THE REPUBLIC OF UGANDA

BASELINE CAPACITY ASSESSMENT FOR OVC GRANTEE CSOs

An assessment to determine programmatic, OD and ID capacity strengths and gaps of OVC grantee CSOs in expanding availability and quality of OVC services

MINISTRY OF GENDER, LABOUR AND SOCIAL DEVELOPMENT

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Abbreviations and Acronyms

AAA	Alliance for African Assistance
AB/Y	Abstinence and Behavioral change for Youths
AGM	Annual General Meeting
AIM	AIDS/HIV Integrated Model district program
AMICAALL	Alliance of Mayors and Municipal Leaders on HIV/AIDS in Africa
ANPPCAN	African Network for Prevention and Protection Against Child Abuse and Neglect
BEC	Branch Executive Committee
CARE	Cooperative for Assistance and Relief
CBOs	Community Based Organizations
CORE	Communities Responding to the HIV/AIDS Epidemic
CPAs	Core Program Areas
CSOs	Civil Society Organizations
FBOs	Faith-Based Organizations
HIV/AIDS	Human Immunodeficiency virus/Acquired Immunodeficiency Syndrome
HRD	Human Resource Development
ICRW	International Center for Research on Women
ID	Institutional Development
IEC	Information, Education and Communication
IGAs	Income Generating Activities
IHAA	International HIV/AIDS Alliance
JHU/CCP	Johns Hopkins University, Center for Communications Programs
M &E	Monitoring and Evaluation
MGLSD	Ministry of Gender, Labor and Social Development
MoU	Memorandum of Understanding
NCC	National Council for Children
NEC	National Executive Committee
NGOs	Non-governmental Organizations
NOP	National Orphans and other Vulnerable Children Policy
NSPPI	National Strategic Program Plan of Interventions
OCAT	Organizational Capacity Assessment Tool
OD	Organization Development
OVCs	Orphans and other Vulnerable Children
PEPFAR	President's Emergency Plan for AIDS Relief
SCiU	Save the Children in Uganda
TASO	The AIDS Support Organization
TOT	Training of Trainers
TV	Television
UMSC	Uganda Muslim Supreme Council
UNICEF	United Nations Children's Fund
USAID	United States Agency for International Development
UWESO	Uganda Women's Effort to Save Orphans
VSO	Volunteer Services Overseas

Executive Summary

The capacity assessment exercise was planned and conducted by the Communities Responding to the HIV/AIDS Epidemic (CORE Initiative) Uganda. The CORE Initiative program is funded by USAID and aims at expanding targeted services for youth and providing critical services for Orphans and other Vulnerable Children (OVC) in Uganda.
The program is implemented by CARE International in Uganda, and its partners, the International HIV/AIDS Alliance, International Center for Research on Women (ICRW) and Johns Hopkins Bloomberg, Center for Communication Programs (JHU/CCP).
Program activities are implemented through civil society partners (NGOs, FBOs and CBOs) in an effort to strengthen public-private sector partnership and improve service delivery.

The International HIV/AIDS Alliance (IHAA) as a partner responsible for provision of capacity building support to MGLSD and partner CSOs led the capacity assessment exercise. The capacity assessment with 8 OVC CSOs was conducted by the Technical Advisor Capacity Building (CORE Initiative) with the support of a consultant between November 2005 and January 2006.
The CSOs assessed operate in a total of 28 districts and implement OVC activities in three technical intervention areas namely:

- Integration of HIV/AIDS prevention care and support services into one or more core program areas (CPAs) in underserved districts;
- Assisting MGLSD in strengthening Child Protection services;
- Strengthening the capacity of civil society organizations (national non- governmental organizations, faith based organizations, and community based organizations) to plan, provide, manage and sustain OVC services.

The assessment methodology involved conducting facilitated participatory workshops with individual OVC CSOs for a period of 1-2 days. The workshops were attended by representatives of Board, management and staff of the CSOs assessed. The workshops were guided by a “CSO Capacity Analysis Tool” developed by CORE Initiative (Uganda). The tool examined three broad capacity areas namely:

- Capacity for quality service delivery;
- Organizational capacity;
- Institutional capacity.

For each specific capacity area assessed, participants individually scored performance of their organization on a scale of 1-4. Participants in groups generated group scores and stipulated the basis for scoring. Based on group scores and qualitative discussions, key capacity strengths and gaps/needs for individual CSOs were identified and prioritized.

A summary of the key findings from the capacity assessment with OVC CSOs is presented below:

Capacity for quality service delivery	*Socio-economic security* • Limited skills in micro-enterprise development; • Limited financial resources to institute IGAs for OVCs and their households; • Limited follow-up on OVCs who complete artisan training Psychosocial support • Limited skills in psychosocial support (life skills, child communication & counseling, play therapy, will-making, memory books preparation and integrating HIV prevention in psychosocial support. Child participation • Limited skills & tools in enhancing child participation; • Lack of mechanisms for accountability to OVCs, their households and communities; • Community beliefs and attitudes hinder child participation Child protection • Lack of skills to enhance social support & protection for OVCs • Project staff, communities and caregivers are not sensitized on child laws, child rights and the need to protect OVCs
Organizational capacity	Gender analysis & planning • Lack of skills in gender analysis and planning • Lack of gender policy & resource materials • Gender not mainstreamed into policies, activities/programs and approaches Monitoring & evaluation • Limited M& E skills for project staff • Lack of a comprehensive M&E system (data collection, analysis and retrieval) • Limited documentation & sharing of lessons and best practices Personnel management • Limited skills in Human Resource Management • Unclear staff roles & responsibilities • Lack of policies—volunteer management; staff training/development; HIV/AIDS at workplace, staff recruitment & appraisal
	Resource mobilization • Lack of skills in and plans for resource mobilization • Over-dependence on external funding (donors) Community mobilization, participation & involvement • Limited community mobilization skills • Lack of community mobilization strategy • Minimal participation of communities/target group in decision-making and setting direction of CSOs (accountability) Networking, linkages and collaboration • Limited skills in, and lack of strategy for, networking and collaboration • Limited networking, collaboration and information sharing (minimal linkages with corporate sector)

	Advocacy and communication • Lack of skills in and strategy for advocacy and communication • Lack of IEC materials and those available are not pre-tested before use • Advocacy and communication activities are not well defined, not linked to NOP/NSPPI and not based on research & audience analysis
	Grant making to CSOs/CBOs • Lack of skills in grant making/management • Sub-granting mechanism is not documented and formalized • MOUs with sub-grantees are not finalized • Poor financial accountability by sub-grantees leading to late disbursements

Based on priority capacity gaps/needs identified, individual OVC CSOs developed individual capacity building action-plans which were consolidated into an overall/composite capacity building action-plan for the 8 OVC CSOs assessed. CORE Initiative has developed a Capacity Building Strategy and Plan for CSOs (2006-2008) based on the key outcomes of the capacity assessment. The Capacity Building Strategy and Plan has formed a basis for provision of technical/programmatic, OD and ID support to OVC CSOs.

1. Introduction and Background

The Community Responses to HIV/AIDS (CORE Initiative, Uganda) is funded by the United States Government under the President's Emergency Plan for AIDS Relief (PEPFAR) through the United States Agency for International Development (USAID). The CORE Initiative aims at supporting an inspired, effective and inclusive response to the causes and consequences of HIV/AIDS by strengthening the capacity of community and faith-based organizations to implement multi-sectoral responses including prevention, stigma reduction, care and support.

In this effort, CORE Initiative, supports the MGLSD and its mandate to lead the national response to the plight of HIV Orphans and other Vulnerable Children (OVC) and to curb HIV incidence among Uganda's youth through an extensive and substantial partnership with Civil Society Organizations (CSOs). The CORE Initiative is implemented by a consortium of partner organizations namely CARE Uganda, International HIV/AIDS Alliance (IHAA), the International Center for Research on Women (ICRW) and Johns Hopkins University's Center for Communications Programs (JHU/CCP).
The CORE Initiative utilizes a phased, comprehensive and coordinated approach to providing key government and civil society partners with technical assistance, capacity building, funding and coordination support.

1.1 Program Scope

The program has three result areas namely:

1) MGLSD's capacity to effectively lead, manage, coordinate, monitor and evaluate national response to OVC and HIV prevention among youth is strengthened:

i) Capacity needs of MGLSD assessed and ways identified in which priority capacity needs can be best addressed;
ii) CORE Initiative coordinates provision of technical and material support to the MGLSD to increase its effectiveness and strengthen its leadership role based on the identified and prioritized capacity needs;

iii) MGLSD and CORE Initiative jointly agree on guidelines and specific methodologies for assessing and monitoring progress of the program.

2) Expanded availability and quality of OVC services through strengthened Public Private Sector Partnerships

i) MGLSD and CORE Initiative provide grants to CSOs implementing OVC activities addressing priority CPAs in underserved areas;
ii) Priority capacity strengths and needs of CSOs implementing OVC activities are identified in participatory capacity assessments and capacity building action-plans developed;
iii) Based on capacity building action-plans developed, technical/programmatic, organizational and institutional development support is provided to CSOs implementing OVC activities;
iii) MGLSD and CORE Initiative monitor program implementation and provision of capacity building support to ensure improved quality of OVC services.

3) Expanded availability and quality of AB/Y programming through strengthened Public Private Sector Partnerships

i) MGLSD and CORE Initiative provide grants to CSOs implementing activities that address abstinence, faithfulness and behavior change among youth;
ii) Priority capacity strengths and needs of CSOs implementing AB/Y activities are identified in participatory capacity assessments and capacity building action-plans developed;
iii) Based on capacity building action-plans developed, technical/programmatic, organizational and institutional development support is provided to CSOs implementing AB/Y activities;
iv) MGLSD and CORE Initiative monitor program implementation and provision of capacity building support to ensure improved quality of AB/Y services.

1.2 Program implementation

The major agencies responsible for overseeing and participating in implementation of the CORE Initiative Program (Uganda) include MGLSD, USAID-Uganda and CORE Initiative Uganda. Their specific roles are as indicated below:

i) MGLSD is the lead agency for the implementation of the project. Responsibilities related to the implementation of the CORE Initiative Uganda program include:

a) Provision of overall program oversight and strategic leadership;
b) Provision of policy guidelines;
c) Coordination and facilitation of program activities at national and district levels;
d) Resource mobilization;
e) Overseeing and guiding the granting process to CSOs.

ii) USAID Uganda is responsible for funding the implementation of the CORE Initiative program (Uganda), provision of technical guidance and membership to the CORE Initiative (Uganda) Grants Steering Committee.

iii) CORE Initiative Uganda is responsible for the overall planning, implementation, monitoring and evaluation of the project in collaboration with MGLSD and USAID.

2. The Capacity Assessment with OVC CSOs

2.1 Objectives of capacity assessment

- To identify capacity strengths and gaps/needs of OVC CSOs;
- To generate baseline information/data to guide support supervision, monitoring and evaluation;
- To initiate the process of capacity building through an understanding of capacity building gaps/needs;
- To generate commitment towards addressing identified gaps/needs;
- To draw capacity building action-plans to guide capacity building interventions with CSOs.

2.2 Rationale and approach

The capacity assessment approach is based on facilitating a self-critical reflection on issues and questions affecting organizations at various levels. The methodology works with CSOs utilizing participatory tools to examine existing strengths and gaps across a range of capacity areas and identifying priority areas to be strengthened. The process of capacity assessment enables organizations to establish where they are, draw lessons and strategize to do things differently for change and improvement. Commitment to addressing emerging capacity gaps which is essential for ownership is generated through a broad participation of policy makers, management and staff of CSOs assessed. Ownership is also ensured through an assessment process that emphasizes self-identification and prioritization of capacity strengths and gaps/needs without external influences and impositions.

Facilitated capacity assessment workshops were conducted with individual grantee CSOs for a period of 1-2 days each. The capacity assessment workshops were attended by representatives of the Board, management and staff up to a maximum of 15 participants.

2.3 A brief profile of CSOs assessed

Capacity assessments were conducted between November, 2005 and January, 2006 with 8 grantee CSOs implementing OVC activities.
Six of the CSOs assessed were NGOs and two were FBOs (Refer to the table below for details of CSOs assessed).

OVC Grantee CSOs assessed

CSO	*Organizational mission and activities*
1. Alliance of Mayors and Municipal Leaders on HIV/AIDS in Africa (AMICAALL)	A network of local governments, mayors and municipal leaders committed to supporting sustainable solutions to the HIV/AIDS epidemic at local levels.
2. Grassland Foundation	To provide affordable community-based healthcare, HIV/AIDS prevention, malaria control, water and sanitation, sustainable agriculture & food security, reproductive health and general community development at grassroots levels.
3. Uganda Women's Effort to Save Orphans (UWESO)	To improve the quality of life of the needy orphans by empowering the local communities to meet the social, moral and economic needs of these children in a sustainable manner.
4. National Council for Children (NCC)	To provide a structure and mechanism to ensure coordination, monitoring and evaluation of all policies and programs related to children in Uganda.

CSO	*Organizational mission and activities*
5. African Network for Prevention and Protection against Child Abuse and Neglect (ANPPCAN)	Prevention of and protection against child abuse and neglect, through strengthening of the organisation and implementation of activities in the areas of research, advocacy and service delivery, working with children and communities for sustained impact.
6. Alliance for African Assistance (AAA)	To promote social development, education, protection of human rights, access to humanitarian assistance and healthy living through community participation, advocacy, training, research and effective resource management.
7. Uganda Muslim Supreme Council (UMSC)	To promote Islam and spiritual, moral and material welfare of Muslims in Uganda.
8. Save the Children in Uganda (SCiU)	To improve the lives and situation of children by promoting the realization of their rights to survival, protection, development and participation.

The CSOs assessed implemented OVC activities in a total of 28 districts targeting an estimated number of 25,945 OVCs, 4,500 men and women.
The CSOs assessed implement OVC activities in the three technical intervention areas namely:

- Integration of HIV/AIDS prevention care and support services into one or more core program areas (CPAs) in underserved districts;
- Assisting MGLSD in strengthening Child Protection services;
- Strengthening the capacity of civil society organizations (national non- governmental organizations, faith based organizations, and community based organizations) to plan, provide, manage and sustain OVC services.

Key strategies of OVC CSOs assessed included training, service delivery, provision of psychosocial support and rights based approaches to child protection.

2.4 The Capacity Assessment tool

The capacity assessment exercise utilized the "CSO Capacity Analysis Tool" developed by the International HIV/AIDS Alliance with minor modifications. A total of 17 capacity areas were assessed as outlined below:

a) Capacity for quality service delivery--Existence of appropriate knowledge, skills, competencies and systems/mechanisms for meeting the needs and aspirations of clients/beneficiaries

1.Psychosocial support;
2.Child participation;
3.Child protection;
4.Social economic security

b) Organizational capacity--Existence of systems, strategy and culture in organizations for effective and sustainable organizational functioning and performance.

5.Monitoring and evaluation;
6.OVC program/project management;
7.Governance and structure;
8.Personnel management;

9.Financial management;
10.Gender analysis and planning;
11.Leadership;
12.Resource mobilization;
13.Community mobilization, participation and involvement.

c) Institutional capacity--Ability of organizations to effectively establish, sustain linkages/partnerships with other development actors and respond appropriately to their operating environment.

14.Advocacy and communication;
15.OVC policy work;
16.Networking, linkages and collaboration;
17.Grant making to CSOs/CBOs.

The capacity assessment tool reflects a holistic approach to capacity assessment in which technical/programmatic, organizational and institutional development issues and questions are examined within CSOs. This is critical since organizations are complex with different components that interact. Capacity assessment and capacity building should be much more than "tying nuts and bolts" at the levels of skills, resources, structure and systems only. For effective capacity development, an organization needs to address all the different components and consciously manage their interaction.

2.4.1 Scoring indicators

For each capacity area to be assessed, participants individually scored their organization on a scale of 1-4. Keeping individual scores anonymous, participants in groups discussed and decided together what the group score would be for each capacity area. Reasons/criteria for scoring were discussed in groups to enable reaching consensus.

Qualitative discussions were also held to back up individual and group scores. Based on capacity gaps/needs identified, capacity building action plans were drawn stipulating 1) the gaps/needs identified 2) action needed to address the identified gap/need 3) time-frame 4) responsibility 5) resources required. (Refer to attachment 1 for the consolidated action-plans for the 8 CSOs assessed.

Guidance to scoring of indicators (Adopted from OCAT with minor modifications)

Rating Scale	*Description*
0	Don't know or is not applicable
1	Needs urgent attention
2	Needs improvement in limited aspects
3	Good, but requires some support
4	Acceptable, needs maintaining

2.5 Limitations and challenges in the capacity assessment

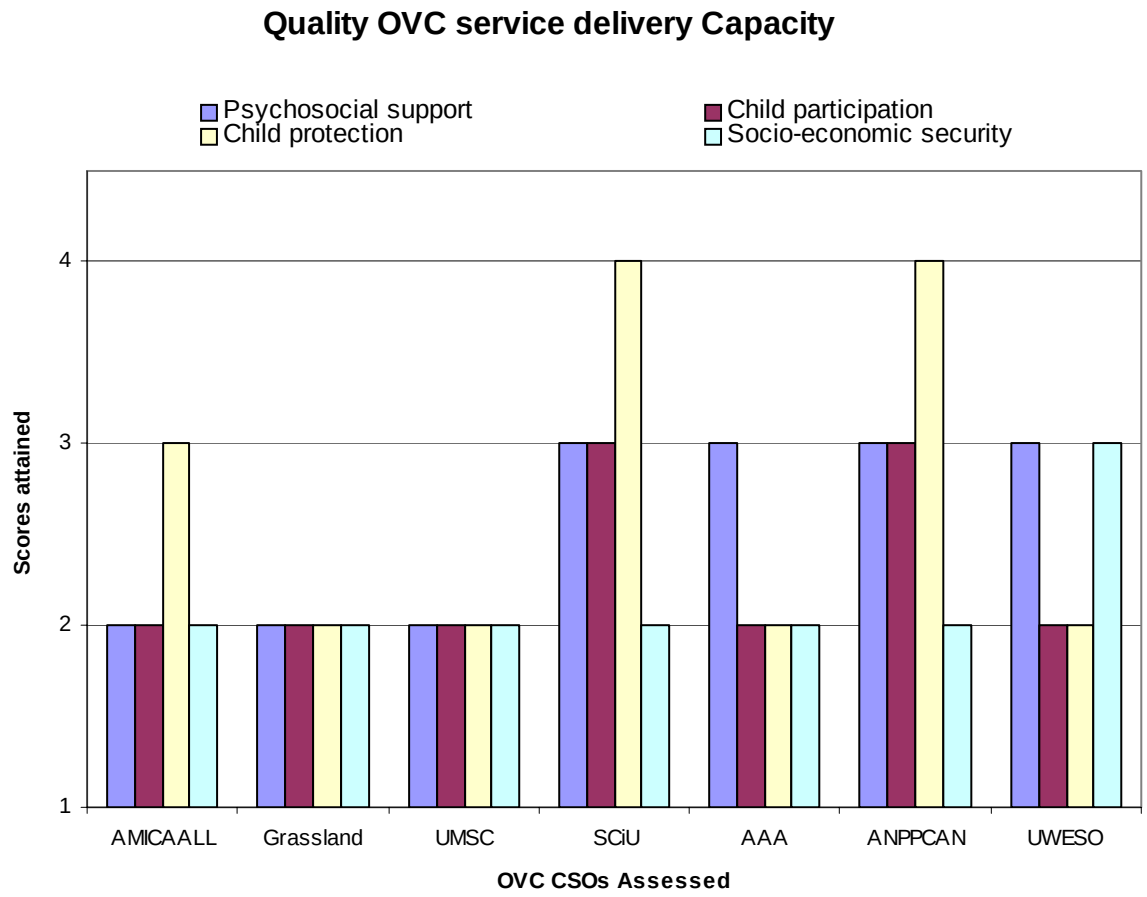
The capacity assessment exercise was essentially a facilitated "self-assessment" in which organizations rated themselves in various capacity areas. Although participants were encouraged to be open and objective, there was inherent bias and a tendency to score highly. The capacity assessment tool was limited and could not accommodate all the issues and questions that the organizations assessed were confronted with. Qualitative discussions filled in the gaps. The time allocated (1-2 days) was not adequate given the multiple areas to be assessed and the need to ensure full participation. It was difficult to schedule the capacity assessments and ensure full participation of board members, management and staff due to busy schedules.

The capacity gaps/needs identified were diverse posing challenges in building capacity in the short and long term. There was an expectation that CORE Initiative would address all the prioritized capacity gaps/needs in the first year of project implementation, which may not be feasible. Given the fact that the report is for all the 8 CSOs assessed, some fine details for each CSO assessed have been left out.

3. Assessment Findings

3.1 Quality OVC Service Delivery Capacity

Graphical presentation



Tabular analysis

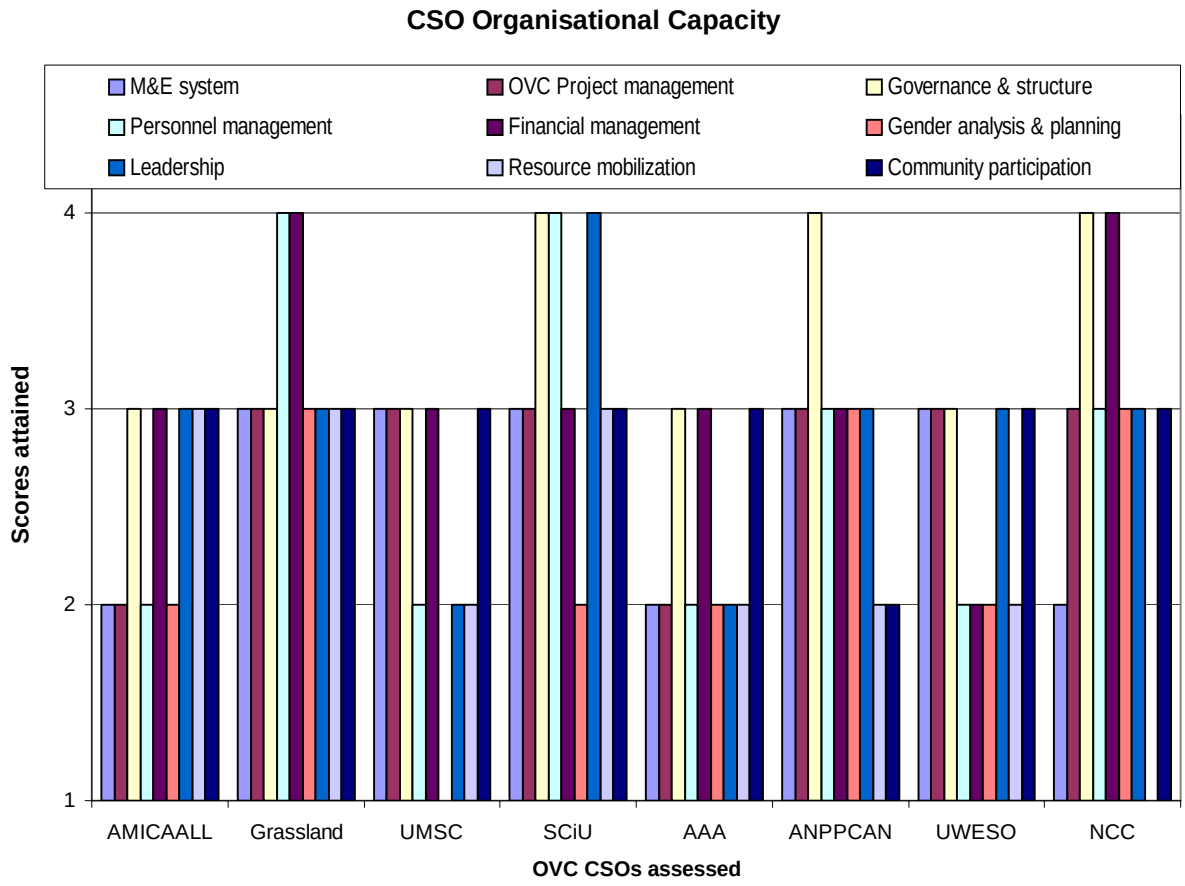
Capacity Area	Rating scale and reasons			
	Needs major improvement (score 1)	*Needs improvement in limited aspects (score 2)*	*Good, but requires some support (score 3)*	*Acceptable, needs maintaining (score 4)*
1. Psychosocial support *(excludes NCC)*		• Psychosocial support skills are lacking among staff (AMICAALL); • The strategic plan does not adequately reflect psychosocial support (Grassland Foundation); • Basic training was offered in psychosocial support but it was not comprehensive (UMSC).	• The organization has been in the field of psychosocial support for a long time (SCiU); • Basic training in psychosocial support was conducted but staff lack experience and practice (AAA); • Key staff have accessed training in psychosocial support (ANPPCAN); • Basic training in psychosocial support was conducted for staff in 7 out of 13 branches (UWESO).	
2. Child participation *(excludes NCC)*		• OVCs are not fully involved in project activities due to cultural beliefs &attitudes (AMICAAL); • Staff need more skills in child protection due to the current transition situation (UWESO); • Staff need updates on new child laws (Grassland Foundation) • Child participation has not been well internalized in the organization (UMSC); • Child participation is not a key area of focus—staff received basic training in child participation (AAA).	• The staff have expertise in child participation and it is a priority area for the organization (ANPPCAN).	• The organization subscribes to child participation at all levels (SCiU).

Tabular analysis (continued)

Capacity Area	Rating scale and reasons			
3. Child protection *(excludes NCC & Grassland Foundation)*		• IEC materials on child protection are available but staff do not have adequate skills in child protection (UMSC); • Staff need knowledge and skills in areas such as legal implications of will making and the Children Statute; • There are no children's rights clubs in the organization (AAA).	• Structures and service providers for child protection are available (AMICAALL)	• Child protection is a key activity area (SCiU); • Child protection is the reason for our existence (ANPPCAN).
4. Social economic security *(excludes NCC & SCiU)*		• Staff lack skills in micro-enterprise development (AMICAALL & UMSC); • Socio-economic security is not a major area of focus (AAA &UMSC); • Socio-economic security for OVCs is not well reflected in the strategic plan though there are few activities (Grassland Foundation); • The organization has IGAs to cater for the economic needs of OVCs and their households (ANPPCAN).	• Staff have enough skills and are consultants in micro-enterprise development (UWESO).	

3.2 Organizational capacity

Graphical presentation



Tabular analysis

Capacity Area	Rating scale and reasons			
	Needs major improvement(score 1)	*Needs improvement in limited aspects (score 2)*	*Good, but requires some support (score 3)*	*Acceptable, needs maintaining (score 4)*
1. Monitoring & Evaluation		• Limited financial resources make carrying out regular monitoring and reporting difficult (NCC); • The M&E plan is being developed (AMICAALL); • A strong and comprehensive M& E system is lacking (AAA).	• The M&E policy & plan is in place but is yet to be tested and adopted for use (SCiU); • The monitoring system is in place but it needs to be reviewed (UMSC); • Some staff have skills in log-frame analysis and development of indicators (ANPPCAN); • The M&E system is not yet operational (Grassland Foundation); • There is inadequate participation of stakeholders in designing and utilization of M &E tools (UWESO).	
2.OVC Program/ Project Management		• The organization has not been able to review work-plans and budgets periodically based on emerging needs due to donor conditions (AMICAALL); • The majority of staff lack skills and experience in project management (AAA).	• The project committee is in place & project staff are knowledgeable on the project cycle (SCiU); • Staff have skills in project management (NCC); • Key staff have skills and experience in project management (UWESO); • Needs assessment was not carried out particularly for the current project. UMSC utilized information from the affiliate Moslem CBOs in areas of operation (UMSC); • The majority of key staff have expertise in project management (ANPPCAN); • During program development, all relevant stakeholders are involved for ownership and relevance (Grassland Foundation).	

Tabular analysis (continued)

Capacity Area	Rating scale and reasons			
	Needs major improvement (score 1)	*Needs improvement in limited aspects (score 2)*	*Good, but requires some support (score 3)*	*Acceptable, needs maintaining (score 4)*
3. Governance and structure			• There is a well constituted Board and an organizational structure (Grassland Foundation); • There is limited information sharing within the organization (UWESO); • The constitution does not fully address the current organizational needs and interventions (AAA); • There are clearly defined roles and responsibilities s between the management and policy makers (AMICAALL); • UMSC has an organizational structure with clearly defined roles and responsibilities.	• An organizational structure & Board are in place (SCiU); • NCC was established by an Act of Parliament (NCC); • The organization is registered, has an organizational structure with clearly defined management & Board roles (ANPPCAN).
4. Personnel management		• Personnel management policies are not fully developed and do not reflect clearly roles and responsibilities of staff (AAA); • The Human Resource Development (HRD) policy is lacking (AMICAALL); • There is no staff training policy and the volunteer management policy is in draft form (UWESO); • There are no documented policies and procedures on reviewing and managing performance of staff.	• The HIV/AIDS at workplace policy is being developed (NCC); • The training policy is broad and does not specify particular trainings for staff (ANPPCAN).	• The Human Resource policy is in place (SCiU); • The Human Resource Manual is in place and is reviewed annually (Grassland Foundation).

Tabular analysis (continued)

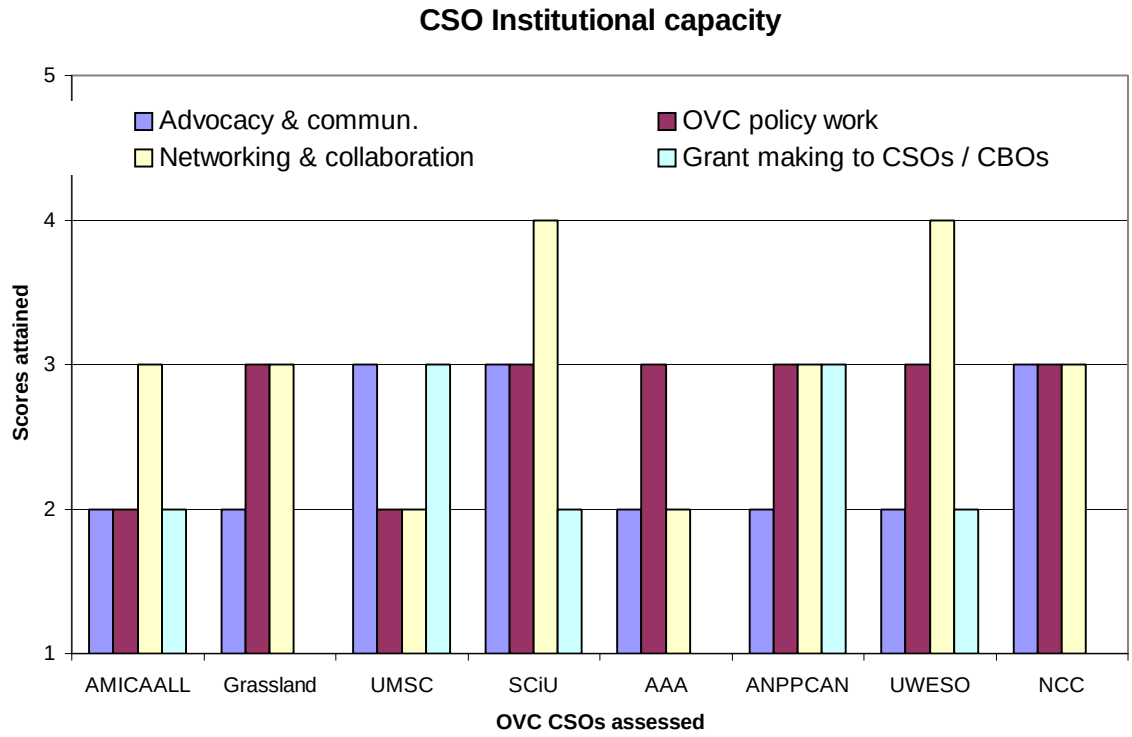
Capacity Area	Rating scale and reasons			
5. Gender analysis & planning	• Women have not been sufficiently involved in activities and governance of the organization due to religious beliefs (UMSC).	• There is no gender policy in place (SCiU & UWESO); • Staff have inadequate skills in gender (AMICAALL); • Only two project staff have had training in gender.	• NCC follows the government gender policy. Support is required to mainstream the policy in NCC work & activities (NCC); • Gender is reflected in the organizational mission (Grassland Foundation); • A gender policy is being developed and staff have been sensitized on gender (ANPPCAN).	
	Needs major improvement (score 1)	*Needs improvement in limited aspects (score 2)*	*Good, but requires some support (score 3)*	*Acceptable, needs maintaining (score 4)*
6. Financial management		• There are no clear guidelines on purchase of goods and services (UWESO).	• The staff are knowledgeable in accounting principles and financial policies (SCiU); • Financial management systems are in place and there is a financial advisor on part time basis (AMICAALL); • UMSC has competent staff who follow accounting systems and procedures (UMSC); • There is need to improve on external auditing (AAA); • Financial systems are clear and followed but district groups are not well equipped with financial management guidelines (ANPPCAN).	• There is a financial manual that stipulates all financial management policies and procedures (Grassland Foundation); • Financial management policies and procedures are in place and function effectively (NCC).
7. Leadership		• Top management needs refresher courses to enable them change their leadership styles (UMSC); • Bureaucracy leads to delay in decision making and implementation of project activities (AAA).	• Inadequate logistical support hinders council members from carrying out their roles effectively (NCC); • Top management has good leadership skills and experience (AMICAALL); • There is an open system in decision making—there is need to be more accountable to beneficiaries as well (UWESO); • There is a professional Board and a Human Resource Manager (Grassland Foundation); • The leadership in the organization encourages participation, openness, team work and consultation (ANPPCAN).	• The leadership of the organization provides strategic thinking and direction (SCiU).

Tabular analysis (continued)

Capacity Area	Rating scale and reasons			
8. Resource mobilization	• Fundraising efforts have not yielded adequate resources (NCC).	• There is no resource mobilization plan & strategy (UWESO); • Board members are not actively involved in resource mobilization (UMSC); • The organization relies on project proposal writing to raise funds (AAA).	• A specific staff position is being created in SCiU to handle resource mobilization (SCiU); • Board members participate in resource mobilization but there is no resource mobilization strategy (AMICAALL); • There is a finance committee responsible for resource mobilization (Grassland Foundation); • There is a resource mobilization strategy in place though not well documented (ANPPCAN).	
9. Community mobilization, participation and involvement		• There is need for making more consultations and obtaining feedback from communities (ANPPCAN).	• A partnership approach is utilized. However, there is no community mobilization strategy in place (SCiU); • There is need for outreach linkages-- NCC accesses communities through the department of Children and Community Development (NCC); • The target group is involved in implementing project activities and decision making (AMICAALL); • Community participation in decision making is minimal (UWESO); • Community mobilization is reflected in the strategic plan (Grassland Foundation); • The community mobilization strategy and plan is not documented. Community mobilization structures exist (mosques, sheikhs & imams) (UMSC); • Rigid cultural practices hinder community mobilization (AAA).	

3.3 Institutional capacity

Graphical presentation



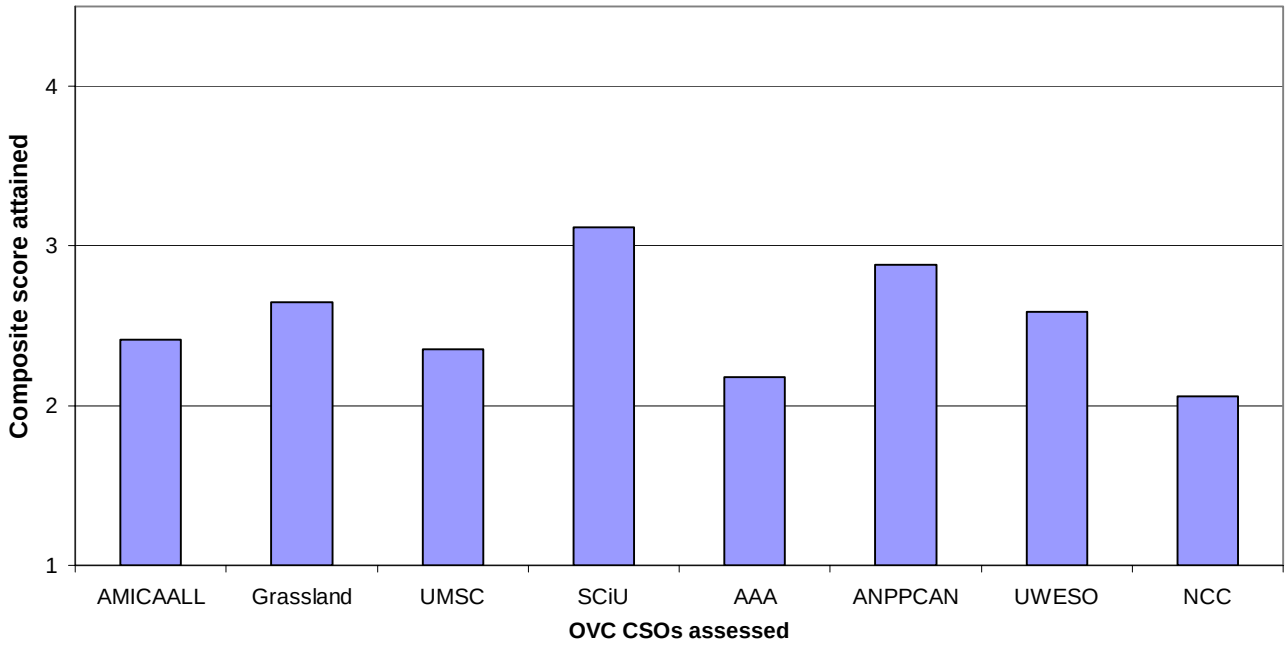
Tabular analysis

Capacity Area	Rating scale and reasons			
	Needs major improvement (score 1)	*Needs improvement in limited aspects (score 2)*	*Good, but requires some support (score 3)*	*Acceptable, needs maintaining (score 4)*
1. Advocacy and communication		• An advocacy and communication strategy is lacking (AMICAALL); • The advocacy strategy is in draft form—there is an effort to follow the NOP and NSPPI (UWESO); • There is no direct focus on advocacy and communication (Grassland Foundation); • Two staff have been trained in advocacy (AAA); • The advocacy strategy being developed (ANPPCAN).	• An advocacy policy and framework is in place (SCiU); • There is a communication strategy but it is not directly linked to the NSPPI (NCC); • There is no advocacy and communication strategy in place (UMSC).	

Tabular analysis (continued)

Capacity Area	Rating scale and reasons			
2. OVC Policy work		• The NOP and NSPPI has been used to guide project activities (AMICAALLL).	• SCiU is a member of the National OVC Policy Formulation & Review Committee (SCiU); • NCC needs to be facilitated to disseminate and implement the NOP and NSPPI (NCC); • UWESO contributed to the development and pre-testing of the OVC manual in collaboration with MGLSD and AIM (UWESO); • Grassland Foundation disseminates the NOP and NSSPI at district and community levels (Grassland Foundation); • Involved in OVC policy dissemination at district & community levels (ANPPCAN); • The OVC project is guided by the NOP and NSPPI despite some challenges (AAA).	
3. Networking, linkages and collaboration		• Key project staff lack skills in networking, collaboration and creating linkages (AAA & UMSC);	• NCC requires support in information sharing and conducting exchange visits (NCC); • The organization networks with a number of NGOs and is a member of various NGO networks (Grassland Foundation); • The organization has networking and collaboration links with other NGOs and engages regularly in a forum for sharing lessons and experience (ANPPCAN); • The organization has a good working relationship with other NGOs, government, private sector and the media (AMICAALL).	• A partnership policy is being developed (SCiU); • There is networking at various levels—it is however limited and poorly documented (UWESO).
4. Grant making to CSOs/CBOs *(excludes Grassland Foundation, NCC & AAA)*		• The MoUs for sub-granting are not yet finalized (AMICAALL); • There is poor disbursement of funds due to late accountability by sub-grantees (SCiU); • Due to the transitional process at UWESO, the capacity of sub-grantees needs to be strengthened (UWESO).	• MoUs for sub-granting are in place (UMSC); • There are documented sub-grantee selection procedures which are systematically followed.	

Overall Quality service delivery, OD and ID capacity for OVC CSOs assessed



4. Conclusions and Recommendations

4.1 Capacity strengths

The capacity assessment process for the 8 OVC CSOs identified a number of areas in programmatic/technical, OD and ID in which CSOs exhibited strength as indicated in the table below:

Capacity area	*Specific areas of strength*
Capacity for quality service delivery	o Psychosocial support o Child protection
Organizational Capacity	o Monitoring & Evaluation o Program/Project management o Governance and structure o Financial management o Community mobilization, participation & involvement o Leadership
Institutional Capacity	o Advocacy and communication o OVC policy work o Networking and collaboration

Mechanisms should be worked out in which strong organizations could support weaker ones in the areas identified above. This support could be through exchange visits, placement/internship and strong organizations being contracted to facilitate training sessions and other capacity building support for weaker CSOs.

4.2 Capacity gaps/needs

Capacity gaps/needs identified, possible actions to be taken, responsibility, time frame and resources required for each CSO assessed have been compiled in the Capacity Building Action Plan (Refer to attachment 1). A broad range of capacity gaps/needs (both general and unique) have been identified. A capacity building action plan has been developed stipulating key priorities to be addressed, interventions to be undertaken, time frame and responsibility.
Specific recommendations regarding capacity areas to be strengthened are outlined below as per capacity area assessed:

4.2.1 Capacity for OVC service delivery

A number of areas that require capacity strengthening were identified. The majority required training interventions to build skills of staff. Training can be conducted for groups of CSOs for cross-cutting themes and where unique needs exist, individual CSOs can be targeted as well. Areas that require skills development were identified as follows:

Psychosocial support

Only a few CSOs assessed had obtained basic training in psychosocial support. In the few organizations that were trained, very few staff were trained. There is need to conduct basic training in psychosocial support for other project staff and a more comprehensive course for the staff who acquired basic training. Priority areas of training were identified as child communication & counseling and life skills for OVCs.

Child participation

It was noted that involving OVCs in planning, implementation and decision making was difficult due to cultural beliefs and attitudes that view children as recipients of decisions made by adults. There is need to train project staff in practical skills and tools for enhancing child participation.

Child protection

Staff of the CSOs assessed lacked knowledge and skills in enhancing social support and protection for OVCs. Communities are not well sensitized on child rights and protection and literature on child protection is difficult to find. There is need to conduct training for project staff in child protection, sensitize communities on child rights and protection and avail resource materials to CSOs on child protection.

Socio-economic security

The majority of CSOs assessed were not involved in socio-economic activities for OVCs. A few had income generating activities (IGAs) for OVCs and conducted apprenticeship training for OVCs. The major need expressed is training project staff in micro-enterprise development.

4.2.2 Organizational Capacity

Monitoring & Evaluation

The key gaps/needs identified were 1) limited M &E skills for project staff 2) lack of a comprehensive M&E system. There is need to conduct training in M&E for project staff and provide support in establishing a comprehensive M&E system that involves data collection, analysis, storage and retrieval. Another key areas of support identified is documenting and sharing best practices with relevant stakeholders.

Program/Project Management

There is need for skills development in project planning and management skills for project staff. Specific areas of support were identified as 1) conducting baseline surveys 2) project design (participatory methodologies in planning for child-related programs).

Personnel management

There is need to build skills in Human Resource Development and provide management/OD support in 1) reviewing job descriptions to clarify staff roles and responsibilities 2) developing the overall Human Resource Development Policy that includes volunteer management, HIV/AIDS at workplace, staff training/development, recruitment and performance appraisal.

Gender analysis & planning

There is need to seek the services of a gender specialist to support CSOs in 1) skills development in gender analysis and planning 2) developing gender policies 3) soliciting resource materials on gender 4) mainstreaming gender into policies, activities/programs and approaches.

Financial management

The CSOs assessed exhibited good performance in financial management. The only support required is in developing procurement guidelines and equipping district groups with financial management skills.

Leadership

There is need to develop leadership skills among CSO top leadership that to create a leadership style that 1) promotes collective responsibility and teamwork 2) is accountable to the target group 3) motivates staff 4) takes quick decisions (without delaying implementation of project activities).

Resource mobilization

The CSOs assesed heavily depended on external funding and were financially vulnerable with limited financial resources. There was an urgent need to raise more resources and ensure that the activities of the CSOs are sustainable. Areas were support was required was in 1) skills development in resurce mobilization 2) developing a resource mobilization strategy and plan
3) diversifying funding sources including establishment of IGAs and local resource mobilization.

Community mobilization, participation & involvement

The general view was that there is minimal participation of communities and the target group in decision-making and determining the direction of CSOs. CSOs are under pressure to account to the “powerful stakeholders”. This is a huge contradiction given that CSOs are essentially “people’s organizations”. There is therefore an urgent need to enhance accountability to communities through consultation, obtaining feedback and participation at all levels. The key area of support was in developing a community mobilization strategy that enhances accountability to the target group.

4.2.3 Institutional Capacity

Advocacy and communication

CSOs assessed were involved in advocacy and communication activities but without advocacy and communication as a key area of focus. There was no advocacy and communication strategy in the majority of cases except for a few organizations who had draft policies. Advocacy and communication activities were 1) not clearly defined 2) not well reflected in the strategic plans 2) not well linked to the NOP and NSPPI 4) reactive and not based on research and audience analysis. Advocacy and communication skills were limited among project staff. There was lack of advocacy (IEC) materials especially at local levels and where they existed, they were not pre-tested before use.
Areas in advocacy and communication that require intervention and support are:

- Skills development in advocacy and communication;
- Developing advocacy and communication strategy with well defined approaches and activities;
- Linking the advocacy and communication strategy to the NOP and NSPPI;
- Developing and pre-testing advocacy (IEC) materials for grassroots communities that are appropriate to various audiences.

OVC policy work

The CSOs assessed were of the view that their activities with OVCs are guided by the NOP and NSPPI. In terms of OVC policy formulation and implementation, one organization was involved in the OVC policy formulation process through membership of the OVC Policy Formulation and Review Committee while another was involved in the development and pre-testing of the OVC manual. Other CSOs felt that their participation in the OVC policy formulation and review process was limited and would dialogue with MGLSD to ensure participation in future.

Key areas of support were identified in the dissemination of the NOP and NSPPI at local levels as:

- Facilitating CSOs to disseminate the NOP and NSPPI at local levels (beyond the district level);
- Translating the NOP and NSPPI into local languages;
- Availing (simpler) popular versions of the NOP and NSPPI.

Networking, linkages and collaboration

NGOs assessed have networking and collaboration links with other development actors and are members of various NGO networks. However, the majority of the NGOs were of the view that networking, collaboration and information/experience sharing was still limited. Linkages with the private (corporate) sector were minimal or non-existent. Networking and collaboration skills were lacking and linkages/partnerships with other organizations were not strategic and formalized.

Areas where support is required include:

- Skills development in networking and collaboration;
- Developing a networking and collaboration strategy;
- Creating fora for sharing information and experiences with other stakeholders;
- Organizing exchange visits with other NGOs and development partners.

Grant making to CSOs/CBOs

Five CSOs out of the eight assessed were involved in sub-granting to smaller implementation units mainly CBOs and branches. The CSOs assesed generally rated themselves quite low in managing the sub-granting process and identiffied areas of support as:

- Skills development in grant management;
- Documenting and formalizing the sub-granting and re-granting mechanism (criteria, guidelines etc);
- Strengthening the capacity of sub-grantees (making financial accountabilities, strengthening systems etc);
- Developing and finalizing Memoranda of Understanding (MoUs);
- Regular monitoring of sub-grantees.

Attachment I

CONSOLIDATED CAPACITY BUILDING ACTION-PLAN FOR OVC CSOs ASSESSED

CSO	Capacity Area	Capacity gaps/needs identified	Action to be taken	Time Frame	Responsibility	Resources required
1. Save the Children in Uganda (SCiU)	*Capacity for Quality OVC Service delivery*	Only few selected staff have demonstrated capacity in psychosocial support	Training more staff in psycho social support	April 2006	SCiU and external facilitators	Resources for training, follow up, reviews and learning meetings.
		Limited conceptual understanding and practical skills in enhancing child participation in all programmes	Training key programme staff in child participation	April 2006	SCiU and external facilitators	Resources for training, follow up, reviews and learning meetings.
		Limited child protection tools and frameworks, especially for children in emergency situations	Training, exposure and facilitating of learning for key programme staff in child protection skills and approaches	March-May 2006	SCiU	Own resources for training, follow-up, review and learning meetings.
	Organizational Capacity	Limited M&E skills for programme staff	Conduct training in basic M&E skills (log frame, developing measurable indicators etc)	March 2006	SCiU	Own resources for training, follow-up, review and learning meetings.
		Limited skills in OVC programming	Conduct training and on-going support in project management from an OVC perspective	February/March 2006	SciU and external facilitators	Resources for training, follow up, review and learning meetings.
		Limited financial management skills for non-finance programme staff	Conduct training in financial management (procedures for donor reporting, accounting requirements & and managing donor budgets)	February 2006	SciU	Internal resources for training and on-going mentoring and supervision.
		Gender is not effectively mainstreamed into child-focused programs	Conduct training in mainstreaming gender analysis & planning in child focused programs	May 2006	SCiU and external facilitators	Funds for organizing training program staff.
		Limited approaches & methodologies for community mobilisation and participation	Training, exposure and facilitation of learning for key program staff in community mobilization skills & approaches	On-going	SCiU	Internal resources and time for follow up support, reviews and learning meetings.

CSO	Capacity Area	Capacity gaps/needs identified	Action to be taken	Time Frame	Responsibility	Resources required
2. ANPPCAN (Uganda Chapter)	*Capacity for Quality OVC Service delivery*	Inadequate systematic documentation of lessons learnt & best practices in psychosocial support, child protection & child participation	-Equip program staff with knowledge and skills in documenting lessons learnt and best practices; -Assign a specific staff to be accountable for documentation of lessons learnt and best practices	April 2006	ANPPCAN with external facilitators	Professional fees; Stationery; Room & board; Transport; 1 staff person
		Inadequate specialized skills in child communication and counseling	Conduct training in child communication and counseling	June 2006	ANPPCAN with external facilitators	Professional fees; Stationery; Room & board; Transport
		Limited knowledge and skills in enhancing social support and protection for OVC	-Organize in-house sharing events with staff & actors from other NGOs (basic intervention to rescue children in harmful situations, resettlement & re-integration, access to basic needs & follow-up etc); -Conduct exchange visits	July 2006	ANPPCAN	Internal resource person; Transport; Meals & refreshments; Upkeep
		Inadequate accountability to OVC (giving them a total picture of the program)	Develop appropriate strategies for ensuring accountability to OVCs	July 2006	ANPPCAN	
		Inadequate knowledge and skills in economic empowerment of OVC and OVC households	Equip staff with economic empowerment strategies for OVC and OVC households	August 2006	ANPPCAN and external facilitators	Professional fees; Room & board; Incidentals; Stationery; Transport.
	Organizational Capacity	-Lack of comprehensive and coordinated data management; -Limited skills in M & E (data management)	-Create a centralized database; -Train program staff in M& E and computer skills (Access)	June–August 2006	ANPPCAN and external facilitators	1 computer; Professional fees; Training fees; Transport; Stationery; Room & board

CSO	Capacity Area	Capacity gaps/needs identified	Action to be taken	Time Frame	Responsibility	Resources required
		Limited knowledge and skills in project design	Train key program staff in project design	June 2006	ANPPCAN and external facilitators	Professional fees; Training fees; Transport; Stationery; Room & board
		Lack of a staff training plan to operationalize staff training/development policy	-Develop a staff training plan; -Mobilize resources to implement the plan	May-June 2006	ANPPCAN and funding agencies	Internal resource person; Financial resources
		Absence of an HIV/AIDS at work place policy	-Develop an HIV/AIDS at workplace policy; -Mobilize resources and implement the policy	June-July 2006	ANPPCAN and external facilitators	Professional fees; Stationery; Transport; Financial resources
		Limited knowledge and skills in Human Resource Management	Conduct training in Human Resource Management for supervisors	May 2006	ANPPCAN and external facilitators	Professional fees; Stationery; Transport; Room & board
		Absence of qualified finance staff in the district groups	Mobilize resources for recruiting qualified finance staff	September 2006	ANPPCAN and external facilitators	Financial support (staff salaries)
		Un-clarity of structural relationship between ANPPCAN national and district groups	Explore options for re-defining the structural relationship	On-going	ANPPCAN	
		Low staff motivation	-Review ANPPCAN Terms & Conditions of service (promotion, medical benefit, equal training opportunities); -Explore cost effective staff motivation strategies; -Mobilize resources for effecting staff motivation strategies	March-April 2006	ANPPCAN and funding agencies	Internal resource person; Financial resources
		-Limited skills in resource mobilization; -Inadequate resources	-Identify and document resource mobilization strategies; -Conduct training in resource mobilization	August-September 2006	ANPPCAN and external facilitators	Training fees; Professional fees; Up-keep; Transport; Room & board

CSO	Capacity Area	Capacity gaps/needs identified	Action to be taken	Time Frame	Responsibility	Resources required
	Institutional Capacity	Absence of a communication strategy	Develop a communication strategy and link it to the NOP and NSSPI	May-June 2006	ANPPCAN	
		Advocacy strategy incomplete	Complete the advocacy strategy and link it to the NOP and NSSPI	April 2006	ANPPCAN	
		Limited knowledge and skills among key staff in grant making & management	Train key staff in grant making and management	September 2006	ANPPCAN and external facilitators	Training fees; Professional fees; Up-keep; Transport; Room & board
3. National Council for Children (NCC)	*Capacity for Quality OVC Service delivery*	-Inadequate computer skills to analyze data on agencies implementing OVC activities; -Lack of computer and software	-Contract a consultant to design and install the software; -Train staff in computer skills (data analysis)	November 2005-July 2006	NCC utilizing part of the grant	1 computer; Professional fees; Software/packages
	Organizational Capacity	Inadequate skills in project management: -Needs assessment; -Issue-based planning/ prioritizing; -Participatory methodologies in planning for child-related programs	-Conduct training in Project Planning & Management	March 2006	NCC and external facilitators	Tuition fees; Transport; Stationery; Room & board Incidentals
		Lack of a Human Resource Development Policy	Develop a Human Resource Development policy	April 2006	NCC and external facilitators	Professional fees; Transport; Room & board Incidentals
		Lack of an HIV/AIDS at workplace policy	Develop HIV/AIDS at workplace policy	December 2006	NCC and external facilitators	Professional fees; Transport; Room & board Incidentals

CSO	Capacity Area	Capacity gaps/needs identified	Action to be taken	Time Frame	Responsibility	Resources required
		-Inadequate gender knowledge and skills; -Inadequate integration/mainstreaming of gender issues into NCC policies, programs and approaches	-Continuous gender sensitization of NCC council and staff; -Conduct training in gender analysis and planning -Integrate gender in NCC policies, programs, approaches and day to day operations	May 2006 and onwards	NCC and external facilitators	Professional fees; Room & board; Transport; Incidentals
		Inadequate collective responsibility and team work	-Conduct training in strategic management; -Organize sharing events (retreats, end of year parties etc)	June 2006 and onwards	NCC and external facilitators	Professional fees; Room & board; Transport; Incidentals
		Limited resources for NCC -Limited visibility of NCC; -Lack of resource mobilization strategies; -Inadequate skills in resource mobilization	-Conduct training in resource mobilization; -Revisit the resource mobilization strategy for NCC;	March 2006	NCC and external facilitators	Transport; Communication costs; Tuition fees; Room & board; Training fees
		Limited linkages with grassroot communities limits NCC in gathering & disseminating information	-Strengthen the community mobilization strategy by increasing networking and collaboration with other development actors/partners; -Organize regular meetings with staff of the existing local structures; -Share information with other development actors/partners	On-going	NCC and other Development actors/partners	Stationery; Room & board; Incidentals; Transport

CSO	Capacity Area	Capacity gaps/needs identified	Action to be taken	Time Frame	Responsibility	Resources required
	Institutional Capacity	-Inadequate skills in advocacy and communication; -Advocacy and communication strategy is not linked to the NOP & NSPPI	-Conduct training in advocacy and communication; -Link the NOP & NSPPI to the NCC communication and advocacy strategy; -Organize a stakeholders meeting at national & regional levels	March 2006 and onwards	NCC and external facilitators	Transport; Stationery; Room & board; Professional fees; Training fees; Incidentals
		Inadequate networking, collaboration and information sharing with other development actors/partners	-Revive networking meetings; -Organize exchange meetings/visits; -Participate in other partners' programs	On-going	NCC and other development actors/partners	Stationery; Meals & refreshment; Venue hire; Transport; Communication costs; Incidentals
4.AMICAALL	*Capacity for Quality OVC Service delivery*	Inadequate skills to counsel OVCs effectively	Conduct training in psychosocial support (counseling)	March 2006	AMICAALL with external facilitators	Professional fees; Users' manuals; Transport; Room & board; Stationery; Incidentals
		Lack of mechanisms within AMICAALL to document and share best practices in psychosocial support, child protection and child participation	-Conduct quarterly centralized experience sharing sessions; -Conduct quarterly Task Force meetings	January, April, July & December 2006	AMICAALL	Transport; Room & board; Stationery; Incidentals
		Limited understanding of OVC as a concept among implementers	Organize a stakeholders workshop on understanding of OVC as a concept	March 2006	AMICAALL with MGLSD/CORE Initiative	NOP & NSPPI documents; Transport; Room & board; Stationery; Incidentals
		-Information on child protection difficult and inaccessible; -Limited radio/TV programs for community sensitization on child rights & protection	-Translate and disseminate information on child rights statute and bye-laws; -Improve on radio/TV programs	January-June 2006	AMICAALL with external facilitators	Translators; Stationery; IEC materials; Refreshments

CSO	Capacity Area	Capacity gaps/needs identified	Action to be taken	Time Frame	Responsibility	Resources required
		Inadequate knowledge and skills in micro-enterprise development	Conduct training in Micro-enterprise development	June 2006	AMICAALL with external facilitators	Transport; Room & board; Stationery; Incidentals
	Organizational Capacity	-Lack of a comprehensive M&E system; -Lack of equipment for data processing and storage	-Develop an M&E system that addresses all levels of implementation; -Integrate CORE Initiative reporting procedures into the M&E system; -Procure equipment and facilities for data processing & storage	February-April 2006 and onwards	AMICAALL with external facilitators	Desktop computers; Computer accessories and software; Filing cabinets; Professional fees
		Lack of a Human Resource Development (HRD) policy for AMICAALL	-Seek mandate from the Executive Committee; -Develop the Human Resource Development policy	-January 2006 -August 2006	AMICAALL	Stationery; Transport; Room & board Incidentals
		Lack of a documented resource mobilization strategy for AMICAALL	-Finalize development of service directories for urban councils; -Develop a resource mobilization strategy	February 2006	AMICAALL with consultant	Professional fees; Stationery; Transport; Room & board; Incidentals
		-Limited skills in gender for key project staff; -Lack of a gender policy for AMICAAL; -Gender is not fully mainstreamed in the organizational policies and programs	-Conduct gender training for key project staff; -Develop a gender policy for AMICAALL; -Integrate gender in policies and programs of AMICAALL	February-August, 2006	AMICAALL and external facilitators	Professional fees; Stationery; Transport; Room & board; Incidentals

CSO	Capacity Area	Capacity gaps/needs identified	Action to be taken	Time Frame	Responsibility	Resources required
	Institutional Capacity	-Lack of an advocacy and communication strategy	-Organize a stakeholders meeting; -Develop an advocacy and communication strategy	February-July 2006	AMICAALL and external facilitators	Professional fees; Room & board; Transport; Stationery; Incidentals
		Limited commitment to OVC care and support by some community leaders	-Conduct a community sensitization workshop	March-April 2006	AMICAALL with MGLSD/CORE Initiative	Professional fees; Stationery; Transport; Room & board; Incidentals
		OVC policy (NOP) not disseminated at local levels	-Organize task force meetings; -Conduct awareness raising meetings/events on NOP	July-August 2006	AMICAALL and MGLSD/CORE Initiative	Room & board; Transport; Stationery; Incidentals; Per diem; OVC Policy documents
		Lack of a documented networking and collaboration strategy	-Seek mandate from the Executive Committee; -Identify potential collaborators; -Organize a consultation meeting with existing & potential collaborators; -Develop a networking and collaboration strategy	December 2005-August 2006	-AMICAALL and other organizations	Guest Speaker; Professional fees; Transport; Stationery; Incidentals
		MoUs with sub-grantees not finalized and signed	Signing/endorsing of MoUs by town clerks	January 2006	AMICAALL	
5. Uganda Muslim Supreme Council (UMSC)	*Capacity for Quality OVC Service delivery*	-Inadequate knowledge and skills in psychosocial support (child counseling) -Limited literature/resource materials on psychosocial support	- Organize training for key staff and volunteers	February 2006	UMSC and external facilitators	Professional fees; Venue hire; Stationery; Transport; Room & board; Incidentals; Resource materials

CSO	Capacity Area	Capacity gaps/needs identified	Action to be taken	Time Frame	Responsibility	Resources required
		Lack of mechanisms within UMSC to document and share best practices in psychosocial support, child protection and child participation	Develop a framework for documenting and sharing best practices	February 2006	UMSC and external facilitators	Professional fees; Venue hire; Stationery; Transport; Room & board; Incidentals
		Inadequate knowledge and skills in child participation	Conduct training in child participation	March 2006	UMSC and external facilitators	Professional fees; Venue hire; Stationery; Transport; Room & board; Incidentals
		Lack of literature/resource materials in child participation	-Secure literature/resource materials on child participation; -Organize an exchange visit to experienced organizations	March 2006	UMSC with other organizations	Stationery; Transport; Room & board; Incidentals; Resource materials
		Lack of mechanism/forum to involve children (8-17 years) in planning, implementation & decision making	Put in place a mechanism and modality to involve children in planning, implementation and decision making	March 2006	UMSC with external facilitators	Professional fees; Venue hire; Stationery; Transport; Room & board; Incidentals
		Lack of knowledge and skills in child protection	Conduct training in child protection	March 2006	UMSC with external facilitators	Room & board; Transport; Stationery; Professional fees; Incidentals

CSO	Capacity Area	Capacity gaps/needs identified	Action to be taken	Time Frame	Responsibility	Resources required
		National interpretation and recommendations on child protection not harmonized with religious values	-Sensitize the community on child rights & protection; -Set up a task force to harmonize the government and religious positions; -Develop a fact sheet on child protection reflecting harmonized views; -Put a mechanism in place to ensure child protection	March-May 2006	UMSC with external facilitators	Venue hire; Meals & refreshments; Transport; Professional fees; Stationery; Printing costs
	Organizational Capacity	Lack of comprehensive M&E system for UMSC	- Develop and pretest an organization-wide M&E system (monitoring procedures, tools & database)	March-June 2006	UMSC with external facilitators	Professional fees; Stationery; Software/packages; Transport; Room & board
		-Baseline surveys not conducted before project implementation; -Limited skills in conducting baseline surveys	-Conduct workshop on baseline surveys; -Develop a database utilizing baseline information in areas of focus	On-going	UMSC	Professional fees; 5 desktops with accessories; Transport; Stationery; Solar energy equipment
		Lack of a documented policy on staff recruitment, performance appraisal and training	Develop a Human Resource Development manual and seek approval	March-July 2006	UMSC with external facilitators	Professional fees; Stationery; Venue hire; Transport; Room & board
		Lack of an HIV/AIDS at workplace policy	Develop an HIV/AIDS at workplace policy and seek approval	March-July 2006	UMSC and external facilitators	Professional fees; Stationery; Venue hire; Transport; Room & board

CSO	Capacity Area	Capacity gaps/needs identified	Action to be taken	Time Frame	Responsibility	Resources required
		Lack of a comprehensive finance manual	-Review and finalize the draft finance manual	March-July 2006	UMSC and external facilitators	Professional fees; Stationery; Venue hire; Transport; Room & board
		-Lack of a gender policy for UMSC; -Gender is not fully mainstreamed in organizational policies and programs	-Analyze national gender policies and harmonize them with Islamic values; -Institute a task force to develop a harmonized gender policy; -Hold a consensus building workshop; -Integrate gender into policies and programs of UMSC	April-October 2006	UMSC and external facilitators	Professional fees; Stationery; Transport; Room & board; Incidentals
		Limited leadership/modern management skills	Conduct training in leadership skills	March 2006	UMSC and external facilitators	Professional fees; Stationery; Transport; Room & board; Incidentals
		Limited resources for UMSC: -Inadequate skills in resource mobilization; -Lack of a resource mobilization strategy & plan; -Limited involvement of Board members in resource mobilization	-Conduct training in resource mobilization; -Develop a resource mobilization strategy & plan; -Define mechanisms/modalities of Board members' involvement in resource mobilization	March 2006	UMSC and external facilitators	Professional fees; Stationery; Transport; Room & board; Incidentals
		Low staff motivation	-Organize retreats for Board, staff and other stakeholders; -Design and award certificates of recognition for good performance	March 2006	UMSC	Stationery; Transport; Room & board; Incidentals; Printing costs

CSO	Capacity Area	Capacity gaps/needs identified	Action to be taken	Time Frame	Responsibility	Resources required
	Institutional Capacity	-Lack of a documented advocacy and communication strategy; -Limited advocacy and communication skills; -Lack of advocacy (IEC) materials	-Conduct training for key project staff in advocacy and communication; -Develop and document an advocacy and communication strategy; -Develop simple advocacy (IEC) materials for grassroot implementers	May-September 2006	UMSC and external facilitators	Professional fees; Printing costs; Stationery; Translators; Transport; Room & board
		Limited engagement in OVC policy work	-Organize dialogue meetings with policy makers on OVC policy; -Share experiences from other organizations	June 2006	UMSC and other organizations	Venue hire; Stationery; Transport; Room & board
		-Lack of a networking and collaboration strategy; -Limited collaboration and experience sharing with other organizations	-Equip key staff with networking and collaboration skills; -Organize exchange visits; -Develop a networking/collaboration strategy	July-December 2006	UMSC and external facilitators	Professional fees; Room & board; fees; Transport; Per diem; Incidentals
		The sub-granting mechanism is not documented & formalized	-Document the sub-grantee selection procedure; -Develop a criteria for re-granting; -Develop a grant monitoring system	February 2006	UMSC	
6. Alliance for African Assistance (Uganda)	*Capacity for Quality OVC Service delivery*	Inadequate skills in psychosocial support (counseling, child programming & behavior change)	-Conduct training in psychosocial support -Share experiences with other organizations (UNICEF &World Vision)	February 2006	AAA and other organizations	Professional fees; Room & board; fees; Stationery; Transport; Incidentals
		Lack of mechanisms within AAA (Uganda) to document and share best practices in psychosocial support, child protection and child participation	Develop a framework and tools for documenting and sharing best practices	On-going	AAA	

CSO	Capacity Area	Capacity gaps/needs identified	Action to be taken	Time Frame	Responsibility	Resources required
		Inadequate skills in child participation	Conduct training in child participation	AAA (Uganda) with external facilitators	March 2006	Professional fees; Room & board; Stationery; Transport; Incidentals
		Cultural norms and practices hinder child participation in decision making	Organize awareness creation/sensitization seminars with parents/guardians & volunteers	AAA (Uganda)	March-April 2006	Stationery; Room & board; Transport; Incidentals
		Limited knowledge and skills in child protection	Conduct training in child protection	March 2006	AAA (Uganda) with external facilitators	Professional fees; Room & board; Stationery; Transport; Incidentals
		Inadequate knowledge and skills in micro-enterprise development	Conduct training in Micro-enterprise development	February 2006	AAA (Uganda) with external facilitators	Transport; Professional fees; Room & board; Stationery; Incidentals
	Organizational Capacity	-Limited knowledge and skills in M&E -Lack of a comprehensive M&E system (data collection tools, analysis and storage)	-Conduct training in M&E - Develop a comprehensive M&E system	April 2006	AAA (Uganda) with external facilitators	Professional fees; Room & board; Transport; Stationery; Incidentals; Soft ware; Computers & accessories
		Unclear staff roles and responsibilities	Review staff job description	January 2006	AAA (Uganda)	
		Lack of policies on: -Volunteer management -Staff training/development -HIV/AIDS at workplace	-Share outcome of capacity assessment with Board of Directors -Develop draft policies -Seek approval by the Board of Directors	April 2006	AAA (Uganda)	Stationery; Transport; Room & board Per diem

CSO	Capacity Area	Capacity gaps/needs identified	Action to be taken	Time Frame	Responsibility	Resources required
		Limited skills in project planning and management	-Conduct in-house learning sessions on project planning & management -Share experiences with other organizations	June 2006	AAA (Uganda)	
		-Lack of knowledge and skills in gender analysis and planning -Lack of a gender policy	-Conduct training in gender analysis and planning; -Develop a draft gender policy and seek approval by the Board of Directors -Share experiences with other organizations	March 2006	AAA (Uganda) with external facilitators	Transport; Professional fees; Room & board; Stationery; Incidentals
		Decision making is bureaucratic and taking actions slow	-Review administrative policies and procedures -Review administrative structure	February 2006	AAA (Uganda)	
		Inadequate resources for AAA	Broaden resource base through networking and engaging in IGAs	February 2006	AAA (Uganda)	
		Negative community norms and cultural practices hinder community mobilization	Community sensitization through seminars and radio programs	February 2006	AAA (Uganda) with external facilitators	Transport; Airtime; Room & board; Stationery; Incidentals
	Institutional Capacity	AAA (Uganda)'s activities overlap with those of other NGOs in area of operation	-Hold consultations with other NGOs, community leaders and authorities	On-going	AAA (Uganda) with other organizations	Transport; Stationery
		-Limited knowledge and skills in advocacy & communication -Limited knowledge and skills in developing advocacy materials	-Conduct training in advocacy and communication -Liaise with other organizations	March 2006	AAA (Uganda) with external facilitators	Transport; Professional fees; Room & board; Stationery; Incidentals
		Lack of skills in networking and collaboration	-Conduct training in networking and collaboration -Share experiences with other organizations	March 2006	AAA (Uganda) with other organizations	Transport; Professional fees; Room & board; Stationery; Incidentals

CSO	Capacity Area	Capacity gaps/needs identified	Action to be taken	Time Frame	Responsibility	Resources required
		No exchange visits with other organizations	Initiate exchange visits with other organizations for sharing knowledge, experiences and best practices	February 2006	AAA (Uganda)	Room & board; Transport; Per diem; Incidentals;
7. Uganda Women's Efforts to Save Orphans (UWESO)	*Capacity for Quality OVC Service delivery*	Inadequate knowledge & skills in psychosocial support (child counseling & communication and life skills)	-Carry out post-training evaluation and internal skills needs assessment -Conduct comprehensive training in psychosocial support	April 2006	UWESO and external facilitators (CORE Initiative, Mild May, TASO)	Professional fees; Venue hire; Up-keep; Transport ; Training materials
		Inadequate internalization of psychosocial support tools/manuals (Peer Education, Straight Talk publications, Life Skills etc)	-Develop and cost a training plan -Conduct TOT and training of members on the 4 training manuals -Develop a post training Evaluation tool	July –December 2006	UWESO with other organizations (World Vision, UNICEF, CORE Initiative/MGLSD, Straight Talk Foundation)	- Professional fees; - Training materials & manuals; - Transport refund; - Room & board; - Incidentals
		Lack of processes/mechanisms for effective documentation and sharing experiences, best practices and challenges between UWESO branches	-Document all psychosocial support, education, health and agriculture activities; -Create appropriate sections in the documentation centre -Compile, write, edit and publish the outcome of UWESO work: experience; best practices and challenges -Institute bi-annual sharing and learning sessions between branches -Develop a documentary about the work of UWESO	June – December 2006	UWESO and external facilitators (MGLSD/CORE Initiative)	Part time volunteer; Stationery; Room & board; Venue hire; Professional fees; Per diem; Fuel; Computer; Digital camera Video camera
		Child protection is not well reflected in the overall strategy, plans and activities of UWESO	Have child protection streamlined in all UWESO projects.	August 2006	UWESO and external facilitators	Professional fees; Stationery; Transport

CSO	Capacity Area	Capacity gaps/needs identified	Action to be taken	Time Frame	Responsibility	Resources required
		No processes/mechanisms in place to protect OVC from abuse, neglect, stigma and discrimination	-Conduct training in child protection and advocacy -Network with other NGOs -Strengthen volunteer network to institute child protection mechanism	Aug 2006	UWESO and other organizations (CORE Initiative, SCiU, Legal Aid, ANPPCAN & interested law firms)	Professional fees; Training materials & manuals; Transport refund; Room & board; Incidentals; Fuel/transport; Legal fees; Stationery; Membership fees
	Organizational Capacity	Inadequate resources and mechanisms to involve and consult OVC and their families in needs identification, planning, implementation, monitoring and evaluation	- Conduct training in resource mobilization for branch staff, BEC members and NEC -Develop and implement a business plan -Resource mobilization	July–December 2006	UWESO with external facilitators (CORE Initiative/MGLSD& VSO)	Professional fees; Training materials & manuals; Transport refund Room & board; Incidentals
		Failure to follow-up of OVC who complete vocational and artisan training	-strengthen follow-up mechanisms after vocational and artisan training - track OVC who have completed training through clusters that identified them	June 2006	UWESO and target Community	Monitoring tool; Fuel/transport; Per diem; Stationery; VSO volunteer
		-Irregular baseline surveys and evaluation Inaccurate data collection in some instances	-Mobilize resources for baseline surveys and evaluation for all projects -Review data collection tools & techniques	March 2006	UWESO and external facilitators	Transport; Stationery; Per diem; Professional fees
		Inadequate sharing of information between UWESO Secretariat and branches	Prepare annual contracts with a courier company	On-going	UWESO	fees

CSO	Capacity Area	Capacity gaps/needs identified	Action to be taken	Time Frame	Responsibility	Resources required
		-The staff training/development policy is not well defined; -Volunteer management policy is in draft; -There is no HIV/AIDS at workplace policy	-Review/finalize and share with all staff the staff training policy & volunteer management policy; -Develop a policy on HIV/AIDS at workplace	June 2006	UWESO and external facilitators	Legal fees; Professional/training fees; Training materials & manuals; Transport refund Room & board; Incidentals;
		Lack of procurement policy	Develop and disseminate procurement policy & guidelines	June 2006	UWESO	Stationery; Postage
		-There is no resource mobilization strategy and plan in place -Limited knowledge and skills in resource mobilization by key staff	-Develop resource mobilization strategy and business plan; -Conduct training in resource mobilization for staff, NEC and BEC members	June 2006	UWESO and external facilitators	Professional fees; Training materials & manuals; Transport refund; Room & board; Incidentals
		-UWESO strategic direction largely influenced by external forces mainly donors; -Limited accountability to beneficiaries/target group	-Develop a widely consultative strategic plan -Conduct Annual General Meetings (AGMs)	March– July 2006	UWESO and external facilitators	Professional fees; Training materials & manuals; Transport refund; Room & board; Incidentals
	Institutional Capacity	There is no documented advocacy and communication strategy	Develop & document an advocacy and communication strategy for OVC	August 2006	UWESO and External facilitators	Stationery
		Limited advocacy and communication skills among staff, NEC and BEC members	Conduct training in advocacy and communication for staff, NEC and BEC members	August 2006	UWESO and External facilitators	Professional fees; Training materials & manuals; Transport refund; Room & board; Incidentals

CSO	Capacity Area	Capacity gaps/needs identified	Action to be taken	Time Frame	Responsibility	Resources required
		Advocacy materials not pre-tested before use	Pre-test advocacy materials before use	December 2006	UWESO and External facilitators	Professional fees for drafting materials; Stationery
		Advocacy activities are reactive and not based on research and audience analysis	Conduct audience analysis in order to develop culturally sensitive materials	December 2006	UWESO and External facilitators	Financial resources; Transport; Stationery
		Limited communication and sharing of UWESO activities and experiences with other stakeholders	Regular preparation and sharing of reports	March 2006	UWESO and External facilitators	Stationery; Postage
		Granting process is in transition as branches become semi-autonomous and sub-grantees of UWESO Secretariat	-Streamline issues of capacity for sub-grantees (MOUs, systems and procedures etc); -Develop guidelines for sub-granting	December 2006	UWESO and External facilitators	Stationery; Postage
8. Grassland Foundation	*Capacity for Quality OVC Service delivery*	Inadequate knowledge and skills in micro-enterprise development for OVC	Conduct training in Micro-enterprise development	May 2006	Grassland Foundation with external facilitators	Transport; Professional fees; Room & board; Stationery; Incidentals
		-Socio-economic security for OVCs is not well reflected in the strategic plan -Limited resources for enhancing economic livelihood of OVCs (IGAs)	-Review strategic plan and reflect socio-economic security for OVCs -Mobilize resources to establish IGAs for OVCs	April 2006	Grassland Foundation	Transport; Stationery; Telephone costs; Incidentals
		-Inadequate knowledge & skills in psychosocial support; -Limited psychosocial frameworks and tools	Conduct comprehensive training in psychosocial support	July 2006	Grassland Foundation and external facilitators	Professional fees; Venue hire; Up-keep; Transport ; Training materials
		Psychosocial support is not well reflected in the strategic plan	Review strategic plan and reflect psychosocial support	April 2006	Grassland Foundation	Transport; Stationery; Telephone costs; Incidentals

CSO	Capacity Area	Capacity gaps/needs identified	Action to be taken	Time Frame	Responsibility	Resources required
		Lack of mechanisms within Grassland Foundation to document and share best practices in psychosocial support, child participation & socio-economic security for OVCs	Develop a framework for documenting and sharing best practices	March 2006	Grassland Foundation & external facilitators	Professional fees; Venue hire; Stationery; Transport; Room & board; Incidentals
		-Limited skills in child participation -Lack of child participation frameworks and tools	Update staff skills in child rights and child policies to enhance child participation	On-going	Grassland Foundation & external facilitators	Transport; Stationery; Professional fees; Training materials; Incidentals
		Limited participation of OVCs in planning processes	Ensure more participation of OVCs in planning processes for Grassland Foundation	On-going	Grassland Foundation	
	Organizational Capacity	Inadequate skills in M&E (developing monitoring tools, formulating indicators, data collection & data analysis)	Conduct training in M & E	Grassland Foundation and external facilitators	February 2006	Room & board; Transport refund; Incidentals; Venue hire; Professional fees
		Lack of resource materials on gender	Solicit resource materials on gender	Grassland Foundation and CORE Initiative	On-going	
		-Lack of a documented resource mobilization strategy; -Financial vulnerability/unreliability	-Develop and document a resource mobilization strategy; -Seek to expand donor/funding base; -Explore the possibility of local fundraising.	Grassland Foundation	March 2006 and onwards	Stationery; Professional fees; Per diem
	Institutional Capacity	Limited opportunities for sharing information and experiences with other NGOs/development partners	-Share information and experiences with OVC CSOs on a quarterly basis; -Hold a regional assembly of HIV/AIDS CSOs on a quarterly basis ad before the AGM	Grassland Foundation & The NGO Network on HIV/AIDS	On-going	Stationery; Transport; Venue hire; Room & board; Incidentals

CSO	Capacity Area	Capacity gaps/needs identified	Action to be taken	Time Frame	Responsibility	Resources required
		Limited collaboration with private sector (business) partners	-Share strategic plans with potential private sector partners -Hold joint fundraising events	Grassland Foundation and identified private sector partners	April 2006 onwards	Fuel/transport; Telephone costs; Stationery
		Lack of participation in OVC policy formulation and review processes	Dialogue with relevant ministries (MGLSD, local government) to ensure participation in future reviews	Grassland Foundation & other stakeholders (MGLSD, CSOs, Private partners and the community	On-going	Fuel/Transport; Telephone costs; Stationery
		NOP and NSPPI only available in English	Access translated and simplified versions of the NOP and NSPPI	Grassland Foundation & CORE Initiative	April 2006	
		-Advocacy and communication strategy is not documented -Advocacy and communication strategy is not well reflected in the strategic plan	-Formulate and document an advocacy and communication strategy; -Review strategic plan and reflect advocacy and communication	Grassland Foundation and external consultants	April 2006	Professional fees; Stationery; Fuel/transport; Per diem
		Inadequate IEC materials especially at community level	Advocate for more IEC material production and acquisition	Grassland Foundation, MGLSD & UNICEF	January 2006	Telephone costs; Fuel/transport; Stationery

Attachment II

SUMMARY CAPACITY SCORES FOR OVC CSOs ASSESSED

Capacity areas assessed	Capacity Scores attained				
	1	2	3	4	Average score
A: Quality OVC service delivery capacity					
1. Psychosocial support		-AMICAALL -Grassland -UMSC	-SCiU -AAA -ANPPCAN -UWESO		2.58
2. Child participation		-AMICAALL -Grassland -UWESO -UMSC -AAA	-ANPPCAN	-SCiU	2.43
3. Child protection		-AAA -UMSC -UWESO	-AMICAALL	-SCiU -ANNPPCAN	2.84
4. Socio-economic security		-Grassland -AMICAALL -UMSC -ANPPCAN -AAA	-UWESO		2.17
B: Organizational capacity					
5. Monitoring and Evaluation		-NCC -AMICAALL -AAA	-UMSC -UWESO -SCiU -ANPPCAN -Grassland		2.63
6. OVC Program/project management		-AMICAALL -AAA	-Grassland -SCiU -UWESO -NCC -UMSC -ANPPCAN		2.75
7. Governance, structure, systems & procedures			-AMICAALL -UWESO -Grassland -AAA -UMSC	-SCiU -NCC -ANPPCAN	3.38
8. Personnel management		-UMSC -AMICAALL -UWESO -AAA	-NCC -ANPPCAN	-SCiU -Grassland	2.75
9. Financial management		-UWESO	-ANPPCAN -AAA -SCiU -AMICAALL -UMSC	-Grassland -NCC	3.13
10. Gender analysis and planning	-UMSC	-AAA -AMICAALL -UWESO -SCiU	-NCC -Grassland -ANPPCAN		2.25

Capacity areas assessed	Capacity Scores attained				
11. Leadership		-UMSC -AAA	-ANPPCAN -AMICAALL -NCC -UWESO -Grassland	-SCiU	2.88
12. Resource mobilization	-NCC	-UWESO -UMSC -AAA	-SCiU -AMICAALL -Grassland -ANPPCAN		2.38
13. Community mobilization, participation & involvement		-ANPPCAN	-UMSC -SCiU -AMICAALL -UWESO -Grassland -AAA NCC		2.88
C: Institutional capacity					
14. Advocacy and communication		-AAA -Grassland -AMICAALL -UWESO -ANPPCAN	-NCC -UMSC -SCiU		2.38
15. OVC policy work		-AMICAALL -UMSC	-SCiU -NCC -ANPPCAN -AAA -UWESO -Grassland		2.75
16. Networking, linkages and collaboration		-AAA -UMSC	-AMICAALL -NCC -Grassland -ANPPCAN	-UWESO -SCiU	3.00
17. Grant making to CSOs/CBOs		-SCiU -AMICAALL -UWESO	-UMSC -ANPPCAN		2.40

Overall/Composite Score: 2.65 (3)

Key:

1. SCiU = Save the Children in Uganda
2. NCC = National Council for Children
3. UMSC = Uganda Muslim Supreme Council
4. Grassland = Grassland Foundation
5. AAA = Alliance for African Assistance
6. AMICAALL = Alliance of Mayors and Municipal Leaders on HIV/AIDS in Africa
7. ANPPCAN = African Network for Prevention and Protection Against Child Abuse and Neglect (Uganda Chapter)
8. UWESO = Uganda Women's Effort to Save Orphans