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ORGANIZATIONAL CAPACITY ASSESSMENT REPORT

FOR NN ROUND TWO PARTNER
Cd for Education
TT

December 2008

ORGANIZATIONAL CAPACITY ASSESSMENT REPORT

FOR NN ROUND TWO PARTNER
CD
TT

BB, JOHN SNOW, INC.

The information contained in this report is the product of an assessment. The organizational capacity assessment component is led by Ilin collaboration with JJ and the United States Agency for International Development (USAID). The report was prepared by NN, a project implemented by JJ under Task Order No. GHS-1-xxx issued by USAID under the auspices of the President's Emergency Plan for AIDS Relief (PEPFAR).

DISCLAIMER

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.

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Abbreviations

AGM	Annual General Meeting
AIDS	Acquired Immunodeficiency Syndrome
Cd HQ	Cd
CD TT	CdAssociation
CDC	Community Development Committee
HIV	Human Immunodeficiency Virus
HRM	Human Resources Management
JJ	JJ
MVC	Most Vulnerable Children
NGO	Non-Governmental Organization
NN	New Partners Initiative
NN	
OCA	Organizational Capacity Assessment
OVC	Orphans and Vulnerable Children
PEPFAR	President's Emergency Plan for AIDS Relief
USAID	United States Agency for International Development
USG	United States Government

ORGANIZATIONAL CAPACITY ASSESSMENT (OCA) REPORT
CD
TT
DECEMBER 10-12, 2008

OCA REPORT WRITTEN BY:
BB, NN

ASSESSMENT TEAM:
CL, NN
BB, NN
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1. Background

The New Partners Initiative (NN) was developed to expand the reach of HIV/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 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 John Snow Incorporated (JJ) to provide technical support to NN partners in organizational development, management of USG funds and HIV/AIDS program implementation. The NN technical support contract (NN), implemented by JJ with its partner Initiatives 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, NN conducted organizational capacity assessments (OCAs) of each NN partner.

2. Organizational Capacity Assessment Process Overview

The OCA process used by NN 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 a score of one indicating very little capacity and a score of four representing strong capacity. Through a participatory discussion, organizations and NN team members review the organization's systems and processes, identify issues or technical support needs, and identify an organizational capacity score, from one to four.

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

3. Organization Overview

Cdis a non-governmental organization dedicated to girls' education and poverty eradication in Africa. The Cdorganization has five branches: CdInternational, the headquarters of the organization, established in the UK in 1993; CdZimbabwe, established in 1993; CdUSA, established in 2001; CdGhana, established in 2002; CdZambia, established in 2006; and CdTT, established in 2007.

Boards of trustees are active in each branch, supported by an International Advisory Board whose members provide specific expertise.

Cama, the CdAlumni, was established in 1998 and is now a pan-African membership organization for young, educated, rural women. Cama's members are showing how the education of girls plays a crucial role in the fight against poverty and the regeneration of communities.

The reports and accounts for the year ending December 31, 2006 indicate Camfed's resources from generated funds amount to 3,261,549 pounds sterling.

The CdModel enables girls to complete their primary and secondary education, start and develop businesses or go on to higher education. Young, educated women are supported through Cama – the Cdalumni – to become role models and leaders for the next generation. The four stages of the support are: primary education; secondary education; economic empowerment; and leading change. Once Cdcommits to support a girl, she is supported throughout her childhood and adolescence into young adulthood. Cdprovides all the material and social needs necessary for a girl to succeed and feel secure.

The CdModel includes social and financial auditing systems that ensure money reaches the intended target. For example: there are just two transactions between the receipt of money by Cdand the girls who benefit, each of which is under Camfed's control; all families know their daughter's entitlement to support; the surrounding community knows the criteria by which girls are selected for support; the accounts of all partner schools are audited by Camfed; mentors are trained at each partner school to give girls protection and emotional support throughout their education.

Through the NN Program, NN is assisting CdTT to implement its program in six districts of TT and translate into action the ideals of the CdModel. The aim is to:

1. reduce young women's risk to HIV and AIDS by keeping them in school and offering opportunities for AIDS education;
2. build CdTT's psycho-social support for OVCs and build links to HIV and AIDS services referral, and
3. improve CdTT's capacities in areas such as financial management and fundraising.

The program grant is awarded to CdUSA and will be managed by CdTT.

4. OCA Implementation Description

4.1 Participants

The NN team was composed of three members, two from JJ and one from IIIIn addition to the NN team members, six staff members from CdTT, one from CdInternational and a representative from USAID participated in the OCA.

Table 1: Participant List

NN	Organization	USAID
CL, Team Leader, Initiatives Inc.	PM Executive Director, CdTT	LS, Director of Operations and Resources, CdInternational
BB, JJ	TM Program Officer, CdTT	SK Activity Manager
AB, JJ	MB Finance Manager, CdTT	
	GK M&E Officer, CdTT	
	CI Manager, Young Women Empowerment, CdTT	
	LK Executive Assistant in Charge of HR and Administration, CdTT	

4.2 Process

The NN team and Cdstaff conducted the OCA process over a period of three days, from December 10th through December 12th at the CdOffice in Dar es Salaam.

The Executive Director of CdTT was extremely open to the participatory nature of the assessment and helpful in identifying relevant staff to work with. The CdTT Office assembled hard copies of the documents required for the assessment prior to the arrival of the NN team.

Given the small number of people involved, it was decided that everyone should participate in discussions on five sub-sections of the OCA, namely administration, human resource management, financial management, program management, and project performance management. The NN team discussed the sub-sections on governance and organizational management that are pertinent to CdTT with the Executive Director and the representative from CdInternational. In addition, the NN team member with special responsibility for Finance had a one-on-one follow-up session with the CdTT Finance Manager.

The NN team started day one with an overview of the NN and the OCA principles. The CdTT team then presented the mission and objectives of its organization. Reviews of the administration, finance and human resource management sections were completed on day one.

Reviews of the remaining four sub-sections were completed by mid-afternoon of day two. On the morning of day three the NN team presented CdTT with written summaries of organizational capacity findings in each sub-section and the rationale and scores for each subsection. The Cdteam reviewed these preliminary findings among themselves, making recommendations for changes, and discussing areas where they would like technical assistance.

The NN and Cdteams re-assembled late in the morning of day three and in a lengthy plenary session developed an action plan which included requests for technical assistance for each sub-section. This process concluded the OCA.

During the weeks following the OCA, the CdTT team met to discuss the action plan and approved the final version that is included in Annex 2.

5. OCA Findings

5.1 Organizational Capacity Assessment Scores

Registered as an NGO in TT in 2006, CdTT is the newest addition to the Cdfamily. Its programs are robust and enjoy the support of the Community Development Committees (CDCs) in six districts. These CDCs are the backbone of the program and represent Camfed's commitment to stakeholder ownership and implementation of activities.

The scores of the OCA reflect CdTT's programmatic strengths and the confidence with which this national office is approaching its work. CdInternational has supported CdTT in confronting the challenges facing a new team opening a new office and launching its programs. These challenges are especially evident in the area of financial management where CdTT requires technical assistance to ensure that the national office has the staff and expertise to effectively manage its systems.

The organization's overall organizational capacity score came to 3.3 out of 4. Its USAID program implementation capacity score was 3.4. The strongest organizational capacity elements were Administration (3.6), HRM (3.8) and Program Performance Management (3.6). Financial Management (2.3) was identified as the areas in need of most improvement. A complete list of organizational capacity scores for each section and sub-section is provided in Annex 1.

5.2 Summary of Issues

5.2.1 Governance (Capacity Score 3.5)

CdTT has been legally registered in TT since 2006 and is still in the start up phase of its operation. Its current priority is to build a full complement of key staff, particularly at the senior levels. CdTT shares the same Vision, Mission and Goals as CdInternational. The staff questionnaires show that staff members are aware of the vision and mission and apply them in their work. In terms of succession planning the Executive Director is aware of the need to build the capacity of managers in case they should be required to assume temporary responsibilities in the event of a change of leadership.

Currently CdTT is operating with a three-person advisory board, one of whom lives in the UK. The roles and responsibilities of this board, and its future relationship with the Board of Directors of CdInternational are being studied by CdHQ. Because CdTT is a young branch of Cdand is still building a senior management team, and given the contributions that a good board

plays in assuring the effectiveness of an NGO, CdTT will benefit from an early decision and action to resolve this question.

5.2.2 Administration (Capacity Score 3.6)

The Cdfamily shares a single operations manual that guides HQ and national offices in Africa. CdTT has benefited from the speed with which CdInternational responded to its OCA (June 2007) and to the revisions made to the general operations manual in November 2008. CdTT will now identify and modify sections of the operations manual to reflect the specific needs of day-to-day operations in TT.

Travel policies are compliant. CdTT is awaiting approval from JJ on its procurement policies that have been modified by CdInternational to meet the required USAID regulations. CdTT has yet to receive equipment procured with USAID funding but when it does it will follow up with the USAID mission to get the appropriate tags. The administrative manager has participated in branding training and will share information with other staff members.

5.2.3 Human Resources (Capacity Score 3.8)

CdTT's reputation for motivating work and partnerships with the community attracts committed young professionals and makes recruitment of qualified staff relatively easy. However, as the organogram indicates leadership positions (i.e. Director of Finance and Director of Programs) are vacant pending future growth. Filling these key positions will be major step in establishing CdTT as a sustainable NGO.

CdTT's operations manual, modified by CdInternational in November 2008, shows that the national office is compliant with regard to personnel policies, time management, staff history and documentation and staff performance management. CdTT has recently developed a system of salaries and benefits that is being shared with staff. Job descriptions are being updated to include descriptions of required skills and qualifications.

Its organization of volunteers in the Community Development Committees (CDCs) is strong: CDC Annual General Meetings are an important part of the process whereby community members drive the formulation of policies and plans that respond to the needs of girls and young women.

5.2.4 Financial Management (Capacity Score 2.3)

Because CdTT is the newest national office and is functioning without a financial director, its finances are closely monitored by Cambridge. Currently Cdis in-putting data on a parallel financial management system both at the international office and TT office.

To ensure compliance, the finance section in the operations manual needs to show the practice of how the exchange rate is dealt with while preparing reports in USD dollars submitted to USAID. The indirect rate is set at 12% and managed by CdInternational; CdTT does not monitor and track the indirect costs.

As regards to financial controls, to be compliant the national office should establish a proper filing system that can be accessed by authorized personnel and ensure that an audit trail is in place. The vehicle log book needs to be reviewed regularly. Currently CdTT has only two signatories approved to sign checks. To avoid a major inconvenience, an additional signatory should be approved as soon as possible.

To maintain compliance and good business practices in financial documentation, the national office needs to collect and file bank statements on a timely basis; the accounting data base should be kept in the office (not just on the lap top of the financial manager) and updated on a regular basis; payment vouchers need to be pre-numbered; and payment vouchers indicating to which account they are allocated need to be properly filed.

CdTT has never had an in-country audit though one is planned for late February 2009. CdTT has been audited as part of an audit of CdUSA and CdInternational. However, copies of audit documentation that relate to CdTT are not available in-country.

CdTT's financial reporting system would be compliant and strengthened if the national office prepared bank reconciliation statements on a timely basis; established a mechanism to monitor cash balance; updated the sun system accounting database on a timely basis, and created a separate database for its USAID account.

CdTT is exploring eventual possibilities for calculating volunteer and community support as cost share.

5.2.5 Organizational Management (Capacity Score 3.0)

CdTT's country specific strategic plan is being prepared by the national office in close collaboration with the CDCs. It will be finalized in February 2009. CdTT's annual work plans are reviewed by the CdInternational Operations Team. In CdTT's weekly staff meetings the national team discusses changes and issues such staff changes in district education offices, or modifications to plans to deal with financial shortfalls.

In terms of knowledge management, CdTT is connected to important education and NGO networks to ensure local coordination and avoid duplication of services. As part of its participation in the NN, CdTT will develop a plan and strategy to engage its CDCs in HIV/AIDS prevention and also connect CDCs with AIDS committees at the district and ward level.

CdTT is dependent on CdInternational and CdUSA (the NN grant) for its funding. The national office has yet to develop a plan for the mobilization of funds and support in-country.

5.2.6 Program Management (Capacity Score 3.3)

CdTT has no sub-grantees; rather it has an MOU with the Ministry of Education and sends funds directly to schools participating in Cdprograms. With the evolution of national policies on decentralization, CdTT is weighing the option of entering into direct contractual agreements with district schools. In the districts where it works, Cdhas established a strong network of CDCs comprised of volunteers, members of the community and teacher mentors, who select the girls needing financial support, follow up on their academic progress and maintain contact with their families. CDCs and Cama members have been trained in Communication Strategy Workshops to collect stories and photos that can be used in technical reports. These reports from the field shape programming decisions. For example, the national office became aware of the need to link interventions on HIV, Reproductive Health and counseling; to group individuals receiving micro-financing, and to select and support women leaders at the ward level.

Though the national HIV/AIDS prevalence is 5.7, Cdworks in some districts where the prevalence rate is more than twice that. HIV/AIDS is not an area in which CdTT has put a great deal of effort to date. However, it is well positioned to assist in national efforts to move beyond

supplying medical information on AIDS and focus on the behavior change within the community that will protect OVCs, girls and young women who are most vulnerable to infection. At present, CdTT has no system in place to assist CDCs who may wish to refer OVCs and their families for medical or professional psycho-social support.

Empowerment training is a foundation stone of CdTT's work. Girl students are encouraged to participate in AGMs. While recognizing that it focuses on girls, CdTT is also aware of the need to engage boys and young men in discussions and interventions that promote understanding of gender in TTn culture.

5.2.7 Project Performance Management (Capacity Score 3.6)

A baseline report dated March 2008, included in the documentation gathered for this OCA, demonstrates the seriousness with which CdTT conducts field oversight of CDCs - including the tackling the on-going challenges of ensuring transparency of the terms of the package offered to selected girls; accountability for the disbursement of funds and the difficulties in ensuring collaboration and communication between stakeholders.

CdTT trains CDCs in data gathering and cross checking information. In previous years CDCs have reported bi-annually, but in 2009 CdTT will introduce a quarterly reporting system. To standardize the data collected, CdTT has developed a report format that will be introduced early next year. The Young Women's Empowerment program gathers quarterly reports and the minutes of monthly meetings.

The USAID mission in TT is piloting OVC standards. CdTT is following this process and anticipates being involved in the next steps of the OVC standards development.

In its M&E, CdTT focuses on monitoring 1) Evidence of Interest, 2) Key Performance Indicators and 3) Outcome and Impact Indicators. CdTT feeds its data to a central data bank in the UK where it is analyzed and then returned to program officers in national offices. After the M&E workshop in Kampala, CdTT introduced a stakeholder analysis into its M&E system.

The challenge for CdTT is fitting psycho-social indicators of support for OVCs into its current M&E framework. However, CdTT is a member of the Most Vulnerable Children's (MVC) group which seeks to coordinate activities, avoid "over-intervention" and develop M&E of OVC programs.

CdTT gathers information on client satisfaction through training evaluations, feedback from Cama members, assessments from participants in the YWE program and stakeholders attending the AGM. Program reviews are also the occasion to identify and solve problems with CDCs. Quality assurance around OVC interventions should be developed as CdTT expands into this field.

5.3 Technical Assistance and Support Requested

5.3.1 Governance

- Provide training for CdTT's board members

5.3.2 Administration

- Provide checklists on the contents of operating procedures manuals and procurement manuals to ensure compliance with USAID requirements
- Review TT specific changes to the operations manuals.

5.3.3 Financial Management

- Advise in the development of TT specific changes to the financial management section of the manual of policies and procedures that ensure compliance with USAID regulations.
- Provide guidelines on VAT policy for TT
- Advise on documentation to ensure proper audit trail in preparation for the February 2009 audit
- Advise on the strengthening of accounting software systems and work with the CdInternational IT analyst as needed.
- Provide information on USAID requirements for translations of Swahili receipts.
- Support preparations for in-country audit
- Provide guidelines on calculating volunteer support as cost share

5.3.4 Human Resources Management

- Provide feedback on documentation of Camfed's achievements in mobilizing community and volunteer support of programs

5.3.5 Project Management

- Review and provide feedback on documentation of achievements in promoting girls education.
- Assist in training and capacity building of CDCs working in psycho-social support of OVCs and HIV/AIDS prevention
- Assist in developing referral system that can be used by CDCs.

5.3.5 Project Performance Management

- Provide information on M&E for psycho-social support for OVCs
- Assist in obtaining information on quality assurance for psycho-social support of OCVs.

5.3.6 NN Advisor

CdTT is reviewing how it would best use an NN Advisor. This issue is open for further consideration.

6. Conclusions

Despite only operating for two years, CdTT has an ambitious program. Its strength lies in its capacity to draw on CdInternational's expertise and experience of mobilizing communities and stakeholders in support of girls' education and micro-enterprise development for young women. CdTT has implemented the Cdmodel in six districts where it has been enthusiastically received by schools and communities. While programmatically strong, to effectively manage its NN program, CdTT must also address issues related to USAID compliance particularly in financial management. Filling staffing gaps at the head of function level and developing an active local board will strengthen leadership, on-the-spot strategic decision-making and the capacity to put to use the good management practices needed to ensure sustainability.

Annex 1: OCA Score Sheet

Section		Sub-section	Score	Section Tally Average Score	USG Score
Governance	●	Vision	4	3.5	
	●	Mission/Goals	4		
	●	Organizational Structure	3		
	●	Board Composition and Commitment	2		
	●	Legal Status	4		
	●	Succession Planning	4		
Administration	●	Administrative Policies and Procedures	3	3.6	
	★	Travel Policies and Procedures	4		4
	★	Procurement	4		4
	●	Fixed Assets Control	4		
	★	Branding/Marking	3		3
Human Resources Management	●	Job Descriptions	3	3.8	
	●	Recruitment and Retention	4		
	●	Staffing Levels	4		
	★	Personnel Policies	4		4
	★	Staff Time Management	4		4
	★	Staff Professional and Salary History Documentation	4		4
	●	Staff Salaries and Benefits Policy	3		
	●	Staff Performance Management	4		
	●	Volunteers	4		
Financial Management	●	Financial Management	2	2.3	
	●	Financial Controls	2		
	●	Financial Documentation	2		
	★	Audits	3		3
	★	Financial Reporting	2		2
	★	Cost Share	3		3
Organizational Management	●	Strategic Planning	3	3.0	
	★	Workplan Development	4		4
	●	Change Management	4		
	●	Knowledge Management	3		
	●	Stakeholder Involvement	2		
	●	Sourcing Funds	2		
Program Management	★	Donor Compliance	3	3.3	3
	★	Sub-grant Contract Management	3		3
	★	Sub-grant Monitoring and Supervision	n/a		n/a
	★	Technical Reporting	4		4
	●	Referral	2		
	●	Community Involvement	4		
	●	Culture and Gender	4		
Project Performance Management	●	Field Oversight	4	3.6	
	●	Standards	4		
	●	Supervision	4		
	★	Monitoring and Evaluation	3		3
	●	Quality Assurance	3		
AVERAGE Organizational Capacity Score			3.3		
Average USG Grant Implementation Capacity Score				★	3.4
Average Organizational Capacity Score without USG Sub-sections				3.3	

Annex 2: Action Plan

Section	Sub section	Issue	Action	Person Responsible	TA/Support Desired	Priority Level	Timeline (Date or Quarter)
Governance	Board composition & responsibility	Discussions are still underway to decide the future direction, roles, responsibilities of CdTZ's Board	Define the roles and responsibilities of CdTZ's Board and activate Board	Penina/ CdInternational	NN to train Board Members	Medium	06/30/09
Governance	Succession Planning	Positions at the director level are vacant, leaving CdTZ vulnerable should anything happen to the national office leadership	Continue to maintain systems that could function in leadership transition. Mentor managerial level staff to temporarily manage a transition – should the occasion arise	Penina		Low	On-going
Administration	Administration Policies	Operations Manual developed by CdInternational does not reflect the situation in TT	Identify gaps and add to Ops Manual to reflect situation in TT	Penina	Cdinternational/ legal advise	High	02/28/09
HRM	Job descriptions	Job descriptions do not include qualifications and skills	Complete job descriptions to include qualifications and skills	Leah	Penina	Medium	01/31/09
HRM	Staffing levels	CdTZ has two vacancies at the head of function level, leaving the Exec Dir shouldering enormous responsibilities for operations	Fill the vacancies as soon as feasible.	Penina/ CdInternational		High	06/30/09
HRM	Volunteers	CdTZ has a valuable resource in its volunteers and CDCs, but does not document its achievements in this area	Document and share processes, achievements in community mobilization	Teresia	NN to provide feedback on documents	Medium	12/31/09
Financial Management	Financial Management	Finance section in the operations procedure's manual does not reflect the practice of how the exchange rate is dealt with while preparing reports in USD dollars submitted to USAID.	Update the Finance section in the operations procedure's manual to reflect the exchange rate practice of CdTz.	Balula	NN to advise	Medium	12/31/08
Financial Management	Financial Management	CdTT has not yet submitted any VAT claims	Ask USAID in-country activity manager and NN for guidance on VAT	Balula	NN to advise	High	01/31/09
Financial Management	Financial Management	The indirect rate is set at 12% and managed by CdInternational, CdTz does not monitor and track the indirect costs	Provide additional support to CdTT Finance Manager on how to monitor and track the indirect costs	Balula	NN to advise	High	01/31/09
Financial Management	Financial Controls	In the absence of the finance manager no one can provide the financial reports	File financial reports properly in such a way that all authorized personnel can have access to the reports.	Balula		High	01/31/09
Financial Management	Financial Controls	There is no clear audit trail, i.e. items included in the reports cannot be	Ensure that CdTT has a proper filling system. Ensure a clear audit trail for	Balula	NN to advise	High	01/31/09

		clearly traced back to the details and supporting documents.	the accounts (ie, Trail Balance) to be audited.				
Financial Management	Financial Controls	Vehicle log book is not signed by the responsible official regularly. It lacks indication of the purpose of the movement and proof that it is regularly reviewed by a responsible person.	Review the vehicle logbook and ensure it is signed regularly for each trip, the purpose of the travel is clearly stated and that there is a review by a responsible official on a regular basis	Leah		High	12/31/08
Financial Management	Financial Controls	Currently CdTz has only two signatories who are required to sign cheques, thus potentially causing problems if one signatory should be traveling or unexpectedly absent from the office.	Get another signatory approved and on board asap.	Penina		High	02/28/09
Financial Management	Financial Documentation	Sun system accounting database for CdTT is on a laptop in the possession of the Finance Manager.	Keep CdTT's accounting database on an office computer and back-up on a regular basis.	Balula	Marcin -IT analyst	High	01/31/09
Financial Management	Financial Documentation	Payments vouchers are manually prepared and are not pre-numbered.	Use the Sun System accounting package to prepare payments vouchers to ensure that cash balances are monitored on a timely basis.	Balula	NN/FM CdInternational to advise	High	02/28/09
Financial Management	Financial Documentation	No proper voucher filling system, cheque payment voucher are filed together with petty cash vouchers and not in a sequential manner	Ensure a proper filing system	Balula		High	01/31/09
Financial Management	Financial Documentation	Inadequate supporting documents on some payment vouchers.	Ensure that all payments have proper supporting documents.	Balula		High	01/31/09
Financial Management	Financial Documentation	Some payment vouchers do not indicate to which account the expense was allocated.	Ensure that the payment vouchers clearly indicate to what account expense was allocated.	Balula		High	01/31/09
Financial Management	Financial Documentation	Many receipts are in Swahili	Include translation costs for receipts – a USAID requirement. Check with USAID and JJ offices in TT on the current practice.	Balula	NN to advise	High	01/31/09
Financial Management	Audit	CdTT has never had an in-country audit. Though it was audited as part of an audit of CdUSA and CdInternational, copies of audit documentation that relate to CdTT are not available in-country.	Follow up on plans in place for an in-country audit. Ensure that audit documentation related to CdTT is available in-country.	Penina	Support from NN	High	02/15/09
Financial Management	Financial Reports	No monthly bank reconciliation statements prepared for the USAID bank account (Standard Chartered Bank)	Prepare Bank Reconciliation Statements on a timely basis	Balula		High	01/31/09

Financial Management	Financial Reports	CdTT has no mechanism to monitor its cash balances. USAID account does not have a cash book to record when payments are made. Other donors' account cash book does not have a running balance and was last updated in October 2008.	Ensure a proper mechanism to monitor cash balance in an up-to-date manner.	Balula		High	01/31/09	
Financial Management	Financial Reports	The Cash book is meant to be done in excel and exported into the Sun System Database; however updates for the USAID account were last done in October 2008.	Ensure that the sun system accounting database is updated on a timely basis.	Balula		High	01/31/09	
Financial Management	Financial Reports	CdTT is maintaining a single sun system database for the USAID and other donors account.	Create a separate database for USAID account	Balula	Marcin -IT analyst	High	01/31/09	
Financial Management	Cost share	TT has the option of using volunteer and community support as cost share factor that could be used in the future to leverage additional funding.	Ask NN to provide guidance. Explore eventual possibilities for calculating volunteer and community support as cost share.	Balula/ Penina	NN to advise	Low	06/30/09	
Organizational Management	Stakeholder Involvement	CdTT has yet to develop a plan and strategy to engage its CDCs in HIV/AIDS prevention.	Consult with CDCs to develop plans (and trainings) to engage CDCs in HIV/AIDS interventions in coordination with local HIV/AIDS committees	Teresia	NN to provide support	High	03/31/09	
Organizational Management	New Opportunity Development	CdTT has yet to develop an in-country resource mobilization plan.	Ask JJ for information/training on strategies to mobilize funds. (This is part of NN year 2 workplan)	Penina/ CdInternational	NN to provide support	High	During yr 2009	
Program Management	Referral	At present, CdTT has no system in place to assist CDCs who may wish to refer OVCs and their families for professional support.	Map centers for professional support for OVCs who may need help beyond the competencies of teachers or CDCs. Explore opportunities to put in place a system for HIV or psycho-social referrals for OVCs	Claudia	NN to provide support	High	03/31/09	
Program Performance Management	M & E	The challenge for CdTT is fitting its current M&E into the framework of psycho-social support of OVCs.	Ask USAID, JJ and the NN network for information on M&E of OVC psycho-social support	Godfrey	NN to provide support	High	03/31/09	
Participants:	PM	Executive Director	NN:	CL				
	TM	Program Officer		BB				
	MB	Finance Manager		AB				
	CDTz:	GK	M&E Officer					
		CI	Manager, Young Women Empowerment	USAID:	SK			
		LK	Executive Assistant in Charge of HR & Admin	CDIntn'l:	LS	Director of Operations & Resources		

Annex 3: Staff Questionnaire Responses

Seven staff questionnaires were received from CDTT staff

#	Question	Response Summaries	
1	What do you think is the greatest strength of your organization?	<ul style="list-style-type: none"> • Our implementation of the vision and the mission • Our vision and mission statement • Building the capacity of young girls and vulnerable boys • Extreme investment in a girl child's education • Community involvement in project design and transparency with stakeholders • Organizational structure • Our wide coverage for its services in rural areas 	
2	Are you aware that Cdhas a vision statement (future aspiration)?	Y = 7 N = 0	
3	What is the key message of that statement?	7 = A world in which every child is educated, protected, respected and valued and grows up to turn the tide of poverty.	
4	Are you aware that Cdhas a mission statement?	Y = 7 N = 0	
5	What is the key message of the statement:	7 = Multiply girls access to education and accelerate the benefit to individuals, their families and communities.	
6	How do you use this message in your work?	<ul style="list-style-type: none"> • It guides me to implement my work, e.g. processing payment for girls' school fees • By educating girls and empowering young women • Through training workshops on girls' life skills and the eradication of poverty • By mobilizing communities' and influencing them to invest in girls' education • By monitoring, report writing, visits to schools. And by participating in AGMs for CDCs and Cama. 	
7	Organizational Management	Which of the following processes have you participated in either developing or reviewing?	
		workplan	Y = 0 N = 4
		Other work planning	Y = 5 N = 1
		Management and program policies and procedures	Y = 1 N = 3
		Best practices	Y = 4 N = 1
Strategic plan	Y = 5		
8	Are you familiar with the Administrative policies of your organization?	Y = 6 N = 1	
9	Name three administrative policies which guide your work:	Number able to list at least three reasonable policies = 6	
10	Do you have a current job description?	Y = 7 N = 0	
11	Do you have a copy of the organization's Personnel Manual?	Y = 7 N = 0	
12	Did you provide your signature as a condition for obtaining the Manual?	Y = 7 N = 0	
13	What do you most like about working here?	<ul style="list-style-type: none"> • Cd's Mission and Vision give me courage, hoping that one day poverty will come to an end. • The way in which Cdcares for the girl child, especially the marginalized ones. • The spirit of recognizing and appreciating each other • Community work especially among young girls and vulnerable boys • Witnessing changes in the lives through organization and self effort • Team work • The challenges of the work: the chance to learn and interact with different people. 	

Annex 4: Board Questionnaire Responses -

Questionnaires were not completed by CDboard members.

Annex 5: OCA Evaluation Comments

Six evaluation forms were received.

Did the OCA process allow a fair assessment of your organization?	Y	<ul style="list-style-type: none"> • It's a consultative process • Time and space to discuss and air views • An open process that leads to consensus • Time to agree on assessment
Do you feel the members of your organization were adequately included in the assessment process?	Y	<ul style="list-style-type: none"> • All the right people participated either through the questionnaires or the meetings • Each department had time to speak • Facilitators allowed discussion to take their full course • The financial assessment needed more time for the financial team to talk among themselves
Do you feel the agreed action plan will help your organization address issues and grow?	Y	
What do you think worked well in this process?	Y	<ul style="list-style-type: none"> • The group discussions were brought to a plenary • The openness and consensus seeking approach • Well organized timetable. • Small group discussions were planned to that everyone contributed based on his/her level of knowledge and experience within the organization • Opportunity to reflect on systems • Focus not on scoring but on the action plan.
What did you not like about the process?		<ul style="list-style-type: none"> • Sometimes it felt into an audit/fault finding assessment, especially on the finance side • The rigid assessment criteria
What would you change?		<ul style="list-style-type: none"> • The template of the assessment needs to be reviewed so that the score scales are progressive • Replace the assessment criteria with a more flexible scale
Other comments or suggestions		<ul style="list-style-type: none"> • I liked the overall approach and opportunity to challenge our existing systems to improve • Overall very positive as found the discussion encouraged us to view our systems from a different angle. Hopefully after implementing the agreed action plan, Cdwill not only comply with USAID, but will develop into an even stronger organization overall. • Allows people knee deep in implementation to step back, reflect and refocus