	0	2	2
<b>Total</b>	<b>38</b>	<b>47</b>	<b>119</b>	<b>205</b>

Prior to examining the content of external reviews, it is important for us to stress their limitations. Most problematic is that external reviews rely on the reports of the grant recipients and USIP does not verify the accuracy or comprehensiveness of the reports. In addition, USIP conducts reviews remotely. Reviewers do not travel to project sites or interact directly with grantees.<sup>5</sup> The result is that external reviewers of research grants are likely to possess more information than those of practitioner programs. Papers and books that grant recipients write are easy for reviewers to analyze. Alternatively, many grants for education and information services (henceforth practitioner grants<sup>6</sup>) are far more difficult to evaluate remotely as the benefits of the programs are likely to be far more local and confined to the population who participated in them.<sup>7</sup> Thus, reviews of research grants may not be directly comparable to those for education and information.

<sup>4</sup> The external evaluations contain 60% research grants and 40% practitioner ones. In 2006, 40% of USIP’s grants were for research and 60% were for practitioners.

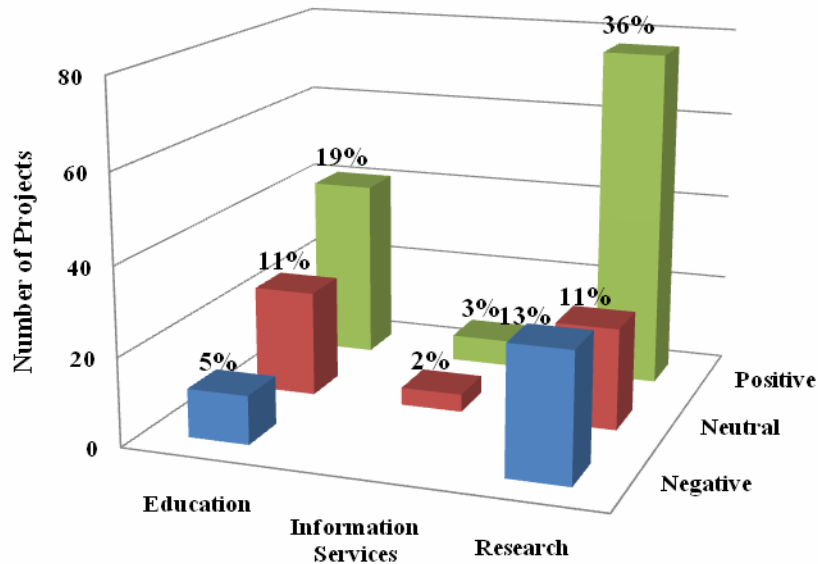
<sup>5</sup> Evaluators of two practitioner grants were able to travel to the grant site. Both evaluations were highly positive.

<sup>6</sup> To simplify our analysis, we divided USIP grants into practitioner and research. Practitioner grants are those for education and information services. We combined these two categories into one due to the relatively small number of grants for information services (17% of the total) and because these grants tend to focus more on dissemination of information and project implementation more than those for original research.

<sup>7</sup> However, this would not include a number of practitioner grants, such as those for documentaries and movies, creation of educational materials, and developing resources that are available on the internet.

Figure D below examines the context of the external reviews to uncover the determinants of positive, neutral, and mixed appraisals. We first present information on review outcomes by grant purpose. Reviews of practitioner grants possess a highly different pattern than those of research. Looking within categories, about 58% of research and practitioner grants possess positive reviews. The differences emerge from neutral and negative reviews. Approximately one-quarter of practitioner grants have neutral reviews while about 10% are negative. Reviews of research grants are slightly more negative than neutral.

**Figure D: Evaluation by Type of Grant**



Our analysis of review content reveals two principal reasons to explain the divergent outcomes between practitioner and research grants are not mutually exclusive:

- *Different Models for Success.* Research grants in part have a more bi-modal distribution than practitioner ones because the former support original work while the latter often are able to use templates of existing successful programs. While research grants earn positive reviews as a result of the quality of innovative insights they produce, evaluators often praise practitioner grants for using of effective existing models. Consequently, practitioners are more likely to possess a template for executing successful programs than researchers.
- *Information Availability.* As we previously hypothesized, external reviewers of research are likely to possess more information than those of practitioners and therefore may be more able to form a more concrete evaluation.<sup>8</sup> Alternatively, it is possible that reviewers are reluctant to criticize a program when they lack full information. There is evidence to support the hypothesis that poor information is one cause of higher neutral reviews and fewer poorer ones for practitioner grants. Of the neutral external reviews of practitioner grants, approximately 43% cited poor reporting as a cause for that assessment. Only one-third of the negative ratings cite this as a cause. Moreover, none of the research-oriented grants cited poor documentation as a cause for either a negative or neutral assessment.

<sup>8</sup> This was not the case for all practitioner grants however. For example, evaluators of grants that supported creating movies or developing educational materials possess information similar to those of research grants.

What is most evident from our analysis is that reviewers of research employ a very narrow criterion to analyze the effectiveness of grants, while those of practitioner grants employ a wide range of factors. Reviewers give neutral and negative reviews to research grants that produce shallow, unoriginal, or questionable findings. Practitioner grants, by contrast, receive neutral or negative reviews for a variety of reasons, including not implementing effective techniques, lack of sufficient information, and poor organization of program activities. A small number of reviewers also cite problematic security environments (e.g., Somalia) or the difficulties of the conflict (e.g., Israel/Palestine) as threats to the outcome of a grant or a reason why the grant recipients are unable to carry out the grant fully. Thus, while one criterion exists for successful research, numerous exist for practitioner grants. Since the latter encompass a far greater range of activities than the former that a greater range of criteria exist to review them is not surprising.

When looking at grants by organization (Figure E), positive reviews of non-profits is the modal outcome. Examining the types of programs that received positive reviews for non-profits is also instructive. Non-profits received approximately half of the grants with external reviews. Of these, approximately 40% were for research and 60% were for practitioners. The success rate of the latter was approximately 50%, while two-thirds of the research undertaken by non-profits received a positive evaluation. This success rate is far higher than that of universities (approximately 50%) and about the same as think tanks.

**Figure E: Grant Evaluation by Institution**

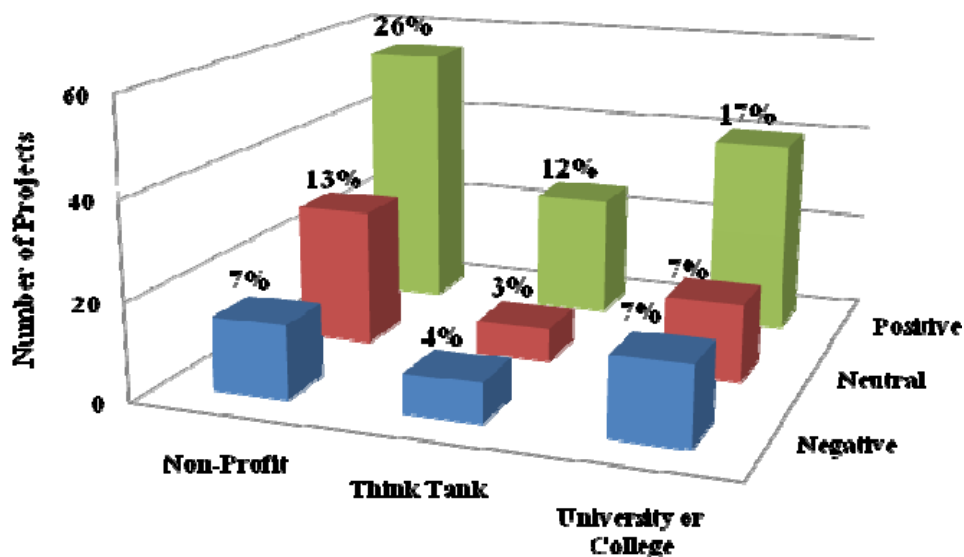


Table 6 below disaggregates research reviews by US and foreign recipients to attempt to uncover trends of project reviews by institution location. The table reveals two very interesting observations. First, by far the modal outcome is positive reviews of research grants undertaken within the United States. Second, the highest ratio of positive reviews to neutral and negative ones is research in the United States.<sup>9</sup> These results strongly suggest that research grants for institutions based in the United States have been the most successful part of USIP’s annual grants program, from the aggregate point of view of external reviewers. The lowest ratio of positive reviews to neutral and negative ones is for practitioner grants to institutions outside the US followed closely by those for research to foreign organizations.

<sup>9</sup> We calculate this by dividing positive evaluations by the sum of neutral and negative ones.



**Table 6 – Grant Reviews by Type & Recipient**

	Foreign	United States
<b><u>Practitioner</u></b>		
Positive	7%	14%
Neutral	5%	8%
Negative	2%	3%
<b><u>Researcher</u></b>		
Positive	7%	28%
Neutral	3%	8%
Negative	3%	10%

**Table 7 – Outcome of Subsequent Proposal**

	Supported	Rejected
Positive	32%	24%
Neutral	11%	12%
Negative	4%	16%

Grant outcomes correlate strongly with subsequent USIP support (Table 7). Although we can make no causal claims, the patterns are important to highlight. Close to one-third of positive reviews received subsequent support, while this occurred with only 11% and 4% of neutral and negative ones, respectively.

It is important for us to note that grant evaluations do not necessarily reflect broader consensus on the impact of the grant. This is most evident from the review of Ted Gurr’s grant, *Trends in Ethnopolitical Wars and Their Settlements in the 1990’s*. While the external evaluation of the grant was critical of the articles and book the grant supported, these publications are the most cited research USIP has supported over the evaluation period.

Finally, it is important to note that size of grant seems to have no effect on its review outcome. The mean size of a positive review was \$35,000, neutral \$31,000, and negative \$34,000.

Our analysis of the content of external reviews points to three conclusions:

- *Criteria for Success.* The success of research grants is generally a function of one criterion, the amount of innovative findings they produce. The success of grants for education and information services, by contrast, depends on a far greater range of factors. External reviewers cited competence of the program initiators, their use of existing effective models, their development innovative techniques, and the external context in which the program takes place as reasons for their reviews.
- *Lack of Information.* Unclear and/or incomplete reporting of the activities practitioner grants support often inhibits the capacity of external reviewers to evaluate the results of the program.
- *Most Successful.* The most successful projects USIP has funded in terms of the percentage of them that earn positive reviews have been for research by non-profits and think tanks based in the United States.

**Impact Findings**

We evaluated the impact of the Program in several ways, precisely because impact is difficult to ascertain: there are no ‘pre-treatment’ data, there is no explicitly-defined causal process connecting funded projects and USIP’s broad and aspirational mission, and because USIP practitioner grants

support a highly diverse range of activities, such as facilitating dialogue, creating films, and developing educational materials.

One source of impact data is the number of citations of USIP-funded research work in academic publications, found in using *Google Scholar*, a website that identifies the number of citations of scholarly research. Grants awarded to practitioners, however, presented something of an obstacle, because by nature such work products are not intended for academic publications, but for a diverse range of activities, such as training, project implementation, and facilitating dialogue. To gauge use of practitioner-generated work products, we utilized search engine ‘hits’ as a second source by combining terms for work product titles, people, and/or organization. Following on the above section’s discussion of information availability, it should be noted that many practitioner projects are likely not to come anywhere near the internet due to technological infrastructure and activity nature. A third source is web-based surveys of grantee and non-grantee populations.

### ***Research Citations***

In this section, we review the success of USIP research grants by their impact on the academic and policy communities. While we lack a clear and easily quantifiable mechanism for assessing the external influence of a practitioner grant, we possess one for research grants, citations of the publications they produce. Citations are an excellent method to employ for evaluating the impact of these grants for two reasons. One, it is the standard method that scholars utilize to evaluate research impact. Two, as opposed to external evaluations which prompt a review of a research project, citations occur independently of the knowledge of the underlying grant USIP extended to support the work. Thus, they measure the impact of the research beyond those who are made aware of it by USIP. In this section, we first examine the aggregate statistics on citations. We then highlight some of the more notable research grants.

Before we undertake our analysis, it is very important for us to stress the limitations of what we can learn by examining research citations. Most important, our results are likely to understate the total amount of research generated by USIP projects, as USIP does not possess a comprehensive set of research outputs. To remedy this lack of information, we created our own database. We augmented the list USIP provides in *The Grant Program: 1986-2005* provides contacting project directors to ask for additional research USIP grants supported and searched the internet by project director, title, and variations on the title. We believe that our internet searches understate the total quantity of research for two reasons. One, due to language problems, relying on the internet made it nearly impossible to identify research not generated in English. Two, when conducting internet searches, it was often difficult for us to identify if a USIP grant supported the research.

Aggregate data on citations of publications USIP grants have supported possess bifurcated properties. Over the evaluation period, USIP has supported 438 research grants and the publications of these projects we could identify have been cited a total of 8,744 times, or an average of 20 citations per grant (Table 8). The median citation per grant is two and the standard deviation of citations is 51. These three statistics indicate a highly skewed distribution: a small number of highly influential grants and a large number that generated no public impact. Further analyses of citation data support this conjecture. Approximately forty percent of the grants have no citations while the top 10 cited grants (2% of the total number of research grants) account for one-third of the total citations and the top cited 50 grants (slightly more than 10% of the total) account for close to three-fourths of the total citations. These results suggest that a small number of USIP’s research grants generated a large impact while the majority have generated little to no public response.

**Table 8 – Descriptive Grant Citations Statistics**

<u>Raw Data</u>		<u>Data As a Share of Total Grants</u>	
<b>Total Number of Research Grants</b>	438	<b>No Citations</b>	42%
<b>Total Number of Citations</b>	8,744	<b>More than 50 Citations</b>	10%
<b>Mean</b>	20	<b>More than 100 Citations</b>	5%
<b>Median</b>	2	<b>Top 10 Citations/Total Citations</b>	33%
<b>Standard Deviation</b>	51	<b>Top 25 Citations/Total Citations</b>	54%
<b>Minimum</b>	0	<b>Top 50 Citations/Total Citations</b>	72%
<b>Maximum</b>	540		

We believe these results understate the external impact of these grants for a number of reasons. Most important, a more thorough analysis of the research proposals reveals that many of them did not have scholarly publications as a primary objective. Of the 438 grants USIP made for research over the evaluation period, approximately 40 of them, close to 10% of the total, state that their primary objective is for purposes other than scholarly publications, such as holding conferences, convening workshops and training sessions, and facilitating dialogue. While the project directors of most of these proposals state they will create publications with their grants, they are not ones that scholars would typically cite, such as training manuals, policy briefs, and workshop summaries. As a result, we can gain a more accurate portrayal of the impact of USIP’s research grants on the policy and scholarly communities by excluding those whose main purpose was not to produce academic scholarship (Table 9)

When examining citations of USIP grants whose primary function was for research, a slightly positive picture emerges. Over the survey period, the mean citation per grant was 22 and the median was three. There are no citations from the publications of one-third of these grants.

**Table 9 – Descriptive Research Grant Citations Statistics:  
Research as Primary Objective**

<u>Raw Grant Data</u>		<u>Data As a Share of Total Grants</u>	
<b>Total Number of Research Grants</b>	400	<b>No Citations</b>	37%
<b>Mean</b>	22	<b>More than 50 Citations</b>	11%
<b>Median</b>	3	<b>More than 100 Citations</b>	5%
<b>Standard Deviation</b>	53		

Nevertheless, even after excluding grants whose primary purpose was other than to create scholarly publications, we have reasons to believe that we are still under-estimating the productivity of these grants. First, nearly one-third of these grants went to countries whose primary language is not English. Thus, as a result of language barriers, our internet searches were unlikely to uncover the publications these products produced. Second, USIP allocated another six grants that lack citations in 2006. It is likely that an insufficient amount of time has elapsed since USIP disbursed the grant for publications to emerge from them. Since close to 35% of the grants without citations were either given to individuals living in countries where English is not the primary language or since 2006, it is likely that fewer than 37% of the publications lack (or will lack) citations.

Table 10 below lists some of the most productive USIP research projects, those with 60 or more citations. Over the evaluation period, 39 research grants (approximately 10% of the total) have led

to set of publications that scholars have cited 60 or more times. To USIP's credit, a small number of them have had a very large academic and policy impact

USIP has supported five research projects that have made a major impact on the public, far beyond the academic and policy communities:

- Perhaps the most famous USIP-supported research over the evaluation period was Philip Gourevitch's 1996 grant, "After the Genocide." This project produced the New York Times best-seller *We Wish to Inform You that Tomorrow We Will Be Killed with Our Families* on Rwanda's genocide.
- The second most cited project USIP supported over the evaluation period was to Rohan Gunaratna in 1999 for "Explaining Suicide Terrorism." The book the grant supported, *Inside Al-Qaeda*, received an enormous praise from extremely influential and high-profile publications, such as *The Economist*, *Foreign Affairs*, *The Financial Times*, *The Sunday Times* (London), *The Times* (London), and *The Washington Post*.<sup>10</sup>
- Jessica Stern is the second most cited scholar for two grants, "Terror in the Name of God" (2000) and "Loose Nukes, Poisons, and Terrorism" (1997). "Terror in the Name of God" led to a highly successful book of the same title that analyzes the factors motivating individuals to initiate a terrorist attack for religious purposes and is a New York Times notable book. The book received a significant amount of attention from the press and ABC News, CBS News, and CNN, among other media outlets, interviewed her about it. The latter grant led to *The Ultimate Terrorists*, a book that examines the possibilities that terrorist groups could acquire nuclear weapons. The book had a major impact on the public. Stern appeared on CNN and PBS to discuss it and numerous agencies of the US Government, such as the Centers for Disease Control and NASA, and international organizations, such as the International Atomic Energy Association, have noted the importance of her work on the issue. Stern's work on this issue also has been noticed by the movie industry. Nicole Kidman played Stern in a movie about nuclear terrorism, *The Peacemaker*.
- Pumla Gobodo-Madikizela received a grant in 2001, "The Cry of Apartheid's Crusader," to write a book on Eugene de Kock, the head of the *Vlakplass*, a South African Police death squad unit. The book Gobodo-Madikizela wrote, *A Human Being Died that Night*, won South Africa's highest literary prize in 2004, the Alan Paton Award for Non-Fiction Writing.

A number of USIP research grants have made a major impact in the academic and policy communities. Below, we discuss some of the more prominent ones.

- By far the most widely-cited research USIP has funded over the evaluation period is Ted Gurr's 1998 grant, "Trends in Ethnopolitical Wars and their Settlement in the 1990s." This research led to a highly successful book, *Minorities at Risk*, a widely-cited article in *Foreign Affairs*, *Ethnic Warfare on the Wane*, and the Minorities at Risk database that tracks the status of ethnic groups at risk of persecution.

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<sup>10</sup> It is important for us to note that we have been unable to determine explicitly whether USIP directly supported this research as USIP does not have a record of it and Gunaratna did not respond to our email solicitation. Nevertheless, we credited USIP with supporting the research as the book fits extremely closely to the proposal and it came out three years after USIP extended the grant.

**Table 10 – Total Research Project Citations Counts**

<b>Project Director</b>	<b>Number</b>	<b>Project Title</b>	<b>Citations</b>
Ted Gurr	105-98S	Trends in Ethnopolitical Wars & Their Settlements in the 1990's	540
Rohan Gunaratna	050-99S	Explaining Suicide Terrorism: Its Causes, Characteristics & Consequences	360
Philip Gourevitch	093-96S	After the Genocide: Hutu & Tutsi in Rwanda & Burundi	359
Jessica Stern	101-00F	Terror in the Name of God	263
Priscilla Hayner	059-96S	Truth Commissions: Evaluating Their Impact & Effectiveness	258
Snyder & Mansfield	032-95F	Democratization, Nationalism, & War	224
Jessica Stern	040-97S	Loose Nukes, Poisons, & Terrorism: New Threats to International Security	223
Rogers Brubaker	123-01S	Intractable but Non-Violent Ethnonational Conflict in East-Central Europe	218
Ben Reilly	060-00S	Constitutional Engineering in Divided Societies	176
Michael O'Hanlon	017-97F	Technology & Warfare in the Early 21st Century	162
Paul Huth	114-98F	Democracy & the International Politics of Territorial Disputes, 1919-1995	159
Robert Bates	025-97S	Violence in Africa	155
Stephen Cohen	067-98F	India: An Emerging Power	151
Joanne Bauer	124-00F	Making Human Rights Work: A Research & Dialogue Project	121
David Cortright	041-96S	Economic Sanctions & Humanitarianism	120
Stuart Kaufman	098-97F	Ethnic War in Eastern Europe	115
Marc Howard Ross	138-97F	The Cultural Dynamics of Ethnic Conflict & its Management	114
Gobodo-Madikizela	113-01S	The Cry of Apartheid's Crusader	108
R. Bates Gill	124-99S	Contrasting Visions: American & Chinese Views of World Order	103
Staub & Pearlman	109-01S	Preventing Renewed Violence in Rwanda: A Program for Leaders	103
Francis Deng	679	Production in Arabic of War of Visions	100
Arun Elhance	072-97S	Negotiations & Mediation for Transboundary Water-Sharing Agreements	100
Richard Caplan	092-02F	The International Administration of War-Torn Territories	94
Robert Ross	062-00F	Deterrence in East Asia: The United States, China, & Regional Conflict	91
Augustine Ikelegbe	235-01S	Public Policy, Oil, & Environmental Conflicts	86
Cheng Li	048-01F	Generation Leaders	83
Meron Benvenisti	020-01F	The Morning After	83
Jennifer Widner	139-97S	Building the Rule of Law: Judges & Judicial Independence in Africa	81
AlejandrodelaFuente	024-98S	Race & Conflict in the Cuban Transition	81
Bruce Dickson	104-98S	The Chinese Communist Party & Private Entrepreneurs	78
Douglas Johnston	697	Task Force on Zaire	76
Michael Shifter	199-01S	Regional Perspectives on Andean Problems	67
Patrick & Garbo	147-97F	Pledges of Aid Multilateral Donors & Support for Postwar Reconstruction	66
Stephen P. Cohen	177-01F	Pakistan: Misdirected State	63
McGarry & O'Leary	025-96S	Regulating National & Ethnic Conflict	63
Chaim Kaufmann	116-96F	Possible & Impossible Solutions to Ethnic Civil Wars	63
Cecilia Albin	109-96F	Improving the Effectiveness of International Negotiation	63
Ali Carkoglu	097-01S	The Role of Public Opinion in Greek-Turkish Relations	62
Martha Crenshaw	703	The Public Debate over American Policy Toward International Terrorism	61

- Priscilla Hayner received a grant in 1996 for “Truth Commissions: Evaluating their Impact and Effectiveness.” Practitioners and scholars in the field recognize the book the project supported, *Unspeakable Truths*, as the definitive work on truth commissions.
- Jack Snyder’s and Edward Mansfield’s 1996 grant, “Democratization, Nationalism, and War,” led to their very successful book, *Electing to Fight*. The book demonstrates clearly that emerging democracies with weak political institutions are more likely to initiate wars than stable democratic or authoritarian countries. The book has attracted a significant amount of attention from policymakers because of its warnings that democracy assistance programs in addition to facilitating democratic transitions can increase the likelihood of conflict.
- USIP’s grant in 2000 to Ben Reilly for “Constitutional Engineering in Divided Societies,” supported a book that received significant praise from scholars and attracted substantial attention from the democracy assistance community, *Democracy in Divided Societies*. The book examines the types of electoral systems that can best mitigate conflict in ethnically or religiously polarized countries.
- USIP has extended two grants to David Cortright, “Economic Sanctions and Humanitarianism” (1998) and “Targeted Economic Sanctions” (1996). Beyond scholarly research, Cortright influenced public debate about sanctions, writing for policymakers and the general public in publications as diverse as the *Los Angeles Times*, *The Nation*, and *Defense News*.
- Stephen Cohen received two of the most widely-cited grants over the survey period, “India: An Emerging Power” in 1998 and “Pakistan: Misdirected State” in 2001. “India: An Emerging Power” led to a book of the same name and “Pakistan: Misdirected State” led to *The Idea of Pakistan*. Both books were praised highly by influential publications in South Asia such as *India Today*, India’s largest magazine, and *The Times of India*, the country’s leading English-language newspaper, as well as from prominent think tanks, such as The Institute of Strategic Studies, Islamabad.

The research projects we noted above makes clear that USIP’s grants in this area have made strong contributions to a number of diverse fields, including ethnic conflict and civil wars, elections and democracy, nuclear proliferation, terrorism, US foreign policy, international organizations, and conflict resolution. That USIP research has affected academic and policy discourse in such a diverse range of areas is an impressive achievement.

Recognition rates of USIP’s most productive research are similar to those in the broader academic community over the survey period. To examine the impact of USIP’s most prominent research grants as compared the most important scholarly work published over this time, we examined the number of citations of USIP’s five most recognized books against the winners of APSA’s Gregory Luebbert Award for the best book in comparative politics for the past 10 years (Table 11). The average number of citations for USIP’s top five books was 369 while the average number of citations of the Luebbert Award winners was 345.

**Table 11 – Relative Recognition of USIP-Supported Research**

<b>Author and Book</b>	<b>Citations</b>
<b><i>Five Most-Cited USIP Books:</i></b>	
Ted Gurr, <i>Peoples Versus States</i>	403
Philip Gourevitch, <i>We Wish to Inform You that Tomorrow We Will Be Killed</i>	402
Priscilla Hayner, <i>Unspeakable Truths</i>	402
Rohan Gunaratna, <i>Inside al-Qaeda</i>	360
Jessica Stern, <i>Terror in the Name of God</i>	279
<b>Average</b>	<b>369</b>
<b><i>Winners of Gregory Luebbert Award, 1998-2007</i></b>	
Gary Cox, <i>Making Votes Count</i>	1441
Jeffrey Herbst, <i>States and Power in Africa</i>	567
Ashutosh Varshney, <i>Ethnic Conflict and Civic Life</i>	410
David Laitin, <i>Identity in Formation</i>	389
Nicholas van de Walle, <i>African Economies and the Politics of Permanent Crisis</i>	323
John Huber and Charles Shipan, <i>Deliberate Discretion</i>	296
Alexander Hicks, <i>Social Democracy, Democracy, and Welfare Capitalism</i>	273
Elisabeth Jean Wood, <i>Insurgent Collective Action and Civil War in El Salvador</i>	127
Isabela Mares, <i>The Politics of Social Risk, Business, and Welfare State Developments</i>	104
Stefano Bartolini, <i>The Political Mobilization of the European Left</i>	96
Daniel Posner, <i>Institutions and Ethnic Politics in Africa</i>	84
Jonathan Rodden, <i>Hamilton's Paradox</i>	33
<b>Average</b>	<b>345</b>

Our analysis of USIP research grants suggests three broad conclusions:

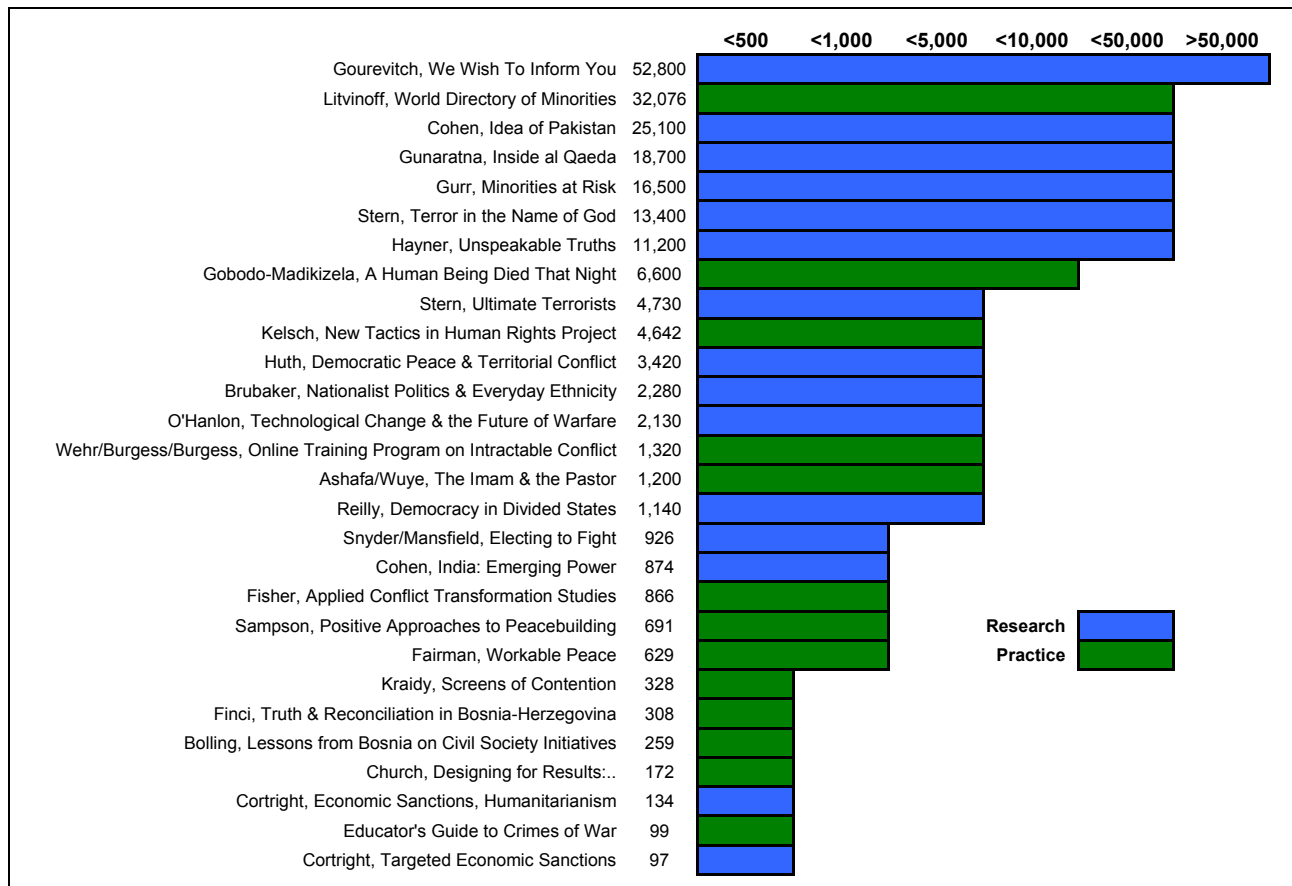
- *Large Impact from a Few Grants.* A small number of projects USIP grants have led to transformational research in a number of areas, most notably civil conflict, war, and terrorism. USIP's grants in these areas have gone far beyond academic research to influence US policies and, in some cases, public opinion in these areas.
- *No Impact from Many Grants.* Approximately one-third of USIP's research grants appear to have yielded little or no innovative research. This finding is not surprising as external reviews of approximately 40% of research grants claimed the publications did not yield innovative findings. It is important to remember, however, that our analysis likely understates the total volume of research these grants have produced as USIP maintains no comprehensive record of direct and indirect grant outputs, not all grant recipients responded to our queries, and we were unable to locate publications on the internet that were not in English.
- *USIP Research Rivals Most Productive Research in Political Science.* The level of scholarly recognition of the most prominent books USIP research grants have supported is nearly equal to the most widely-respected books that have been published in political science over the survey period. Citations of the winners of the annual American Political Science Association's Greg Luebbert Award for the best book in comparative politics over the past decade are nearly identical to those of the most successful books USIP grantees have published.

### Practitioner ‘Citations’

The impact or use of work of practitioner projects is much more difficult to gauge due to the nature of the work and the lack of standard data-gathering initiatives. Practitioner projects cover diverse activities that often do not have a physical work product, let alone one intended for general distribution. As noted earlier, no online service such as *Google Scholar* or other citation database exist for work products like training manuals, curricula, and the like. Finally, the nature of practitioner projects as an organization priority, not an individual’s professional priority, means that specific project directors are not necessarily associated with specific work products.

To evaluate the impact of practitioner work, we first identified prominent initiatives through the assistance of Dr. Craig Zelizer of Georgetown’s M.A. program in Conflict Resolution; Dr. Zelizer has extensive experience in peacebuilding and conflict resolution, and runs several web-based international networking and resource sites. Second, we counted web hits on Google by searching on combinations of last name and project or work product title. Finally, we conducted the same search for the prominent research works. Figure F shows the comparison of practitioner and research work.

**Figure F: Google Web Hits of Prominent Research and Practice Projects**



It is clear that research work products generate far more hits than practice work products, which is largely attributable to a handful of major impact books, as mentioned above. Interestingly, though, is that beyond the top handful of research projects, work from the two professional orientations perform roughly the same.



Indeed, there are several practitioner projects that have made a major impact in their fields:

- The “World Directory of Minorities” had the second-highest number of web hits, bested only by Gourevitch. Housed at the Minority Rights Group International in London, the Directory is a freely-available database focused on minorities and indigenous groups.
- The “New Tactics in Human Rights Project” at the Center for Victims of Torture has become a high-profile advocacy and capacity-building effort that provides training, resource materials, and strategic advocacy in 23 different languages.
- Curricula aimed at different education levels have achieved a noteworthy level of success. USIP-funded projects include the “Applied Conflict Transformation Studies” project that has developed M.A. courses on peacebuilding that are provided through regional centers around the world. Wehr, Burgess, and Burgess’ “Online Training Program on Intractable Conflict,” originally housed at the University of Colorado, provides college-level training through reading materials, online instructions, video interviews, and group projects. The “Workable Peace” curriculum, developed by David Fairman at the Boston-based Consensus-Building Institute, is a secondary school curriculum on intergroup conflict, critical thinking, and problem solving.

Other projects were conducted by well-known practitioners and organizations. Landrum Bolling of MercyCorps, for example, examined the role of civil society in post-conflict Bosnia-Herzegovina, while Jakob Finci at Open Society in Sarajevo advocated for a truth and reconciliation commission.

As with the research projects, the set of practitioner projects undoubtedly contain initiatives that had little impact. What should be clear from above, though, is that the high-impact projects are aimed at bringing innovative approaches and new resources to bear on the problem of peacebuilding.

### *Web Surveys*

The evaluation team fielded web-based surveys of grantee and non-grantee populations (see Annexes B, C) in order to gauge impact on professional development and intellectual capacity, as well as perceptions of USIP and the Program (next section).<sup>11</sup> The non-grantee survey also attempted to assess impact of prominent research and practice projects. For the grantee survey, a base of 513 total emails were sent out for the four copies of the survey instrument.<sup>12</sup> ‘Research’ and ‘Not Reviewed’ respondents were the majority of respondents, but nearly equal in terms of the overall base (Table 12). Response rates by year were also fairly consistent, but we do not report here any figures because the question of multiple grants obscures the real pattern.

**Table 12 – Grantee Web Survey Responses**

	Research	Practice	Responses	Base
<b>Reviewed</b>	41	21	62 (39%)	33%
<b>Not Reviewed</b>	59	36	95 (61%)	29%
	100 (64%)	57 (36%)	157	
	30%	32%		31%

<sup>11</sup> Grantee survey respondents also provided unsolicited suggestions and appreciation, see Annex D.

<sup>12</sup> Of the 666 grants, 66 were inactive/canceled/rescinded, 11 had deceased project directors, 29 project directors were completely untraceable, and 47 were for directors with more than one grant.

There thus does not appear to be any selection bias in the grantee web survey response with respect to professional orientation, USIP review, or year of grant. In terms of geography, we have anecdotal evidence that grantees in developing countries did face internet access or quality obstacles, and so did not respond to the survey. The current primary occupation question showed a very similar distribution of professional orientations as the base of emails, which on the surface indicates that researchers and practitioners tend to stay in their original professional orientation.

**Table 13 – Primary Occupation of Respondents**

Primary Occupation	Grantees		Non-Grantees	
		Research vs Practice		Research vs Practice
Teaching and/or research in an academic organization	77 (49%)	83 (53%) Research	26 (34%)	31 (41%) Research
Administration in an academic organization	6 (4%)		5 (7%)	
Consulting, thinktank, or other independent writing/research	15 (10%)	15 (10%) Combination	11 (15%)	11 (15%) Combination
Media	13 (8%)	57 (36%) Practice	1 (1%)	25 (41%) Practice
Administration in an NGO	9 (6%)		11 (15%)	
Program development and/or implementation in an NGO	35 (22%)		19 (25%)	
Other	2 (1%)	2 (1%)	3 (4%)	3 (4%)

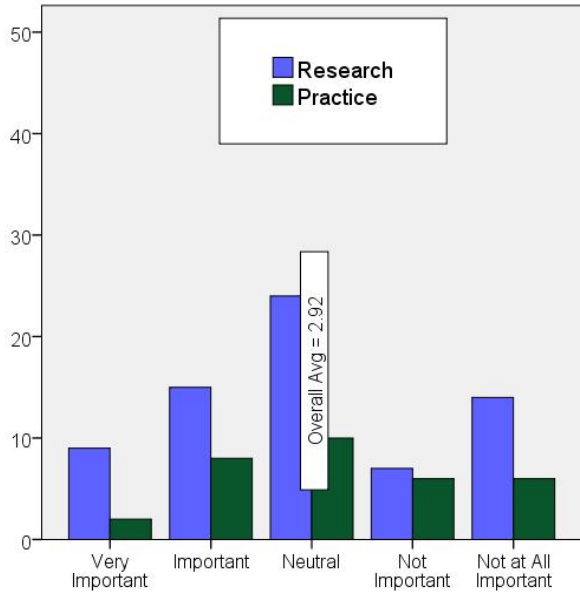
Crosstabs, though, show that while that is generally true for ‘Teaching and/or research,’ more differentiated responses for primary occupation split themselves almost evenly between research and practice; the added layer of USIP review showed that same dynamic regardless of review status. It would seem, then, that professional orientations are less fixed or defined than we might assume.

The non-grantee response population was more evenly distributed between research and practice orientations, largely due to sending out notice of the survey via networks dominated by practitioners (Table 13). Among that group, people working in media are much less represented. Only 29 of the 76 respondents were from the US, with 4 each from Canada, UK, Germany, and Macedonia, and the rest sprinkled in ones and twos throughout the world.

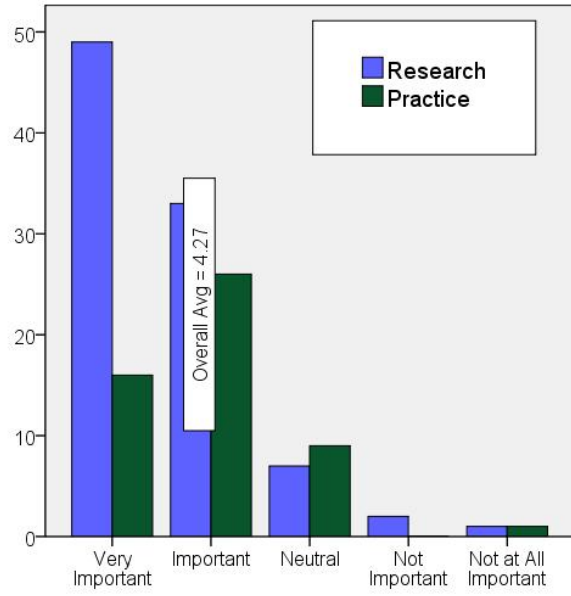
The survey question, “To what extent was the USIP grant award a factor in different aspects of your professional life” generated useful and somewhat surprising impact data (see Figures G-K). First, statistical analysis (two-tailed T-test, 95% level) showed that ‘Review’ and ‘Non-Review’ groups differed significantly. The ‘Research’ and ‘Practice’ groups differed for almost all responses, for example, on ‘Publish works, share expertise,’ which researchers valued more than practitioners. Both sets, however, valued ‘Obtain funding’ similarly. Second, professional advancement was not only not the most important aspect, it was the least – as can be seen in the figures, the aspects of ‘Publish works, share expertise’ and ‘Interact with practitioners, government officials,...’ were the aspects affected most by the grant award. In all, though, USIP grant awards have had a positive impact on grantees’ professional development, particularly in the kinds of professional activities that communicate new ideas across the research-practice divide.

**Impact of Grant Award on...**

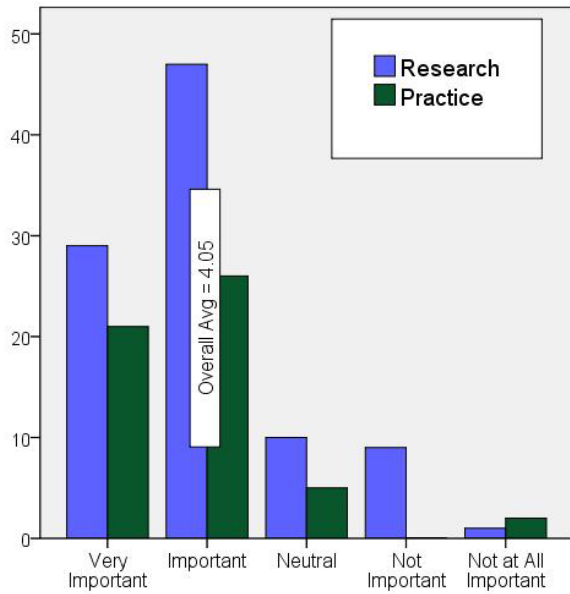
**Figure G: Tenure, Promotion, New Position**



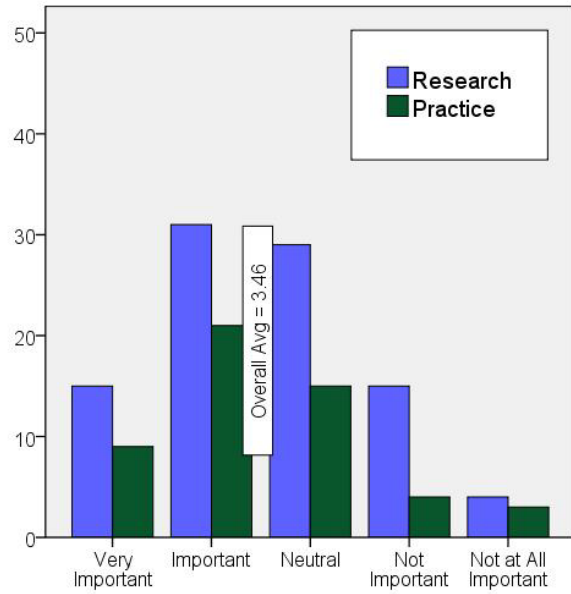
**Figure H: Publishing Sharing**



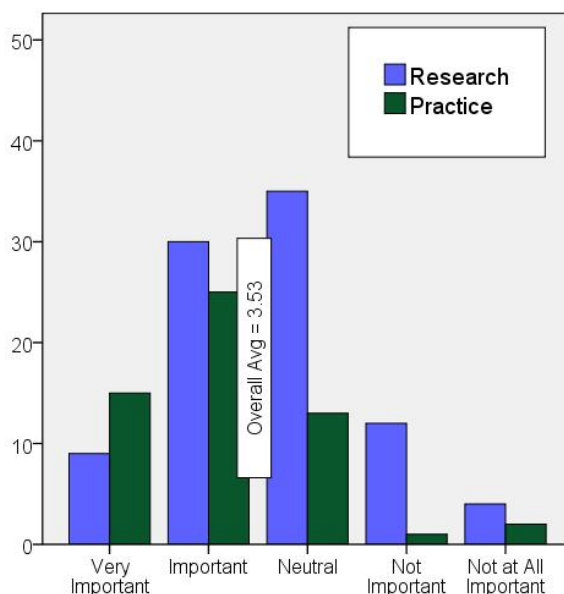
**Figure I: Interaction**



**Figure J: Skills Development**



**Figure K: Obtaining Funding**



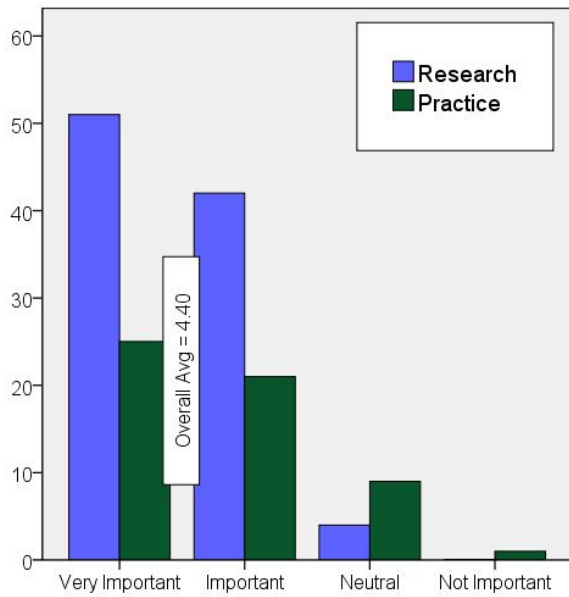
The question on how the USIP grant award contributed toward developing intellectual capital demonstrated that grantees benefited positively from their grant project experience. As Figures L-M on the next page show, both professional orientations overwhelmingly reported important or very important impact on their own intellectual development, as well as on the intellectual capital in their field more broadly. Statistical analysis (two-tailed T-test, 95% level) showed that both groups felt similarly about their own intellectual development. Interestingly, though, it is in broader intellectual capital that we see another significant statistical difference between ‘research’ and ‘practice’ professionals, in that the latter felt they benefited slightly less intellectually than the former. This is likely due to four reasons: (1) the nature and highest priority of research is precisely intellectual development; (2) practitioner projects are often an organization’s priorities, not necessarily the project director’s; (3) practitioner projects experience turnover in project directors much more than for research projects; and (4) workshops and other one-off meetings are more commonly found among ‘practitioner’ projects, and perhaps are less intellectually satisfying than other activities.

The response of non-grantees to the intellectual capital questions indicates slightly more ambivalence about USIP-funded work, particularly among US respondents.<sup>13</sup> Turning first to the “Own intellectual capital” question, there were no patterns or clusters for the ‘very important’ and ‘important’ categories. Noteworthy is that all but one of the ‘not important’ were US respondents, and all of those were research. For the “Broader intellectual capital” question (Figures N-O), research dominated the ‘very important’ and ‘important’ categories. Responses of ‘did not recognize any’ for both questions were dominated by non-US respondents.

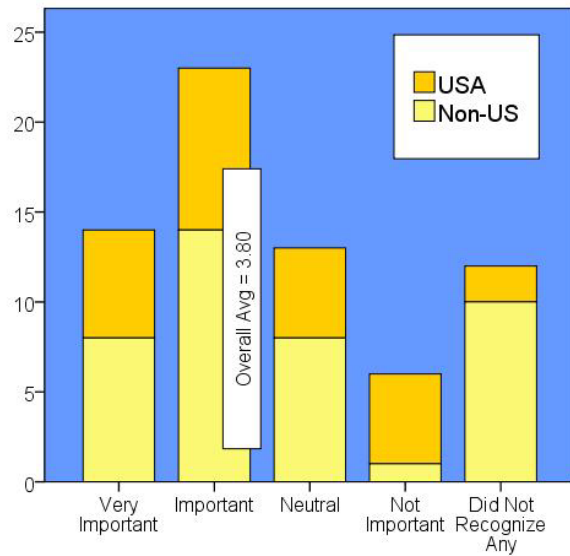
<sup>13</sup> We do not analyze grantee vis-à-vis non-grantee responses because the latter’s population parameters are unknown.

## Development of Own Intellectual Capital

**Figure L: Grantee**

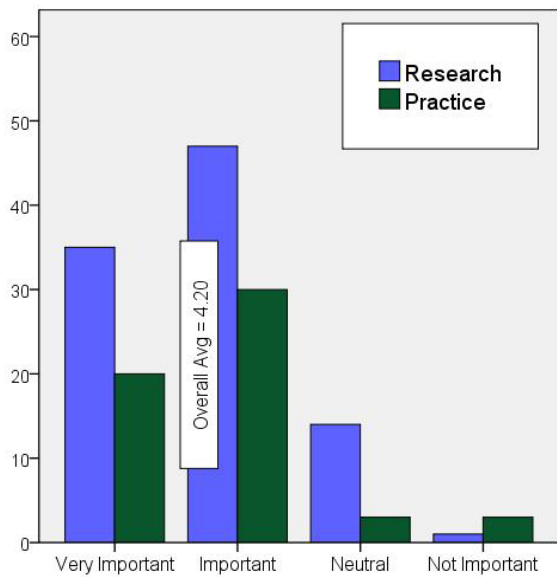


**Figure M. Non-Grantees**

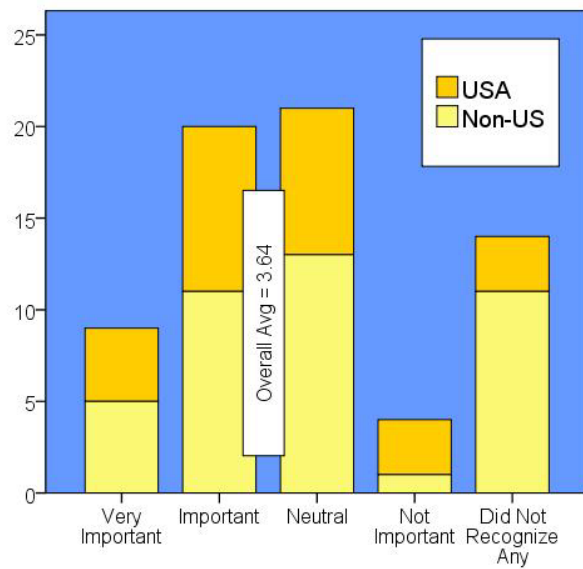


## Development of Broader Intellectual Capital

**Figure N: Grantee**



**Figure O. Non-Grantees**



Use of USIP-funded work among non-grantees tended to follow awareness of work products, not surprisingly. Respondents were asked if they used any work product funded by the Program in teaching, research, training, consulting, and programming; note that more than one use could be

*[The Program] consistently produces some of the best work in the fields of conflict analysis and peacebuilding. I rely on USIP publications generated by the grant program both for my research and as textbooks in the classroom.*

(Researcher)

selected. The two most common uses of work products was in research (31) and programming (20), but only the former had more users than not. The most common combination of multiple use was research and programming (17), closely followed by research and teaching (15), and in neither case were there any patterns

or clusters. As we saw in other questions, US respondents were much more likely than non-US to use work products in their research work. It is worth noting at this point that respondents that had not heard of the Program or any of the selected work products also did not use or value the materials in any way.

Taking all of this evidence together, the impact of Program-funded work appears to be very strong with respect to a small number of projects, particularly but not exclusively US-based research efforts culminating in books. Constraints on our ability to gauge impact of work products has likely led to an under-estimation of their effectiveness, it should be noted. That said, it is clear the Program-funded research has an impact on the field similar to the leading publication of the political science discipline generally. Assessing the contribution of practitioner projects was very difficult in its own right, as the tools and information sources available for research work products do not catch the types of activities conducted by practitioner awards. Non-grantees were aware of and use prominent Program-funded work products, largely through research or a combination of research with teaching or programming, and particularly among US-based researchers. Grantees and non-grantees alike valued how the award enhanced their professional development, albeit in different ways. Both researchers and practitioners thought their own intellectual capital was strengthened considerably by the award, with the former more positive than the latter.

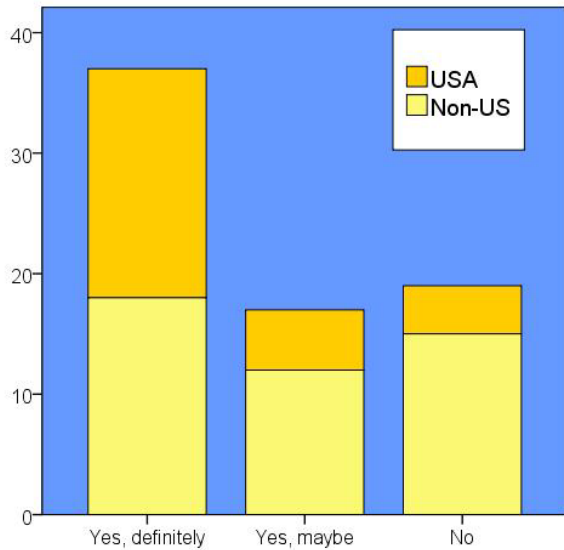
### **Perception Findings**

Gauging the perception of the Program is quite problematic given its international reach and longevity. We attempted to do so, however, in both the grantee and non-grantee surveys.

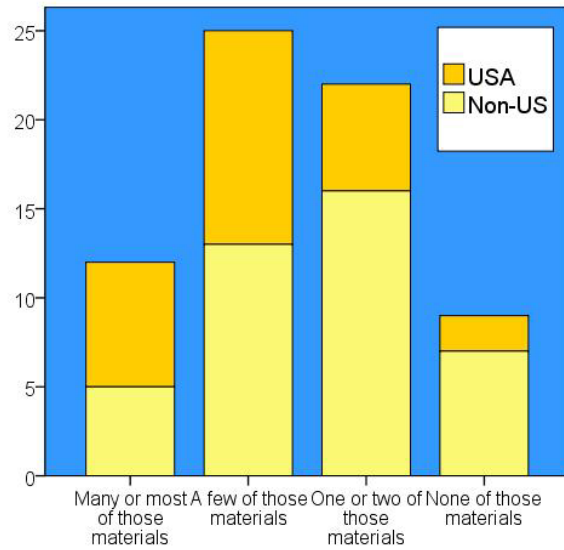
Beginning with non-grantees' perceptions of USIP, we see considerable positive indications. There are substantial concerns of self-selection with the non-grantee survey, it should be noted, as only the most motivated would respond to an invitation to a web-based survey, and respondents would also need adequate English-language skills and internet access. We do not know specifics of the population parameters because survey notices were posted to online networking discussions.

Awareness of USIP as an organization among the non-grantees was high: 64 of the 73 respondents (88%) had heard of USIP, all nine of the 'No' responses were from outside the US. Also positive, albeit at a lower level, was awareness of the Program. Roughly half the respondents had definitely heard of the Program and another 25% thought they had (see Figure P). The negatives mostly came from non-US respondents, but four were from the US along with five of the 'maybe' responses; there was no pattern for primary occupation among these negative and 'maybe' responses.

**Figure P: Awareness of Program**



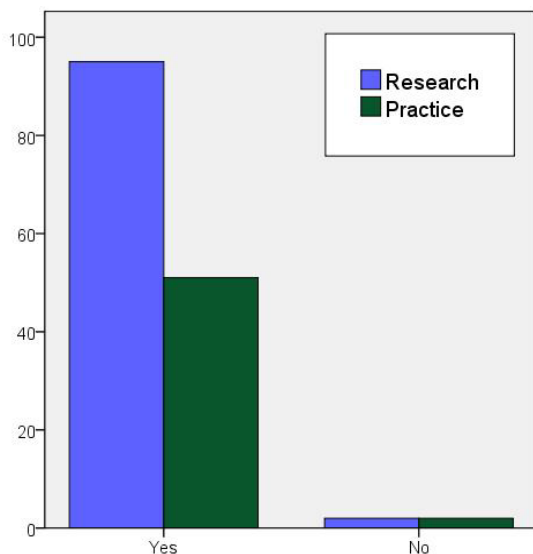
**Figure Q: Awareness of Work**



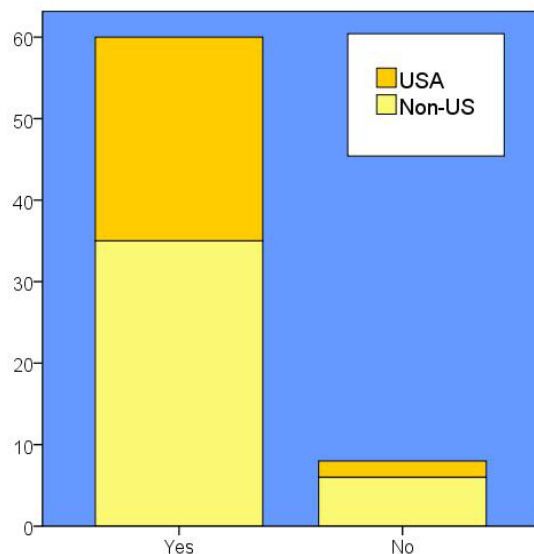
On a deeper level, awareness of work funded by USIP grant awards by non-grantees was also relatively positive (Figure Q). Survey respondents were presented with a list of 20 prominent research and practice work products, and asked to rate generally how familiar they were with them. US respondents were overall more familiar with the set of work than non-US respondents. All of the US respondents in the ‘many or most’ category and the majority in the ‘few’ category were researchers. Among the non-US respondents for those two categories, research and practice were evenly mixed, and there was no geographic or linguistic clustering. There were no patterns or clusters for either US or non-US respondents in the ‘none’ category in any aspect.

Turning to the issue of recommending the Program (Figures R-S), approximately 93% of grantee respondents said they would recommend the Program to faculty, students, or colleagues, a very high rate of satisfaction indeed. Comments provided by respondents giving a negative recommendation indicated idiosyncratic, not systematic, rationales. Statistical analysis (two-tailed T-test, 95% level) demonstrated that the ‘Research’ and ‘Practice’ groups did not differ significantly. For the non-grantee survey, 88% (60 out of 68 responses) would recommend the Program.

**Figure R: Grantee Recommends**

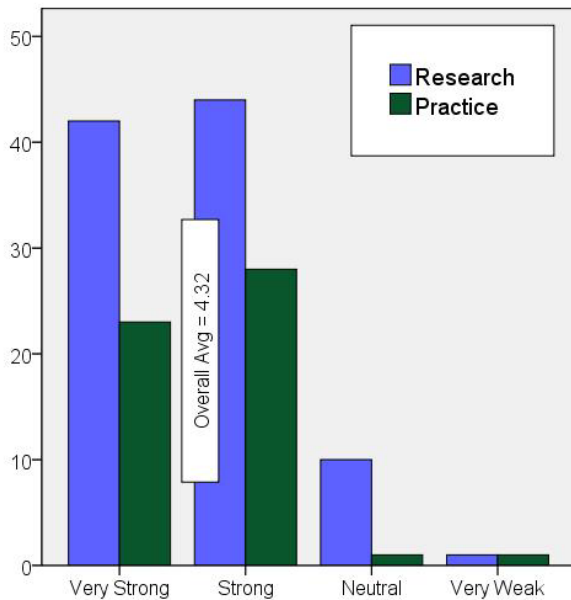


**Figure S: Non-Grantee Recommends**

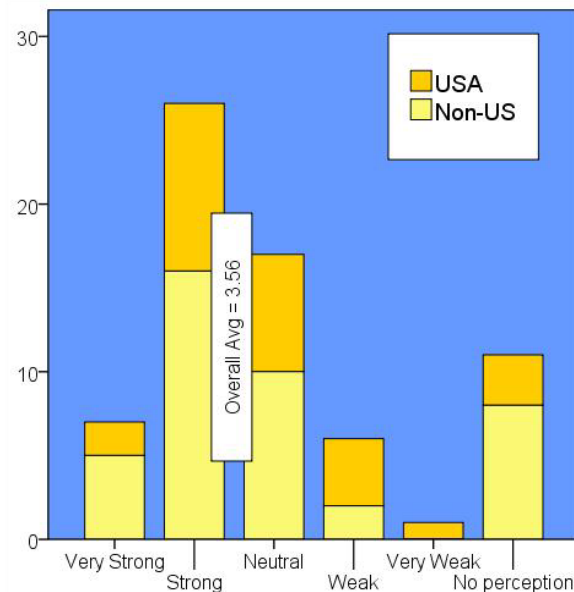


The response to the question, “What is your perception of how well USIP fulfills its mission to...,” was similarly strong (Figures T-U). While the mean rating given by researchers and practitioners were quite similar, statistical analysis (two-tailed T-test, 95% level) showed that the two groups actually differed, which provides further evidence that each group values the Program but for different reasons. As we saw earlier, non-grantees seemed to be a bit more ambivalent about the value of the Program. Again as before, a small number of US respondents drove the negative ratings, but more pointedly the US responses in the ‘neutral’ category were from a mix of researchers and practitioners who were familiar with and valued some of the work produced under Program grants. Explanatory comments often pointed to what was seen as a difficult application process.

**Figure T: Grantee Perceptions**



**Figure U: Non-Grantee Perceptions**



Another window into perceptions of the Program comes from the company it keeps, so to speak. Both the grantee and non-grantee surveys asked for where respondents have submitted other

*It is amazing how little funds that are available from governments, foundations, other NGOs that cover issues of peacebuilding, prevention of violent conflict and reconciliation...this is a resource that is not duplicated elsewhere that I know of.*  
(Practitioner)

proposals in the past (Table 14). The most common potential funders for grantees were Ford, MacArthur, and EU-related entities, while for non-grantees they were Ford, USAID, EU-related entities, and DfID. The grantees’ responses reflected slightly more focus on research-oriented funders, the non-grantees’ on practice-oriented: note the prominence of MacArthur, the Open

Society entities, NSF, and Smith-Richarson Foundation among the grantees, while non-grantees are dominated by such bilateral donors as USAID, Norway, and SIDA.



**Table 14: Most Common Responses for ‘Other Proposal’ Targets (>5%)**

Grantees	Non-Grantees
28 Ford, MacArthur	7 Ford, USAID
23 EU-related entities	6 EU-related entities, DfID
19 Carnegie <sup>14</sup> , Open Society entities	5 Norway
14 USAID	4 SIDA, Compton Foundation, Carnegie <sup>13</sup>
12 National Science Foundation	
11 Smith-Richardson Foundation	

Perceptions of the Program’s utility and contribution were quite strong, as with the likely impact. Non-grantees were overwhelmingly aware of both USIP and the Program. Similarly high numbers would recommend the Program to students and colleagues, though it should be noted that negative ratings came predominantly from US respondents. Grantees had a strong positive perception of how well the Program fulfills USIP’s mission, while non-grantees were more neutral

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<sup>14</sup> Due to imprecise and short responses, it was impossible to distinguish between the Carnegie Corporation of NY and the Carnegie Endowment for International Peace.

## ❖ Conclusions

We found overall that the Program has indeed had a positive impact on its own goals and USIP's mission, although it should be noted that trends in the Program's awarding pose increasing challenges to gauging its contribution to those ends.

Historically dominated by US-based research projects, the Program has gradually shifted more awards toward non-US organizations and practitioner (education and information services) projects. US-based research projects are still the majority, however. The challenge inherent to this shift is that it is more difficult for the Program to enforce accountability, because the existing external review process is ill-suited to non-US based projects and activities besides English-language research publications.

The impact of Program-funded work is incredibly high with respect to a small number of projects, particularly but not exclusively research efforts culminating in books. Constraints on our ability to gauge impact of work products has likely led to an under-estimation of the program's influence, it should be noted. That said, it is clear the Program-funded research has an impact on the field similar to the leading publication of the political science discipline generally. Assessing the contribution of practitioner projects was very difficult in its own right, as the tools and information sources available for research work products do not catch the types of activities conducted by practitioner awards. Non-grantees were aware of and use prominent Program-funded work products, largely through research or a combination of research with teaching or programming, and particularly among US-based researchers. Grantees and non-grantees alike valued how the award enhanced their professional development, albeit in different ways. Both researchers and practitioners thought their own intellectual capital was strengthened considerably by the award, with the former more positive than the latter.

Perceptions of the Program's utility and contribution were quite strong, as well. Non-grantees were overwhelmingly aware of both USIP and the Program. Similarly high numbers would recommend the Program to students and colleagues, though it should be noted that negative ratings came predominantly from US respondents. Grantees had a strong positive perception of how well the Program fulfills USIP's mission, while non-grantees were more neutral. Finally, USIP is considered by grantees and non-grantees to be a peer of the Ford Foundation, the MacArthur Foundation, EU-related entities, USAID, and DfID, depending on the group.

## ❖ Unresolved issues and Recommendations

There is no doubt that USIP's grants program has been overall quite successful. Nevertheless, our analysis suggests four issues that USIP may want to consider.

- *Understanding Impact.* The most problematic part of our analysis to determine the impact of USIP programs was the lack of sufficient information on their outcomes, especially grants for practitioners and for research conducted not in English. For these reasons, we are likely to be understating the total effectiveness of the program.
- *Greater and More Direct Monitoring and Evaluation.* The one clear recommendation that emerges from our analysis is the need for greater program monitoring and evaluation. Not only would this permit a more thorough understanding over the parts of the grants program that are working well and those that are not, it would provide invaluable information as to why some programs are more successful than others. This would greatly facilitate the capacity of USIP to improve its effectiveness as the program evolves.

Relying on grantees to self-report their activities has led to a situation where it is difficult for us to determine what projects USIP grants have supported. Moreover, because USIP does not directly monitor the projects its practitioner grants support, it is difficult for USIP to ascertain the information necessary to improve its effectiveness. USIP staff may want to consider attending some of the activities its practitioner grants support to gain this knowledge.

- *Assessing Relative Impact.* Since grants for research seek to gain a broad impact while most of those for practitioners do not, USIP's public image is slightly more well-known for the former than the latter. For the same reason, however, we cannot conclude that greater public recognition of research grants suggests they have been more successful than those for practitioners. Rather, as grants for practitioners and research typically have different objectives, it seems sensible to evaluate the impact of each type of program separately. Moreover, while it is clear that the best way for USIP to enhance its public image would be to fund more research, because we lack a clear benchmark for assessing the impact of practitioner grants (unlike those for research), it would not be reasonable to conclude that shifting greater funds for research would make USIP's grants more successful overall.
- *Understanding What Products USIP Grants Support.* While grant proposals typically state the products the grant will produce, these often change during the implementation of the grant. Moreover, grants often will lead to future projects, fund activities recipients do not anticipate when submitting their proposals, and/or leverage other funds. For these reasons, we are likely to be understating the effectiveness of USIP grants, and therefore suggest greater contact with grant recipients to ensure they make USIP aware of all of the direct as well as indirect outputs the grants fund.

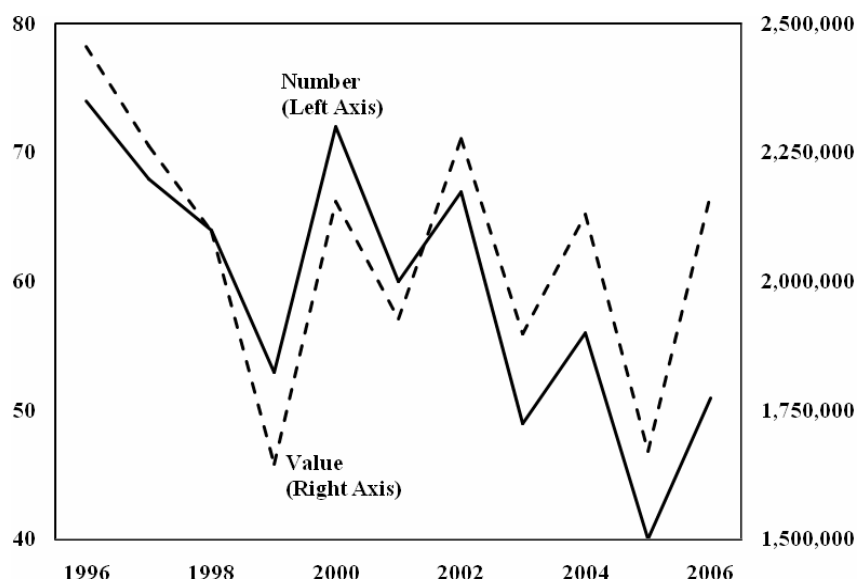
## ❖ Annex A: Data on Grant Allocation

### *Data on Grant Allocation*

In this section, we review and analyze overall data trends on USIP's annual grants from 1996 to 2006. Over the period, USIP disbursed approximately \$23 million in grants for 669 projects. We first examine overall trends in the program in terms of grant number and size. The data reveal three patterns, a substantial amount of volatility in the program in terms of the number of grants per year and the overall size of the program, a gradual decline in the number of grants, and steady rise in grant size (in nominal dollars). On average, the program extended 59 grants per year and the average program volume was \$2 million.

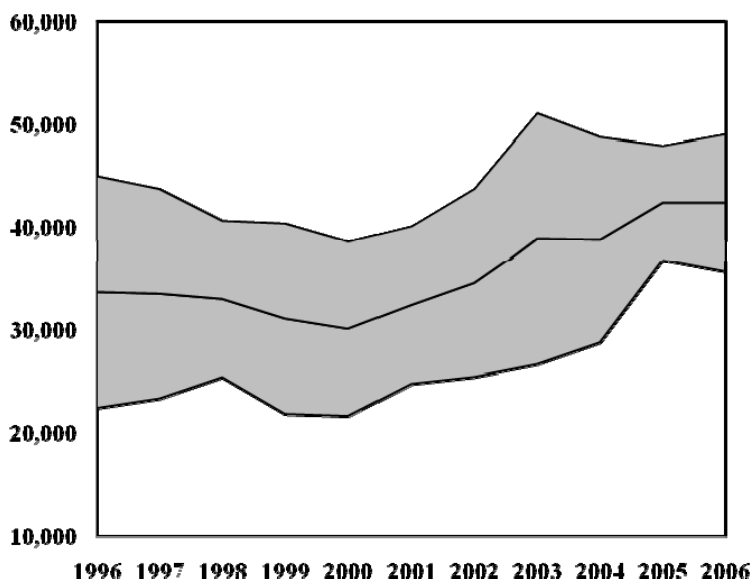
The annual changes in overall program size are large and the correlation between program size and the number of grants is very high, 0.79. The graph below shows grant volume and number of grants by year. In five of the eleven year period, the annual percentage change in total grant volume exceeded 20%, in absolute value. In four of the eleven years, the change in the number of grants exceeded 25% (close to 15 grants) in absolute value. The second trend the data show are a gradual decline in the average number of grants, from approximately 65 per year between 1996 and 2000 to about 50 since 2003.

**Total Number and Value of Grants, 1996-2006**



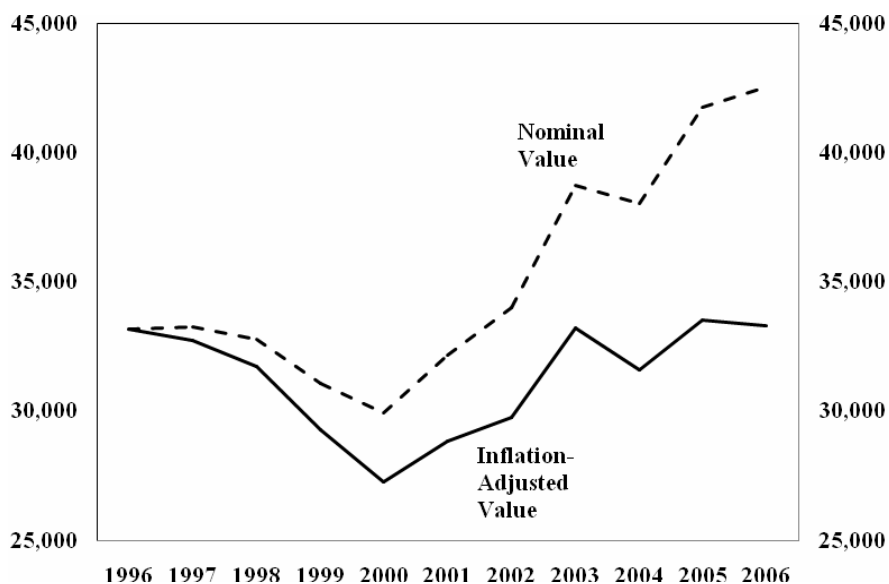
The third trend, implied by the high correlation between overall grant disbursement and the number of grants, is a large degree of stability at the level of the individual grant. Over the evaluation period, the size of individual grants has been increasing at a steady rate of approximately 2.5% per year. As a result, the average grant size has increased from \$33,000 to \$42,000. Equally as interesting given the volatility in the overall program, the standard deviation has remained roughly constant at about \$9,000, suggesting that the distribution of grants around the mean value is not changing, either. Combined, the data suggests that USIP adjusts to variation in overall size of the grant program by changing the number of grants rather than their size.

### Average Grant Size and Standard Deviation



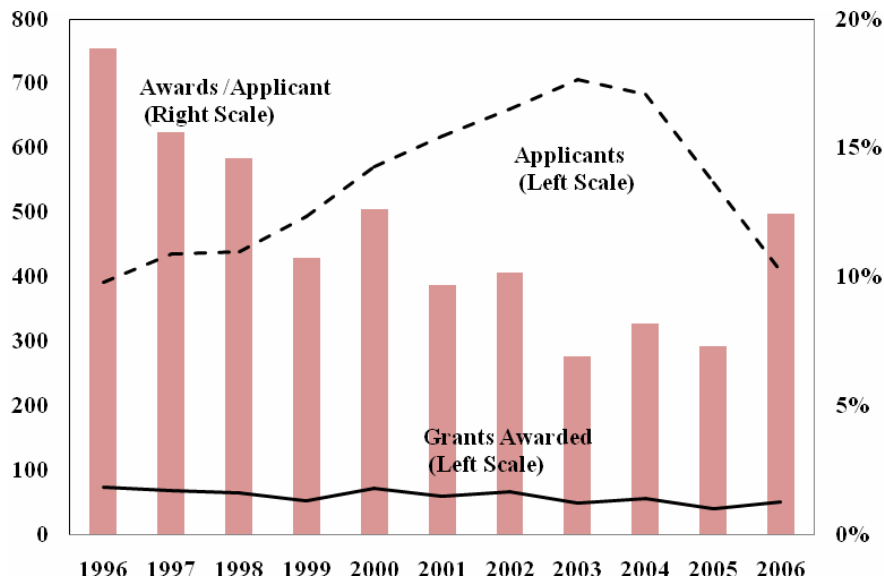
Examining the data in nominal terms suggests that the annual USIP grant program is becoming slightly larger per year at the level of the individual grant. It is also important to look at grants in inflation-adjusted terms, not only in nominal dollars. The reason for this is because the costs of implementing grants change along with general prices in the economy. It is therefore important to examine the size of grants adjusted for inflation. Here the data point to a more troubling trend. The graph below shows average grant size in nominal and inflation-adjusted terms over the evaluation period, using 1996 dollars. While the average grant size of the period rose by approximately 25%, inflation has increased 25% as well, thus leaving the inflation-adjusted grant size unchanged.

### Average Grant Size, 1996-2006



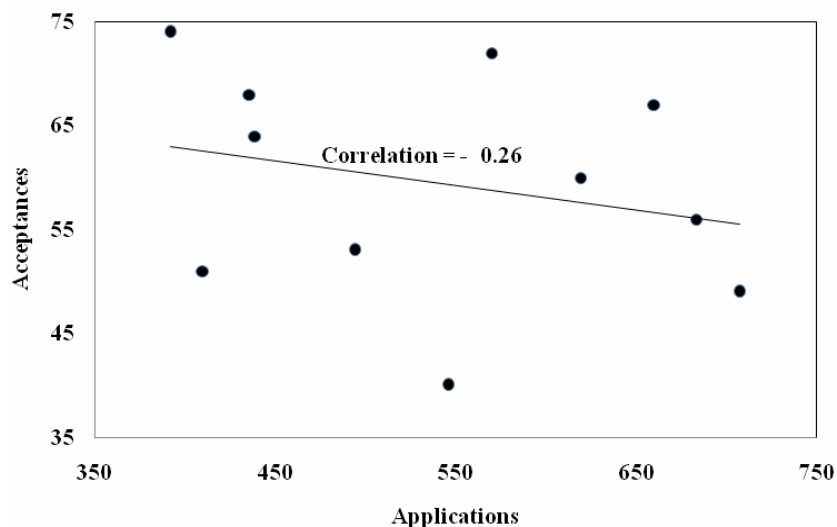
The final aggregate trend we examine relates the number of applicants to the number of grants. The graph below shows the annual number of applicants, grants awarded, and grants as a percentage of applications. The data show a gradual rise in the number of applications from about 400 in 1996 to 700 in 2003, and a sharp decline back to approximately 400 in 2006. Consequently, grants as a percentage of applications fell gradually from about 15% between 1996 and 1999 to about 5% between 2003 and 2005, but jumped to approximately 12% in 2006. Over the entire period, the number of applicants increased at slightly more than 1% per year.

### Applications and Grants, 1996-2006



The most interesting trend the data reveal is a clear negative correlation of approximately -0.26 between the number of applicants and the number of grants. The tendency for USIP to move counter-cyclically to the number of applicants further reinforces the impression that USIP targeted the number of grants.

### Applications and Acceptances, 1996-2006



## ❖ Annex B: Grantee Survey Instrument

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USIP is conducting an evaluation to assess the contribution and impact of the work of its Annual Grant Competition Program (formerly the Unsolicited Grant Program). One part of the evaluation we are conducting is a web-based survey of grantees. We would greatly appreciate your response to the 8-question survey linked below. All information gathered through the survey will be anonymous, confidential, and used only for the purposes of assessing the Program. Grant staff will receive only the aggregate results, and no one involved with the evaluation will have access to any individual survey responses.

Again, on behalf of USIP, we appreciate your time in this effort,

Andrew T. Green, Ph.D., DGMetrics and Georgetown University  
Barak D. Hoffman, Ph.D., Georgetown University

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- \*1 What year did your USIP grant award begin? Note that this may be different than the proposal year.
- \*2 What is the most accurate description of your primary occupation? (check only one)
- Teaching and/or research in an academic organization
  - Administration in an academic organization
  - Work in a government institution (non-academic)
  - Consulting
  - Work in media
  - Program implementation in an NGO
  - Administration in an NGO
  - If other, please specify
- \*3 To what extent was the USIP grant award a factor in different aspects of your professional development?
- Earn tenure, promotion, or a new position
  - Publish work, share expertise through presentations, consult
  - Interact with practitioners, government officials, members of international organizations, members of NGOs, or academics
  - Develop research or technical skills
  - Obtain funding for other projects
- [Very Important; Important; Neutral; Not Important; Not At All Important; N/A]
- \*4 To what extent was the USIP grant award useful in developing:
- Your Own Intellectual Capital
  - Broader intellectual capital in the technical field or geographic region
- [Very Important; Important; Neutral; Not Important; Not At All Important]
- \*5 To what other grant programs, foundations, or other institutions have you submitted proposals for related work? [open text]
- \*6 Would you recommend USIP's Annual Grant Competition Program to students, fellow faculty, or other professional colleagues? [Yes; No]

\*7 What is your perception of how well USIP's Annual Grant Competition Program fulfills its mission to contribute toward the prevention and resolution of violent conflict, promotion of post-conflict stability and development, and increased capacity, tools, and intellectual capital for peacebuilding?  
[Very Strong; Strong; Neutral; Weak; Very Weak]

8 Is there anything else that you would like to say about USIP's Annual Grant Competition Program?  
[open text]

\* Mandatory response questions

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Thank you!

Thank you for responding to our survey. All information gathered through the survey will be anonymous, confidential, and used only for the purposes of assessing the Program. Grant staff will receive only the aggregate results, and no one involved with the evaluation will have access to any individual survey responses.

Again, on behalf of USIP, we appreciate your time in this effort,

Andrew T. Green, Ph.D., DGMetrics and Georgetown University  
Barak D. Hoffman, Ph.D., Georgetown University



## ❖ Annex C: Non-Grantee Survey Instrument

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We thank you in advance for taking the time to respond to our survey of 11 questions about a major grant program focused on the research and practice of peacebuilding. We ask that you take the survey only once.

This survey is one of many parts of an overall evaluation of this particular grant program.

Andrew T. Green, Ph.D., DGMetrics  
Barak D. Hoffman, Ph.D., Georgetown University

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- \*1 What is the most accurate description of your primary occupation? (check only one)
- Teaching and/or research in an academic organization
  - Administration in an academic organization
  - Work in a government institution (non-academic)
  - Consulting, independent research, or thinktank
  - Work in media
  - Program development and/or implementation in an NGO
  - Administration in an NGO
  - If other, please specify
- \*2 Where are you located?
- USA
  - If elsewhere, please specify [open text]
- \*3 Have you heard of the U.S. Institute of Peace (USIP), an independent and non-partisan institution established and funded by the U.S. Congress? [Yes; No]
- \*4 Have you ever heard of USIP's Annual Grant Competition Program, which supports innovative peacebuilding projects by US and foreign applicants involving research, the identification of promising models and effective practices, the development of practitioner resources and tools, the development and delivery of education and training programs, and the production of films, radio programs, and other media? [Yes Definitely; Yes Maybe; No]
- \*5 How familiar are you with any of these work products developed in part or in whole through a USIP grant award:
- Imam Ashafa/Pastor Wuye, *The Imam & The Pastor*  
R. Asmus, *The New Transatlantic Project*  
L. Bolling, *Building Civil Society via Reconstruction in Bosnia-Herzegovina*  
C. Church, *Designing for Results: Embedding, Monitoring, & Evaluation in Conflict Resolution Projects*  
S. Cohen, *India: Emerging Power and The Idea of Pakistan*  
D. Fairman, *Workable Peace* curriculum  
J. Finci, *Truth & Reconciliation in Bosnia & Herzegovina*  
S. Fisher, *Applied Conflict Transformation Studies*  
P. Gobodo-Madikizela, *A Human Being Died That Night: A South African Story of Forgiveness*  
P. Gourevitch, *We Wish To Inform You that Tomorrow We will be Killed With Our Families: Stories from Rwanda*  
T. Gurr, *Peoples versus States: Minorities at Risk in the New Century*  
P. Hayner, *Unspeakable Truths: Confronting State Terror and Atrocity*

K. Kelsch, *New Tactics in Human Rights Project*  
M. Kraidy, *Screens of Contention: Arab Television and the Challenges of Modernity*  
M. Litvinoff, *World Directory of Minorities*  
E. Munoz, *Educators Guide to Crimes of War*  
M. O'Hanlon, *Expanding Global Military Capacity for Humanitarian Intervention*  
Patrick/Garbo, *Good Intentions: Pledges of Aid for Postconflict Recovery*  
B. Reilly, *Democracy in Divided Societies: Electoral Engineering for Conflict Management*  
C. Sampson, *Positive Approaches to Peacebuilding: A Practitioners Exploration*  
J. Stern, *Terror in the Name of God: Why Religious Militants Kill*  
Wehr/Burgess/Burgess, *International Distance Learning Program on Constructive Approaches to Intractable Conflict*

[Many or most of these materials; A few of these materials; One or two of these materials; None]

\*6 Do you use any work funded by USIP's Annual Grant Competition Program, to your knowledge?

- Teaching
- Research
- Training
- Consulting
- Program Development or Implementation

[Yes; No; N/A]

\*7 To what extent have any work products resulting from a USIP grant award been useful in developing

- Your Own Intellectual Capital
- Broader intellectual capital in the technical field or geographic region

[Very Important; Important; Neutral; Not Important; Did not recognize any]

\*8 Would you recommend USIP's Annual Grant Competition Program to students, fellow faculty, or other professional colleagues? [Yes, No; open text for comment]

\*9 What is your perception of how well USIP's Annual Grant Competition Program fulfills its mission to contribute toward the prevention and resolution of violent conflict, promotion of post-conflict stability and development, and increased capacity, tools, and intellectual capital for peacebuilding?

[Very Strong; Strong; Neutral; Weak; Very Weak; No perception, I had not heard of it before]

10 Is there anything else that you would like to say about USIP's Annual Grant Competition Program?

[open text]

11 To what other grant programs, foundations, or other institutions have you submitted proposals for related work? [open text]

\* Mandatory response questions

Thank you!

Thank you for taking the time to share our thoughts and experiences. All information gathered through the survey will be anonymous, confidential, and used only for the purposes of assessing the Program. Grant staff will receive only the aggregate results, and no one involved with the evaluation will have access to any individual survey responses.

Again, on behalf of USIP, we appreciate your time in this effort,

Andrew T. Green, Ph.D., DGMetrics  
 Barak D. Hoffman, Ph.D., Georgetown University

## ❖ Annex D: Unsolicited Suggestions and Appreciation

### Suggestions on Networking

- **I think USIP could do more to build collegiality and collaboration among grantees.**
- **It might be useful if some type of communication could be organized between all of the grantees, as a form of "cross-fertilization" and to reinforce their work in the fields which USIP supports.**
- **My experience with USIP's annual grant program is one of gratitude coupled with a sense of post-award disconnectedness. My wish is that there was a clear and structured process for grantees to continue to engage with the USIP after the grant period was complete, especially in relation with presentation of the product of the work.** The new USIP initiative to offer workshops on working in post-conflict environments seems a positive step towards building an engaged alumni community.
- My only complaint is that follow-up and feedback has been poor. **We worked together intimately, and then when the final product was submitted, we did not hear from USIP again** with any feedback on the product at all.
- **I think lessons learned from the grants need to be better captured and disseminated. The website could do a better job presenting past grants and their results.** Besides having a contractual manager at USIP it would be useful to have a 'programmatic' manager who can work with grantees on challenging projects or to address concerns unrelated to contracting issues.
- Peace research (in fact peace activism) cannot be expected to have an immediate impact. **The dissemination of the findings is most important, especially to those who are key players but are least likely to seek research information** (policy makers, conflict groups, mediators, etc.). USIP may consider enhancing its dissemination efforts, e.g., inviting the scholars to brief US policy makers, sponsoring overseas conferences to bring together academics, activists/NGOs and government officials.

### Suggestions on Strategy, Process, and Funding

- I would have liked the grant system to be more flexible as to application dates
- The grant program is still dominated by narrow and in some cases simply dated (political science) agendas that place an overly heavy emphasis on state- and military-based approaches. The program should be considerably more inter-disciplinary. **To prevent conflict, we must study the so-called peacetime. Funding work only on current hot-spots is short-sighted.** For me personally though, the grant was essential. It got me started on a successful academic career.
- **When applications are not accepted, it would be helpful if clear explanations could be given about what was inadequate or lacking in the grant application.**
- **I think sometimes you need to take a broader view of conflict resolution, particularly in media** where solid support for quality and ethical media is vital particularly in times of conflict.
- The option of an additional year of follow-on funding to develop projects that grew out of the initial project would have been helpful to us.
- **The maximum grant amount is \$50,000, which is a very small amount for most media production projects.** I am a producer of television documentary films aimed at prime-time network distribution (i.e. PBS) for which budgets are normally in the **\$500,000 to \$1 million range. Therefore, USIP grants are useful only for preliminary planning, research, and development of such projects.** A USIP grant for a documentary film is primarily useful in demonstrating to other funders that the project is serious.
- Would like to see grants program ~ and USIP's own programs ~ "show up" at interface of conflict/conflict resolution and environment. **Environmental disruption/dislocation/disaster stands to undo gains made in peacebuilding globally.** Einstein said: "I know not with what weapons World War III will be fought, but World War IV will be fought with sticks and stones." The stakes are high.

- **I would be nice to streamline or automate the application process.**
- There are several projects that we might like to undertake but needs larger funding. **USIP grants are comparatively small. They are usually not multiyear funding either, limited to specific short-term projects, preventing us from doing projects with longer term impact.** USIP grants also do not cover all the administrative costs incurred in the work. These factors constrain the kind of high-impact work that requires distance travel, for example, or longer research timeframes.

### Appreciation

- **They are well refereed.** I have participated as referee several times and am very impressed with the depth of discussion and knowledge
- **The people working on the program are those who make it valuable in the first place.** I have always appreciated their comments, feedback on the information received, and understanding that projects covering "sensitive" topics need to be adjusted to the situation in the terrain rather than strictly follow the approved scenario.
- **Professionally run and intelligently designed.** I haven't been close enough in recent years to follow the specific areas of focus. It must be an exciting era for the Institute, moving from loyal opposition to leadership position with the new administration.
- **Great diversity to what USIP will fund,** which is appreciated. Funding levels relatively low for intensity of competition and ambitions of the Institute and most proposed work. **Most grants must be augmented by other sources of funding to be successful.** Grateful for USIP's work in this field nonetheless!
- I served as the grant developer and the project administrator for three separate programs that we operated with the generous support of USIP. This support helped us advance our mission of teacher education and brought resources to our community that would not have been otherwise possible. Working with USIP was both a professional and personal pleasure for me.
- **I have greatly valued the role of the USIP staff in all of my dealings with the Institute.** They have been supportive, flexible, and knowledgeable and a real pleasure to work with. I have had the feeling that staff members were interested in what my colleagues and I were doing and genuinely committed to our shared enterprise. **I always had the sense of dealing with colleagues who really cared about the success of our efforts, rather than with bureaucrats.**