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ORGANIZATIONAL CAPACITY ASSESSMENT REPORT

FOR NN ROUND TWO PARTNER
AAUU COUNTRY X

SEPTEMBER 2008

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Compiled by JVL

The information contained in this report is the product of an assessment conducted by the New Partners Initiative Technical Assistance Project (NP). The organizational capacity assessment component is led by II in collaboration with JJ. The report was prepared by NP, a project implemented by JJ under Task Order No. GHSxxx issued by USAID under the auspices of the President's Emergency Plan for AIDS Relief (PEPFAR).

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

Table of Contents

1. Background.....	5
2. Organizational Capacity Assessment Process Overview.....	5
3. Organization Overview.....	6
4. OCA Implementation Description.....	6
4.1 Participants.....	6
Table 1: Participant List.....	6
4.2 Process.....	7
5. OCA Findings.....	7
5.1 Organizational Capacity Assessment Scores.....	7
5.2 Summary of Issues.....	7
5.2.1 Governance.....	7
5.2.2 Administration.....	8
5.2.3 Human Resources Management.....	8
5.2.4 Financial Management.....	9
5.2.5 Organizational Management.....	10
5.2.6 Program Management.....	10
5.2.7 Project Performance Management.....	11
5.3 Technical Assistance and Support Requested.....	11
5.3.1 Administration.....	11
5.3.2 Human Resources Management.....	11
5.3.3 Financial Management.....	11
5.3.4 Organizational Management.....	12
5.3.5 Program Management.....	12
5.3.6 Project Performance Management.....	12
5.3.7 NN Advisor.....	12
6. Conclusion.....	12
Annex 1: Score Sheet.....	13
Annex 2: Action Plan.....	14
Annex 3: AAUU Board Questionnaire Responses.....	18
Annex 4: AAUU Staff Questionnaire Responses.....	19
Annex 5: AAUU OCA Evaluation Comments.....	22

Abbreviations

AIDS	Acquired Immunodeficiency Syndrome
AAUU	AAUU
AAUU/HQ	AAUU Headquarters
AAUU/x	AAUU Country x
ART	Antiretroviral Therapy
BCC	Behavior Change Communication
CA	Cooperative Agreement
CMT	Country Management Team
HBC	Home Base Care
HCT	HIV Counseling and Testing
HIDO	Health Integrated Development Organization
HIV	Human Immunodeficiency Virus
ICT	Information and Communication Technology
IDP	Internally Displaced Person
IEC	Information, Education & Communication
JJ	JJ Incorporated
M&E	Monitoring and Evaluation
NGO	Non-Governmental Organization
NN	New Partners Initiative
NP	New Partners Initiative Technical Assistance Project
OCA	Organizational Capacity Assessment
PMTCT	Prevention of Mother to Child Transmission
QA	Quality Assurance
STI/OI	Sexually Transmitted Infections/Opportunistic Infections
TA	Technical Assistance
USAID	United States Agency for International Development
USG	United States Government
VCT	Voluntary Counseling and Testing

**ORGANIZATIONAL CAPACITY ASSESSMENT (OCA) REPORT
AAU COUNTRY X
JULY 9-11, 2008**

OCA REPORT WRITTEN BY:
JVL

ASSESSMENT TEAM:
JVL
BB
EM

1. Background

The New Partners Initiative (NN) was developed to expand the reach of HIV and AIDS prevention and care programs by providing funding opportunities to organizations with established presence in local communities but no prior experience managing USG funds. A key objective of the New Partners Initiative is to build the capacity of these organizations to: 1) manage grants from the USG and comply effectively with USG regulations and requirements; 2) develop their organizations into stronger entities that will be able to better source USG and other funding and continue and/or expand programs after the NN grant comes to an end and 3) strengthen the ability of the organizations to implement high quality HIV and AIDS programs.

USAID awarded a contract to JJ Incorporated (JJ) to provide technical support to NN partners in organizational development, management of USG funds and HIV and AIDS program implementation. The NN technical support contract (NP), implemented by JJ with its partner II Inc., will provide assistance to organizations over the three-year period of their awards. To set a baseline for assessing organizational capacity needs and development, NP conducted organizational capacity assessments (OCAs) of each NN partner.

2. Organizational Capacity Assessment Process Overview

The OCA process used by NP is a participatory process guided by an OCA framework that helps organizations assess their status in seven organizational capacity elements: governance, administration, human resource management, financial management, organizational management, program management, and project performance management. Each element is broken into a number of sub-sections. For example, the governance section has six sub-sections encompassing vision, mission/goals, organizational structure, board composition and responsibility, legal status and succession planning. Each sub-section is divided into four stages of organizational capacity development, with one indicating very little capacity and four representing strong capacity. Through a participatory discussion, organizations and NP team members review the organization's systems and processes, identify issues or technical support needs, and identify an organizational capacity score, one to four.

The outcome of this process is a quantitative baseline and a detailed action plan to guide capacity development and technical assistance to strengthen systems and procedures. The OCA is designed to be repeated annually to map organizational capacity growth over time.

3. Organization Overview

The AAUU is an international nonprofit, nonsectarian organization that has provided humanitarian assistance and training to millions of refugees, displaced persons and host communities since 1981. AAUU works with its partners to provide shelter, clean water and sanitation, health care, skills training, microcredit education and protection to people who have lost everything to events completely beyond their control. Its mission is to help displaced people and those at risk to survive crises and rebuild lives of dignity, health, security and self-sufficiency. AAUU with headquarters in xx, has 7 country offices, 2000 staff members and an annual budget of 27 million dollars (2006). The Country x country field program was established in 2006 to implement projects to support internally displaced persons (IDPs) and to provide services to battered and exploited women.

As an NN grantee, the AAUU Country x project goal is to contribute to reduced incidence of HIV/AIDS among displaced and returnee populations in Pader, Gulu and Amuru Districts by providing HIV/AIDS prevention, care and support services. The aim is to build the capacity of partners in areas such as BCC/IEC, peer education, HCT, HBC, and referral and to focus on improving those organizations' ability to manage and implement activities such as project planning, operational support, finance and administration, staff management, and fundraising. The NN HIV grant is managed by the HIV Project Coordinator based in Gulu who reports directly to the Country Director in KK. The 18 proposed NN Project staff positions include: clinical training officer and assistant, capacity building manager, home based care manager, monitoring and evaluation officers (2), VCT counselors (10), BCC manager and PMTCT liaison. The project proposal names one sub-grantee, HIDO, and sets the expectation for AAUU to establish partnerships with additional sub-recipients during the life of the project. At the time of this review, the report of the USG pre-assessment survey was not available in Country x.

4. OCA Implementation Description

4.1 Participants

The NP team was composed of three members, one from II Inc. and two consultants from JJ. Barbara Durr, the NP Project Director joined the OCA team for introduction and for strategic discussions throughout the 3 days. The AAUU team consisted of Mr. Brent Potts, the AAUU Country x Country Director, and 5 members of his senior staff. The USAID activity manager was in Gulu and unable to attend the meetings.

Table 1: Participant List

NP	AAUU
JVL	BP, <i>Country Director</i>
EM	EB, <i>IT Administrator and HR Manager</i>
BB	MC, <i>Gender Based Violence Program Coordinator</i>
	DE, <i>Controller (Finance and Admin)</i>
	AL, <i>Logistics Officer</i>
	IV, <i>Program Coordinator</i>

4.2 Process

The NP team and AAUU staff conducted the OCA process over a period of 3 days July 9-11 at the AAUU headquarters in KK, Country x. Staff questionnaires sent to AAUU prior to the visit were distributed and completed by AAUU staff. Staff responses added useful information to OCA discussions. AAUU also received a list of resource documents needed as reference material during the review. AAUU provided the names and organizational responsibilities of participating managers which the NP team used to guide the development of a draft schedule.

After introductions, the NP team presented an overview of the NN Program and the NN Technical Assistance Project (NP). The participatory OCA process was explained, the schedule revised, NP/AAUU assignments agreed. After reviewing the sections and subsections, the NP/AAUU team decided to remove the sub-sections on board composition and cost share from the review since the country office has no board and the project does not have a cost share component. During the morning session the rationale and scoring sheets for Organizational Management, Financial Management and Program Performance Management were completed. In the afternoon session the scoring sheets for Administration and Governance and Program Management were completed. To allow for participation of key managers, the Human Resources Management section was completed on the morning of the second day. By late morning the electronic scoring sheets for all sections were printed, photocopied and distributed to the AAUU management team for their private review and finalization. Action planning commenced in plenary following AAUU staff review and editing of the complete set of score sheets. To establish a more manageable action planning process, the list of OCA sub-sections in the action planning session was reduced by including only “starred” compliance items and sub-sections that scored less than three. On the morning of the third day, AAUU managers reached agreement on their assignments for participation in the action planning discussions and a schedule was set for the day. This process worked well and section by section the NP/AAUU team compiled the action plan, assigned responsibility, defined TA support needs and set a completion date for each selected issue. The day ended with a review of the final compiled plan sorted by date. The NP team distributed electronic copies of the plan to the AAUU managers whose feedback and refinements are included in the action plan presented in Annex 2.

5. OCA Findings

5.1 Organizational Capacity Assessment Scores

The recently appointed country director for AAUU/U and his team are successfully implementing a large and complex country program. The NN supported HIV program complements the current Gulu based program strategies and fills a gap in community services. The AAUU team welcomed the OCA process and findings as a catalyzing agent for the changes they are seeking to strengthen organization’s management systems and processes. The team is very active, highly motivated and eager to implement the activities defined in the work plan. The organizations overall capacity assessment score came to 2.4 out of 4 (Annex 1). Its USAID program implementation capacity score was 2.3. The strongest organizational capacity elements were human resources management, financial management and program management, all scoring 2.6. The OCA sections needing most improvement were administration (1.8) and project performance management (2.0).

5.2 Summary of Issues

5.2.1 Governance (Capacity Score 2.4)

Plans are in place to review and revise the AAUU/Country x vision and mission statements to link the concepts of vision and mission with program strategies and actions. AAUU managers also recognize the need to improve staff understanding of the vision/mission statements and to guide them in applying the vision and mission on the job. Staff responses to the OCA questions on vision/mission and reinforce the need to address this issue (Annex 4). AAUU/U has a basic organizational structure in place and is, under the leadership of the recently appointed country director, discussing modifications to more clearly show responsibilities and lines of control and support. AAUU/U is a registered international NGO, fully compliant with labor laws and tax obligations.

5.2.2 Administration (Capacity Score 1.8)

Administrative procedures for office supplies, ICT, safety and security, asset movement and equipment management exist and are documented. Documentation of administrative procedures is not always complete and staff knowledge of policies suggests the need for additional staff orientation (Annex 4). Vehicle policies and procedures exist but need updating. Policies and guidance for hiring and managing consultants are needed. While policy on personal advances exists, detailed guidance on recovery and limits is needed.

Travel policies and guidelines for Fly America, international travel, per diem and expense reporting procedures exist, but documentation should be reviewed and updated to reflect USG rules and regulations.

Procurement included in the “Logistics Policies Procedures and Guidelines” document (procurement manual), originally developed for the Sudan-Country x operations, should be updated to comply with USG regulations including the definition of goods and services and inconsistencies between it and the finance manual addressed for example thresholds for cash payments. Procurement policies address conflict of interest and include a checklist for the procurement process. The approval and authorization matrix for procurement should be added to the procurement manual.

Definition of fixed assets/non-expendable items is consistent with USG regulations and physical inventory is done annually, but documentation is not complete. Guidelines and procedures for labeling assets should be adopted. There is no policy for marking and branding.

5.2.3 Human Resources Management (Capacity Score 2.6)

Most AAUU/Country x staff (8/9) report having a current job description and AAUU/Country x has prepared job descriptions for the new NN-supported HIV project staff positions. The country management team (CMT) plans to standardize job description formats including branding and review all job descriptions to ensure consistency with the soon to be modified organizational structure. While AAUU has established procedures and guidance for recruitment it lacks a strategy for employee retention. Currently, AAUU/U staffing levels are project driven which occasionally results in understaffing. The country director is preparing to conduct a strategic planning process that will inform staffing levels and budgets.

A new employee handbook containing personnel policies and guidelines for AAUU/U was recently distributed to staff members. In response to questionnaires, 8 of 9 staff reported receiving a copy of the handbook and 5 or 8 said they received and signed for it. AAUU/U plans to promote better understanding of the employee handbook through the staff ombudsman committee, group training for existing staff and a formal induction process for new staff.

Since the pre-award assessment, AAUU/U has introduced the use of timesheets for the NN grant employees and staff members are comfortable with the process. Additional guidance is needed to fully understand compliance requirements for staff who divide their time among projects.

The country office keeps staff CVs on file; bio-data forms (SF1420) are required for all international staff and these are filed with personnel records and updated when salaries change. Although local staff members are not currently required to complete SF1420, new staff for the NN HIV project will be.

AAUU/U's salary scale is consistent with fair local market scales and comparable to like organizations. Staff benefits are clearly documented and policies are in compliance with labor laws. Salary decisions are not always consistently applied, i.e. some staff in same position receive different salaries. The CMT plans to complete a salary review process to strengthen salary management and improve transparency and fairness. A personnel performance review process is in place but reviews are not always up to date and the process needs to focus more on helping staff to improve performance. Plans are in place to strengthen the system through training of staff and managers on the basics of performance management. Guidance for the selection and management of volunteers recruited from the community, nationally or internationally needs to be developed to ensure commitment and high quality performance. Attention to orientation and training of volunteers is also needed.

5.2.4 Financial Management (Capacity Score 2.6)

Financial management is relatively strong. Staffing levels and skills seem appropriate and include a controller and finance officer based in KK, a finance manager and officer in Gulu, and a soon to be hired officer to work with sub-grantees. AAUU/U follows the AAUU/HQ field manual for financial procedures – some of which is not relevant to the country office and not complete. For example, the manual does not have definitions of allowable, allocable and reasonable costs. Petty cash processes are well established but not well documented. Failure to clear advances is not well articulated, a double entry book-keeping system is used, actuals are reconciled with budgets, and a dual signatory system is in place. AAUU/U maintains a pool account for all grants but has the capability to set up a separate project account. AAUU/U will confirm the existence of a separate project account at HQ and the need for a separate account at field level. A chart of accounts exists with codes that can be used to generate reports for both the country and Gulu offices. VAT policies are not established and will need further clarification. Budget tracking is effective and cash flows can be tracked. An advance system for program activities will need to be developed and included in the financial manual.

AAUU will need to develop an authority matrix and share it across the organization. Many policies exist to guide staff duties and authorities but the information is not included in an authority matrix. There is no authority matrix and the procedure for control

AAUU is regularly audited by donors and HQ, and there is a process and schedule for follow-up of audit recommendations. In-country audit reports are available but not shared widely. An audit file with documentation in form of a tracking schedule to address audit recommendations should exist.

Financial reporting procedures are appropriate but not fully documented. Reporting is done on a monthly basis to HQ but timing can be improved. AAUU is reviewing how to document and

share reporting procedures with staff. Financial documents are kept in a secure place and documentation management procedures are followed but not well documented. The country office also needs a policy on AAUUhiving.

5.2.5 Organizational Management (Capacity Score 2.3)

While AAUU/U has a stated vision and mission, strategies and objectives are not yet in place. The country director, who observed that programming is not based on an analysis of strengths and weaknesses but on available funds, has begun strategic planning with management and a schedule for continuing the process has been developed. AAUU is awaiting approval for the NN 6 month work plan which has developed, submitted, reviewed, revised and resubmitted. The approach to development of the FY09 work plan will include full participation from all staff, more focus on the monitoring and evaluation plan and clearer linkages between activities and budgets.

AAUU/U recognizes the need for a system to respond to changes created by internal and external forces in the organizations environment. Factors of immediate concern include management of new members of staff, changes in funding levels, national politics and security.

AAUU/U linkages to external organizations working in Country x contribute to knowledge of best practice and staff renewal as do internal trainings, workshops and on line access to courses for staff development. AAUU is well versed on the geographic coverage of stakeholders and service providers in the communities they serve but lacks understanding of technical coverage particularly regarding HIV/AIDS services. The country director looks forward to developing a systematic approach to business development and sees the preparation of a strategic plan as an important first step.

5.2.6 Program Management (Capacity Score 2.6)

The finance manager and country director have good knowledge of USAID rules and regulations. However these are relatively new in the organization. The finance manager plans to conduct internal training to transfer knowledge on the application of the required rules and regulations for A122.

AAUU has worked with two sub-grantees under non-USAID funding and a policy on managing sub-grantees exists, but it is not compliant with USAID guidance. AAUU is looking to NP for assistance in developing a grants manual that complies with USAID regulations. AAUU receives sub-grantee financial reports but these are not well linked to programmatic reports. Finally, field supervision visits are made to sub-grantees and reports are completed but the reports do not link well to performance indicators.

While AAUU's existing project reports contain quantitative and qualitative data reflecting progress on work plans, the reports are not used to review objectives and adjust strategies. The referral system established for the gender based violence program is a good model for linking community based clients to higher level ART, PMTCT, HBC and STI/OI services.

AAUU is aware of the need to strengthen community involvement in planning and decision making and expects to establish mechanisms to collect and integrate feedback from community members into the design of program activities. Strong values within AAUU promote attention to culture and gender issues but a more formal statement and strategy to sustain this focus would be beneficial.

5.2.7 Project Performance Management (Capacity Score 2.0)

Field oversight by KK is achieved through supervision visits and field report reviews. Although no formal process for review and feedback on performance indicators is in place, strong but less structured technical and administrative guidance is achieved through regular communication. National standards are currently followed when training service providers for AAUU's existing programs and greater emphasis on using and sharing standards is expected in the new program. The project also plans to assist the government to strengthen standards for home based care. Components of field supervision already in place to support AAUU/U existing programs include clearly defined supervisory roles, supervisory schedules and standards. The supervision plan developed for the HIV project will also emphasize formal reporting and feedback processes. While the HIV project has made progress made on development of the monitoring and evaluation system, additional effort is planned to define data collection, analysis and reporting details. AAUU/U is also recruiting qualified staff to develop standard reporting formats and conduct M&E training for project and sub-grantee staff.

In designing a quality assurance program to support project achievements, the HIV Project Coordinator will review the quality assurance processes used by the AAUU/U gender based violence program and other models for managing quality within community based programs. AAUU project staff and sub-grantees will receive QA training to prepare them for their roles in monitoring and improving services.

5.3 Technical Assistance and Support Requested

5.3.1 Administration

- Provide examples of administrative procedures manual
- Review existing administrative procedures manual, provide feedback and technical assistance if needed.
- Review the revised ICT policies and procedures
- Share JJ/Country x security policy and guidance
- Provide consultant management guidelines
- Provide example of policies and procedures for managing staff advances, review revised AAUU draft policies and provide feedback
- Provide one-page trip report format
- Review the fixed asset policy and provide feedback
- Provide feedback on branding and marking procedures for USG compliance

5.3.2 Human Resources Management

- Provide examples of retention strategies for similar organizations
- Review current procedures for staff time management and provide guidance
- Review compliance with USG regulations or use of USAID bio-data form (SF1420)
- Provide documentation on role and management of volunteers

5.3.3 Financial Management

- Share example of financial procedures manual including table of authorities for field office
- Facilitate AAUU participation in CA meetings

5.3.4 Organizational Management

- Provide a co-facilitator to assist in the development of strategic plan to guide country operations
- Assist in development of a strategy for financial sustainability
- Support the development of the 2009 NN workplan

5.3.5 Program Management

- Co-facilitate training in cost principles and standard provisions
- Review and give feedback on AAUU sub-grant to HIDO
- Review and give feedback on sub-granting procedures for compliance with USAID regulations
- Review and comment on the finance officer job description
- Review and comment on technical report formats

5.3.6 Project Performance Management

- Co-facilitate staff training in M&E
- Assist with development of quality assurance system

5.3.7 NN Advisor

AAUU/U is interested in continuing discussions about the potential scope of work for an NN advisor.

6. Conclusion

AAUU/U has a qualified management team and a strong community focused program currently operating in the Gulu area, an important foundation for success. The OCA process was welcomed and participation was active and thoughtful. The country director embraced the assessment as a review process that complemented the organizations own internal review. Gaps in compliance with USG guidance revealed during the OCAs were taken seriously, as were issues related to strengthening field support, supervision and reporting. This team is excited and energized by the challenge of implementing the NN HIV project and expanding community services.

Annex 1: Score Sheet

Section		Sub-section	Score	Section Tally Average Score	USG Score
Governance	●	Vision	2	2.4	
	●	Mission/Goals	2		
	●	Organizational Structure	2		
	●	Board Composition and Commitment	N/A		
	●	Legal Status	4		
	●	Succession Planning	2		
Administration	●	Administrative Policies and Procedures	2	1.8	
	★	Travel Policies and Procedures	2		2
	★	Procurement	2		2
	●	Fixed Assets Control	2		
	★	Branding/Marking	1		1
Human Resources Management	●	Job Descriptions	3	2.6	
	●	Recruitment and Retention	2.5		
	●	Staffing Levels	2		
	★	Personnel Policies	3		3
	★	Staff Time Management	3		3
	★	Staff Professional and Salary History Documentation	2.6		2.6
	●	Staff Salaries and Benefits Policy	2.5		
	●	Staff Performance Management	3		
	●	Volunteers	2		
Financial Management	●	Financial Management	3	2.6	
	●	Financial Controls	2		
	●	Financial Documentation	2		
	★	Audits	3		3
	★	Financial Reporting	3		3
	★	Cost Share	N/A		N/A
Organizational Management	●	Strategic Planning	2	2.3	
	★	Workplan Development	3		3
	●	Change Management	1		
	●	Knowledge Management	3		
	●	Stakeholder Involvement	3		
	●	Sourcing Funds	2		
Program Management	★	Donor Compliance	2	2.6	2
	★	Sub-grant Contract Management	1		1
	★	Sub-grant Monitoring and Supervision	2		2
	★	Technical Reporting	3		3
	●	Referral	3		
	●	Community Involvement	3		
	●	Culture and Gender	4		
Project Performance Management	●	Field Oversight	2.5	2.0	
	●	Standards	2.5		
	●	Supervision	2		2
	★	Monitoring and Evaluation	2		2
	●	Quality Assurance	1		
AVERAGE Organizational Capacity Score			2.4		
Average USG Grant Implementation Capacity Score				★	2.3
Average Organizational Capacity Score without USG Sub-sections				2.4	

Annex 2: Action Plan

AAUU-Country x Office: OCA Action Plan					OCA Dates: July 9-11, 2008	
Section	Issue	Action	Person Responsible	TA/Support Desired	Priority Level	Timeline (Date or Quarter)
Governance	AAUU currently refining its Vision	Participate in HQ discussions on strategic plan and vision	Brent	Not required	M	7/31/2008
Governance	AAUU currently refining its Mission Statement and developing goals.	Participate in HQ discussions on strategic plan and vision	Brent	Not required	M	10/31/2008
Governance	AAUU's partner HIDO does have a functional board, but their capacity to govern the organization and to provide feedback in a consistent manner could be improved.	Bring issue of board to HIDO to discuss	Ilona & capacity building officer	Required	L	3/31/2009
Governance	AAUU vulnerable to staff turn over and senior management changes	Develop management working groups to stabilize policy and procedure issues	CD and CMT	Consultant to observe, comment on first CMT	M	9/1/2008
Administration	The main functions of admin are not well defined. The admin procedures manual is not well developed.	Draft admin procedures manual, share with staff for review and disseminate	Didier (CMT)	JJ to share admin procedures manual	M	9/30/2008
Administration	Administrative procedures may not be compliant with all USAID regulations. manual	Review existing AAUU manual, identify compliance gaps, update and disseminate logistics manual to staff	Didier/Mike (CMT)	AAUU to share existing manual with JJ for review and feedback. TA support to follow if needed.	H	9/1/2008
Administration	The ICT Policies and Procedures are not comprehensive.	Prepare a section on ICT to include in Admin procedures manual	Emma	JJ will review manual	M	9/1/2008
Administration	The existing security policy guidance is not fully reflective of Country x needs.	Review current procedures and protocol and update as needed. Establish and implement procedures for Country x country program, i.e. phone tree etc.	Brent and Jenny	JJ to share JJ/Country x protocol	M	12/31/2008
Administration	There is no sufficient guidance on recruit, hiring, management, documentation of consultants	Prepare guidance	Brent	JJ to share consultant management guidelines	L	12/31/2008
Administration	The current policies and procedures for managing staff advances do not adequately reflect required standard practice.	Include in review of financial procedures and personnel manual	Didier (CMT)	JJ to share documentation and will review draft policies and procedures	H	9/1/2008

Administration	The current guidelines do adequately comply with USG Travel guidance	Guidelines for travel should be updated to include: a) international travel in local staff manual, b) local travel and reporting process, c) add travel policies to personnel manual	Mike (CMT)	JJ to forward one page trip report form	M	9/1/2008
Administration	The current procurement Manual does not adequately reflect USAID guidance on all procurement issues.	Review guidance provided at launch meeting 2 identify gaps 3 update manual	Mike (CMT)	Not required	H	9/1/2008
Administration	The current guidelines are not fully compliant with USAID fixed asset policies and procedures	a) review AAUU fixed assets procedures, b) identify gaps and c) revise policy as needed	Mike (CMT)	JJ to review draft document.	H	9/1/2008
Administration	Currently lack policies and procedures on branding and marking.	a) AAUU to decide if M/B procedures be included in procedures, b) review USAID standards on Marking and branding, c) prepare policy and guidance in compliance with usaid regs.	Didier (CMT)	Review of AAUU branding and marking procedures for USG compliance	H	9/1/2008
Human Resources Management	AAUU believes that a retention policy will improve staff motivation and performance.	CMT to discuss, consult with staff forum and use feedback to define strategy	Emma as member of CMT	JJ to provide examples of retention strategies for similar orgs	L	10/31/2008
Human Resources Management	The existing staffing plan and organizational structure does not reflect current needs, particularly in finance and logistics	Review non-program job descriptions, tasks and responsibilities. Update job descriptions and AAUU/U organization chart.	Emma (CMT)	Not required	L	11/30/2008
Human Resources Management	HR Policies are not clearly understood by many staff	a) Ombudsman committee meets to prepare a process for orienting staff to HR policies and procedures. B) Conduct staff orientation sessions with support from senior staff	Joseph chair of Ombudsman	None required	M	3/31/2009
Human Resources Management	Lack of certainty on compliance with USAID staff time management requirements.	Review current procedures. Revise and improve as needed	Brent	Consult with Katrina	H	8/31/2008
Human Resources Management	Uncertainty on compliance with requirements for USAID biodata sheets	Review regulations, determine if procedures are in compliance and update HR procedures accordingly. AAUU HR staff attend training for USAID compliance	Emma	Consult with Katrina	H	8/15/2008

Human Resources Management	Salary and benefits policy/procedures are not transparent and not consistently applied	Complete salary review. Document salary policy and disseminate to staff	Brent	Not required	H	12/31/2008
Human Resources Management	No internal agreement on role of volunteers within AAUU/U	Develop additional guidance on management, support and use of volunteers	Faith	JJ to provide documentation on role and management of volunteers	L	3/31/2009
Financial Management	Guidelines for financial management are not fully reflective of USAID requirements nor current practices	Review the financial manual with regards to current practices and USAID compliance requirements, complete and update. Share with JJ for quality review. Submit to HQ for review.	Didier (CMT)	Guidance on USAID rules and review of final document. JJ to share financial manual including table of authorities for field office.	H	9/1/2008
Financial Management	There is no separate bank account at AAUU Country x for USAID Funds	Confirm existence of separate bank account at HQ and confirm that there is no need for a separate account in Country x	Brent	Not required	H	7/15/2008
Financial Management	No process in place for complying with VAT regulations	HQ to get VAT exemption letter from USAID. HQ request CTO for VAT letter. Develop VAT Policy that shows how often AAUU will submit for reimbursement.	Brent	JJ to facilitate AAUU participation in CA meetings	H	7/30/2008
Financial Management	Financial policy and procedures do not include key control mechanisms for ensuring compliance	Review existing AAUU manual, identify compliance and controls gaps, update and share with JJ and HQ for feedback.	Didier (CMT)	Guidance on USAID rules and review of final document. JJ to share financial manual including table of authorities for field office.	H	9/1/2008
Financial Management****	There is limited effort to ensure all senior staff are aware of audit findings and the planned actions.	Circulate audit reports to CMT and develop a plan to follow up on recommendations (internal review process).	Brent	Not required	H	7/30/2008
Financial Management****	The reporting process is not formalised and documented.	Develop specific steps for completing the reporting cycle	Didier (CMT)	Not required	H	7/30/2008
Financial Management	The documentation process within the finance function is not well formalised.	Develop specific steps for ensuring proper financial documentation.	Didier (CMT)	Not required	M	9/1/2008
Organizational Management	AAUU/U does not have a strategic plan in place to guide country operations.	Review of external envt.	Ilona (CMT)	Required	H	9/1/2008

Organizational Management	AAUU/U does not have a strategic plan in place to guide country operations.	Internal SWOT analysis	Brent (PWG)	Co-Facilitator		10/1/2008
Organizational Management	AAUU/U does not have a strategic plan in place to guide country operations.	Contextualisation of AAUU Mission & Visions	Brent (CMT)	Not required		9/1/2008
Organizational Management	AAUU/U and HQ need to coordinate the preparation of the 2009 WP due August 15 th	Follow up with Melissa & Jess	Ilona	Required	H	7/31/2008
Organizational Management	AAUU/U management seeks a more participatory process for supporting organizational growth and adapting to a volatile program context.	Refine ToRs for the relevant Mgt Groups. Engage gvt and other stakeholders to remain abreast of current situation	Brent (CMT)	Not Required	H	8/31/2008
Organizational Management	Absence of a formal strategy for sustaining AAUU/U programs.	Identify and approach donors interested in supporting our Strategic plan	Brent	TA required	L	12/31/2009
Program Management	A number of management staff lack awareness and understanding of USAID cost principles.	Train all staff involved in authorization and approval of transactions, e.g. A-122 cost principles and standard provisions	Didier	Co-facilitation of training	H	9/15/2008
Program Management	AAUU/U lacks standardized subgranting procedures for compliance with USAID funding.	Prepare guidance for initial HIDO sub-grant	Ilona (Capacity Building Manager TBN)	JJ to review and provide feedback	M	7/31/2008
Program Management	AAUU/U lacks standardized subgranting procedures for compliance with USAID funding.	Develop grants manual to guide further grants	Ilona (Capacity Building Mgr TBD)	JJ to review and provide feedback		12/31/2008
Program Management	Existing financial management capacity not sufficient to support increased numbers of sub-grantees	Recruit FO to support sub-grantees. Document lessons learned with HIDO	Ilona	JJ to provide review and comment on FO job description	H	2/15/2009
Program Management	Existing technical reports may not comply with USAID/PEPFAR requirements	Review technical reports to identify gaps, revise and set standardized format	Ilona	JJ to provide review and comment on technical report formats	H	8/31/2008
Project Performance Management	Feedback on management and program progress among managerial levels is informal and not routine	a) Identify leader for the Program working group, b) establish a schedule, process and forum for discuss and feedback.	Brent	Not required	M	1/1/2009
Project Performance Management	Efforts must be made to ensure adherence to national Standards of Service Delivery for the HIV program.	a) new program staff to be trained in standards, b) establish supervision and monitoring procedures to address compliance with standards	Ilona (w/clinical training officer TBD)	Not required	M	7/31/2008

Project Performance Management	Supervision system is not sufficient developed to support staff in achieving program objectives	Review existing system, clarify supervision responsibilities, prepare guidance and specify linkages to the overall workplan	Ilona (HR)	Required	H	8/31/2008
Project Performance Management	The HIV program will need a clear, comprehensive process for implementing the M&E Plan	a) Meet with MEEPP, b) define roles and responsibilities of M&E staff, c) fine tune reporting formats, d) set up a process for regular review of M&E data	Ilona	Meet with MEEPP for support on refinements of Logframe and indicators	M	7/31/2008
Project Performance Management	Inadequate staff to meet the M&E needs	Hire new staff and train existing staff including the Program coordinator.	Ilona (HR)	Required TA in M&E training	H	9/30/2008
Project Performance Management	Quality assurance systems are not in place for field implementation and subgrantee monitoring.	Conduct a participatory review process of programs and define quality standards and procedures	M&E Officer (TBD)	Required	L	3/31/2009

**** These are ongoing tasks

Participants

Organization:	BP	Country Director- Country x
	AL	Logistics Officer
	EB	IT Administrator/HR Manager
	MC	GBV Officer
	DE	Controller (Finance and Administration)
	IV	HIV Program Coordinator- Gulu Office

Annex 3: AAUU Board Questionnaire Responses

Questionnaires were not completed by AAUU board members.

Annex 4: AAUU Staff Questionnaire Responses

1		What do you think is the greatest strength of your organization?	<ul style="list-style-type: none"> • Capacity building of national staff • Free communication in AAUU from top management to low level staff – without segregation. • GBV services, professional staff • The strength and capacity of staff – administrative and technical – at HQ and in the field. • The vision and mission statements • Helping the needy IDPs with dignity and self sufficiency, through providing or advocating for the basic needs of the IDPs or returnees. • Program implementation. AAUU does its best to ensure quality programs are implemented. • Working down at the grassroots and in communities. Getting work done with real people affected – widows, orphans etc.
2	Vision/Mission	Are you aware that AAUU has a vision statement (future aspiration)?	Y = 9
3		What is the key message of that statement?	<ul style="list-style-type: none"> • AAUU gives people a chance at self sufficiency. • Self sufficiency for participants • Restoring and enhancing dignity and self-sufficiency of refugees • To have beneficiaries obtain self-sufficiency. • Having the chance to take control of one’s life and achieve self-sufficiency. • Set highest standards for helping to restore and enhance the dignity and self-sufficiency of refugees, and IDPs. • Helping IDPs overcome challenges to live lives of dignity and self-sufficiency to enable people to lead healthy and productive lives. • A future generation with a healthy and productive life. • The key message is to help people to restore what they may have lost in a dignified manner and to have hope in the future.
4		Are you aware that AAUU has a mission statement?	Y = 8
5		What is the key message of that statement?	<ul style="list-style-type: none"> • Helping people rebuild lives with dignity and self sufficiency • AAUU helps provide resources, expertise for healthy safe lives in crisis/conflict areas and times. • Working with displaced refugees. • To help people rebuild lives of dignity, health, security and self-

			<p>sufficiency.</p> <ul style="list-style-type: none"> • Enabling persons at risk, DIPs etc. to rebuild lives of purpose and dignity, while respecting their values. • “Work” with refugees, DIPs and those at risk to help them survive crises and rebuild lives of dignity, health and self sufficiency. • AAUU build a community that lives in dignity and health • The key message is to help refugees, DIPs survive the past and look forward to the future and become self-sufficient.
6		How do you use this message in your work?	<ul style="list-style-type: none"> • Approaching all projects and management via a participatory-based approach to give people ownership. • Aim project objectives and activities at supporting self-sufficiency of our program participants and at capacity building. • Respond to people I work with respectfully. • It isn't used in my duties, except when I distribute stuff. • Offer awareness training and sensitization on topics such as Human Rights and available services and opportunities in the community. Allow them to make independent choices from the options. • Respond to all requirements of programs through logistical support. • Being transparent and accountable in my work, being able to advocate for human needs especially those of the IDPs we are working with., targeting support to the really needy e.g. EEVIs within the IDPs. • We use the mission when working with grassroots people to become self-sufficient and not dependent in a dignified manner
7	Organizational Management	Which of the following processes have you participated in either developing or reviewing?	
		NN Workplan	Y = 2, N = 5
		Other Work Planning	Y = 8, N = 0
		Management and Program Policies & Procedures	Y = 6, N = 1
		Best Practices	Y = 3, N = 5
		Strategic Plan	Y = 1, N = 5
8	Administration	Are you familiar with the administrative policies of your organization?	Y = 4
9		Name three administrative policies which guide your work.	<ul style="list-style-type: none"> • HR policy – logistics policy – finance policy • Employee staff have access to policies in the Finance Policy and Logistics Manual • They don't exist or are woefully inadequate • Transparency and open communication – Respect

			<ul style="list-style-type: none"> • Logistics policy and procedures (under review) • Being truthful, open and respecting different views/Being flexible open to change and creative, yet disciplined in my decision making/Working together as a team to fulfill AAUU. • No • Time/Teamwork/Communication
10	Job Description	Do you have a current job description?	Y = 8, N = 1
11	Personnel Policy	Do you have a copy of the organization's Personnel Manual?	Y = 8, N = 1
12		Did you provide your signature as a condition for obtaining the Manual?	Y = 5, N = 3
13		What do you most like about working here?	<ul style="list-style-type: none"> • Size of the organization • Technical aspects of the program • Work with AAUU has helped me build my career and understand people from different places and views • The people • Directly working with vulnerable communities and helping them redirect their lives purposefully. • I am not pushed around to do work. I am self-motivated. Corrective criticism helps me improve my weak areas. • Targeting the EEVIs to restore human dignity – though advocating for the service gap and provision of some basic needs. Working to meet/fulfill the mission of AAUU. • Support from supervisors and the team and the fact that AAUU has given me an opportunity to take on challenging roles and develop my capacities in all way. • I like the challenge of meeting people who have lost hope about changing their livelihoods and then after 4 weeks of training they begin seeing a future they never hoped to get.

Annex 5: AAUU OCA Evaluation Comments

Do you feel the OCA process allows for a fair assessment of your organization?	Y	<ul style="list-style-type: none"> • Key areas of our operations were captured. • The process helps to analyse different aspects of the organization and provides opportunity to improve. • OCA tackles all areas of the organization, emphasizing organizational capacity to improve at all levels. • The process clearly analyzes the different components of an organization by breaking them down and critically scrutinizes them with intention of improving on their deficiencies. • The process was very useful in bringing together various key members of the country team to understand where we are as an organization and was conducted in a participatory manner, allowing for feedback from a range of managerial positions.
Do you feel the members of your organization were adequately included in the assessment process?	Y	<ul style="list-style-type: none"> • Representation from both systems and programme staff. • Oh yes, all heads of departments were invited. • Equal participation was realised – members were also drawn from different departments of the organization. • There was equal participation. • Members were drawn from all the departments in the organization and I feel the constitution of the group was well represented. • In most instances. I think a good representation of our organization was able to participate in this exercise; inclusion in the discussions was based on the relevance of a member to the discussion topic.
Do you feel the agreed action plan will help your organization address issues and grow?	Y	6/6
What do you think worked well in this process?		<ul style="list-style-type: none"> • Good initial rating exercise. • Participatory and inclusive of key personnel. • The process was interactive which encompassed all members to actively contribute ideas without fear. • Facilitators were great. • The splitting of the members to participate in the various discussion groups was good. This ensured that people who had expertise/knowledge in the different departments contributed well to the whole process. • It was comprehensive, participatory, flexible, realistic and there was sufficient room for dialogue/exchange with the group. The facilitators did a good job of guiding the discussions and highlighting key points/considerations. • The “opting out” for participation in certain sessions was good.
What did you not like about this process?		<ul style="list-style-type: none"> • The organizational review was perhaps not needed as an independent activity. • It is an intensive process – in the future, the process should take more days like 5 days. • Too intensive. • Nothing.

		<ul style="list-style-type: none"> • At times some staff were not able to participate in certain discussions either because they were not in a place (able) to contribute and in some instances they were not able to engage in relevant dialogue due to time constraints.
What would you change in this process?		<ul style="list-style-type: none"> • Perhaps the organization could complete the action plan independently and then the facilitators review in plenary. • Time – to give each session more time to allow more discussion on topics. • Give the process more time. • Time management. The process is intensive and squeezed within a little time. More time should be allocated and well spread to enable too much strain in not put on the participants. • Some of the ranking level descriptions were not clear or did not reflect a clear progression of improvement from score 1 to 4.
Other comments or suggestions		<ul style="list-style-type: none"> • None. Fully satisfied. • The facilitators seemed well informed with the policies, but also acknowledged sections not sure of. • None. • Ensure that this is adapted to the particular members present so that everyone in contributing to their best capacity when relevant.