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Year 2 Organizational Capacity Assessment Orphans and Vulnerable Children (OVC) Services

Facilitator's Copy



Goal:

The goal of this tool is to assist OVC programs in assessing the critical elements for effective program implementation, and identifying those elements that need strengthening or further development.

Purpose:

The purpose of this tool is to assess an organization's ability to implement OVC programs in the specific technical areas by looking at personnel, documents and systems in place at the organizational and implementing partner levels. While the discussions will include and may focus on implementation of the NPI project, this is not an explicit objective of this assessment.

The Technical Capacity Assessment (TCA) builds on the strengths of the Organizational Capacity Assessment (OCA) designed to measure overall capacity of organizations funded by The President's Emergency Plan for AIDS Relief (PEPFAR) under the New Partners Initiative (NPI). This TCA tool is designed to provide organizations with a set of criteria to assess their current technical capacity to implement quality orphans and vulnerable children (OVC) programs, to identify key areas that need strengthening, and highlight project aspects that can serve as a model for other programs working on OVC issues.

The TCA tool assesses technical capacity in three domains – organizational strategy, management information systems, and OVC programming technical capacity. Each domain has a number of areas, for a total of 24 areas for assessment, as follows:

Domain 1: Organizational Strategy

1. Program Approach
2. Guidelines/SOPs
3. Service Standards
4. Selection of Beneficiaries/Targeting
5. Stigma and Discrimination Protocols
6. Project Human Resources (Volunteers)
7. Community Involvement
8. Child Participation
9. Referral Systems
10. Skills Building
11. Leadership
12. Sustainability

Domain 2: Management Information System

1. Data Collection
2. Data Quality Assurance and Improvement
3. Data for Decision making
4. Feedback and Sharing
5. Management Information Systems

Domain 3: OVC Programming Technical Capacity

1. Nutrition and Food Security Support
2. Shelter and Care Support
3. Protection/Legal Aid Support
4. General Health Support
5. Psychosocial Support
6. Education/Vocational Training Support
7. Economic Opportunity/Strengthening Support

Objective: To assess the comprehensiveness of the program approach to OVC service delivery.

DOMAIN 1: ORGANIZATIONAL STRATEGY					
Area 1					
Program Approach	There are no OVC services ¹ being delivered by the organization at the moment (either directly or via linkages/referrals).	There are some OVC services being delivered (either directly or via linkages/referrals) which are in response to a clear determination of need.	OVC services (either directly or via linkages/referrals) offered cover a minimum of recommended components of comprehensive care as defined/determined by PEPFAR and/or national standards.	Services offered cover the range of services in accordance with PEPFAR and national standards (either directly or via linkages/referrals). The organization is able to tailor services to beneficiaries' individual needs. The organization has the capacity to scale up OVC service delivery while maintaining quality of services.	Due to the work of the organization, OVCs within the organization's catchment area receive high quality, comprehensive services, either through the organization itself or through linkages/referrals. The organization's Program Approach offers a model which can be replicated.
	1	2	3	4	

Probing questions

1. Are OVC services being delivered directly or via linkages?
2. Do the OVC services offered cover a minimum² of recommended components according to PEPFAR and national standards?
 - o [Facilitator should probe if they are aware of PEPFAR core components as well as National priorities.]
3. Are the services offered in response to an evidence based determination of need and audience identification?
 - o [Facilitator should probe how they determined which components to implement/support, what was the basis for this?]
4. Does the organization have capacity to scale up?
 - o [Capacity refers to resources, technical know-how, etc. Scale-up is in terms of geographical coverage and comprehensiveness of services offered.]

Area 1 Score: _____

¹ OVC services are defined by PEPFAR as Education, Food and Nutritional Support, Shelter and Care, Protection, Health Care, Psychosocial Support and Economic Strengthening. Programs should also take into account National OVC policies and definitions of comprehensive care when considering what services to offer beneficiaries.

² According to guidance given by the USAID in-country mission and national government (PEPFAR requires at least 3).

Objective: To determine the availability and consistent utilization of project specific guidelines/standard operating procedures.

DOMAIN 1: ORGANIZATIONAL STRATEGY					
Area 2					
Project Specific Guidelines/ Standard Operating Procedures (SOPs)¹	There are no project specific guidelines/SOPs in place for OVC service delivery.	There are up to date guidelines/SOPs in place in line with national and PEPFAR guidelines.	There are up to date guidelines/SOPs in place in line with national and PEPFAR guidelines. The guidelines/SOPs have been interpreted and disseminated to project staff, implementers and relevant stakeholders (as appropriate).	There are guidelines/SOPs in place which are up to date and in line with national and PEPFAR guidelines. The guidelines/SOPs have been interpreted and disseminated to project implementers and relevant stakeholders (as appropriate). The implementers are fully applying the guidelines/SOPs in service delivery sites.	OVC services are being delivered in a standardized manner across all service delivery points according to documented guidelines/SOPs. The organization's project specific guidelines/SOPs offer a model which can be replicated.
	1	2	3	4	

Probing questions

1. Does the organization have guidelines/SOPs for OVC service delivery?
2. Are the guidelines/SOPs up to date and in line with national guidelines?
3. Has the leadership interpreted and disseminated the guidelines/SOPs to the implementers and stakeholders, as appropriate?
4. Is there a checklist to guide project implementers and volunteers in their daily work?
5. Are there measures to ensure consistent adherence to project guidelines/SOPs?
6. Have the guidelines/SOPS been updated to incorporate next generation indicators (NGI)?

Area 2 Score: _____

¹ Project specific guidelines/standard operating procedures (SOPs) refer to written procedures of how the project operates.

Objective: To assess the organization’s ability to implement high quality projects by reviewing the application of recognized standards in service delivery.

DOMAIN 1: ORGANIZATIONAL STRATEGY

Area 3					
Service Standards ¹	The organization has no service standards for the OVC project	OVC service standards exist, but are not uniformly applied across the project and not all staff are aware of them.	OVC service standards exist; staff are aware of these standards and appropriately trained to apply and monitor them. Standards are monitored but are not applied in a comprehensive manner.	OVC service standards exist. Staff and implementers (including volunteers) are aware of these standards and are appropriately trained to apply them. Monitoring reports show they are consistently and comprehensively adhered to.	The Project can be used as a resource for OVC service quality improvement. The organization’s Service Standards model is one which can be replicated.
	1	2	3	4	

Probing questions

1. Does the project have documented OVC service standards in place?
2. Are the service standards in line with national guidelines?
3. Have staff and project implementers been oriented on the standards?
4. Are project implementers applying and following the service standards?
5. Is there a standards checklist that project implementers and volunteers can apply in their daily work?
6. Does support supervision include checking for adherence to service standards?
7. If the standards are being followed, do the children receiving services fare better? What sources of data are used to confirm this?
 - o *[Facilitator to check for source of data, e.g. CSI, parenting map, or other outcome monitoring agreed upon by OVC stakeholders from National Plans of Action.]*

Area 3 Score: _____

¹ A standard is an agreed upon level or benchmark of quality. It is measurable and, to the greatest degree possible, evidence-based. Standards define the minimum level of support to be provided and help ensure the support is provided consistently and to a minimum level of quality. Dimensions of quality include safety, access, effectiveness, technical performance, efficiency, continuity, compassionate relations, appropriateness, participation and sustainability (Quality Assurance Project, USAID). Project service standards should be documented for reference.

Objective: To assess the process by which the project selects its beneficiaries (targeting).

DOMAIN 1: ORGANIZATIONAL STRATEGY					
Area 4					
Selection of Beneficiaries/Targeting	There are no project guidelines on the selection of beneficiaries.	There are clear project guidelines on the selection of beneficiaries which take into account reaching the most vulnerable. The organization has considered the different options for selecting beneficiaries¹.	There are clear project guidelines for beneficiary selection that take into account reaching the most vulnerable. Different targeting options are considered and the project targeting is transparent and community-driven. Efforts are made to reach especially vulnerable children (those under 5 years of age, disabled, girl children, HIV infected and/or child-headed households).	Project targeting and the selection of beneficiaries make efforts to avoid stigmatizing OVC and their families (takes into account a 'Do No Harm' philosophy).	The project's selection process and guidelines can be used as a resource for other OVC programs
	1	2	3	4	

Probing questions

1. Are there documented guidelines for selecting beneficiaries included either in the SOPs or separately?
2. Is there an OVC selection and verification tool used to identify project beneficiaries?
3. Are different options considered in selecting beneficiaries, e.g. a survey based on community criteria for vulnerability, use of poverty indicators, use of local lists of OVC households, equity strategy, cluster strategy, vulnerability score, participatory weighting?
4. Is the community involved in selection of beneficiaries?
5. Has the selection process been transparent?
6. Does the targeting and selection process make efforts to avoid stigmatizing OVC and their families?

Area 4 Score: _____

¹ For example, different methods of targeting are: 1) developing a targeting survey based on community criteria for vulnerability; 2) using poverty indicators; 3) using local lists of OVC households (with consideration that relying on these lists alone could reinforce stigma against these households); 4) using an 'equity' strategy whereby each village in the area has the same number of identified households; 5) using a 'cluster' strategy where villages with most vulnerable households are the focus of the work; 6) using a 'scoring' strategy where children with the highest levels of vulnerability (vulnerability 'scores') are enrolled, regardless of village (source: Speak for the Child Case Study: Kenya, August 2003).

Objective: to ascertain if the organization makes efforts to eliminate stigma and discrimination against vulnerable children.

DOMAIN 1: ORGANIZATIONAL STRATEGY					
Area 5					
Stigma and Discrimination Protocols¹	The organization has done no analysis of how to avoid increasing stigma and discrimination as a result of its activities.	The organization has considered how to avoid increasing stigma and discrimination as a result of its activities and has relevant protocols in place. The organization has consulted with relevant community members on this issue.	The organization's project activities take into account stigma and discrimination reduction measures to avoid furthering stigma and discrimination.	There is evidence/ observations that the organization has avoided furthering stigmatization/discrimination of beneficiaries in its activities.	The organization's Stigma and Discrimination Protocols offer a model which can be replicated.
	1	2	3	4	

Probing questions

1. Who is the focus of assistance when providing support to OVC?
 - o *[Focusing interventions on the family unit and the community – and not only on the affected child—is usually the best way to promote the best interest of the child and avoid stigma.]*
2. When services and materials are provided for OVC support in a household, do all children benefit or are only orphaned children singled out?
 - o *[Care must be taken to ensure that services and materials provided for OVC do not generate jealousy and conflict in their social groups and families.]*
3. Are services provided to OVC similar to those of other children in the same setting?
 - o *[It is important to avoid labeling items for children to be identified as beneficiaries of an OVC project.]*

Area 5 Score: _____

¹ Stigma is based on beliefs. A person is 'stigmatized' when another person thinks negatively of them because of something they have experienced or because they belong to a particular group. Discrimination occurs when actions are taken (or not taken) on the basis of a stigmatizing belief. At times OVC programs inadvertently contribute to furthering stigma and discrimination against OVC and their families, for example, by offering support to only one child in a household where all children are vulnerable (singling out a child as 'different' and leading to possible marginalization/resentment). In some communities this will not be the case, but an analysis of such issues is a critical component to a strong OVC program.

Objective: To assess the organization's ability to maintain a skilled workforce.

DOMAIN 1: ORGANIZATIONAL STRATEGY					
Area 6					
Volunteer Capacity and Support	The organization has done no analysis of human resource capacity (of volunteers) in terms of OVC service delivery.	The organization has solicited the input of its volunteers in terms of their capacities and constraints, and taken this into account when designing/implementing projects. However there is no volunteer retention strategy in place.	The organization's project design takes into account an analysis of volunteer workload capacities and constraints. A volunteer retention strategy is in place, including processes to support volunteer morale and address the psychosocial needs of volunteers.	The organization's project design reflects a realistic assessment of volunteer capacities and constraints. A functioning volunteer retention strategy is in place and the project has a low volunteer turnover rate.	The organization's approach can be used as a resource for other OVC projects working with volunteers
	1	2	3	5	

Probing questions

1. Has the organization done an analysis of its human resource (volunteer) capacities and constraints?
2. Has the organization solicited the input of its volunteers on the design of the project (in terms of their capacities and constraints), and taken this into account when designing the project?
3. Is there a volunteer retention strategy in place?
4. Does the organization offer support to its volunteers (moral support, psychosocial support)? This could be in the form of volunteer support groups, for example.
5. Is there a low volunteer turnover rate?

Area 6 Score: _____

Objective: To assess the level of community involvement in project activities.

DOMAIN 1: ORGANIZATIONAL STRATEGY

Area 7					
Community Involvement¹	There is little or no interface with the community. The OVC issues being addressed are not necessarily priorities for the community.	There are fora for the community (including those regularly in contact with vulnerable children such as teachers, child welfare officers, health care workers, police, etc.) to participate in project activities, including the setting of mutually agreed upon intervention priorities/goals and the transparent selection of beneficiaries (as appropriate).	There are fora for the community to co-plan and participate in project activities on an ongoing basis. There are village/grassroots structures formed or in place to support the OVC services.	The community participates in project activities on an ongoing basis (as appropriate). The organization receives regular input and feedback from the community which it is able to take into account when implementing projects. There is a framework in place to account to the community on project progress.	The community fully participates in OVC activities (as appropriate) and the activities reflect the needs of the community as much as possible. There are community-based structures to support the OVC services that can be used as a resource for other organizations. The organization's Community Involvement component offers a model which can be replicated.
	1	2	3	4	

Probing questions

1. Is there a mechanism for the organization's OVC project to receive input from the community?
2. Is there a mechanism for the organization to meet with the community to set priorities for intervention?
 - o [This can be confirmed by looking at the minutes or any documented evidence of meetings.]
3. Is the community involved in the selection of OVC?
4. Is there a framework where the organization accounts to the community for the welfare of the OVC?
5. Is there documentation of the community involvement activities?
6. Is the project able to take into account the feedback from the community, and make any adjustments to the project(s), as appropriate?

Area 7 Score: _____

¹ Families and communities have important roles to play in raising children. PEPFAR seeks to support interventions that strengthen the capacities of families and communities to make informed decisions regarding who needs what care and how best to provide it, especially for the long term.

Objective: To assess the level of child participation in the organization's OVC project activities.

DOMAIN 1: ORGANIZATIONAL STRATEGY

Area 8					
Child Participation ¹	There are no fora for the children to participate in the design or provide feedback regarding project activities and staff have limited knowledge in child participation	There are occasional (non-regular) fora for the children to participate in OVC project activities and staff have some knowledge on child participation.	The organization has documented procedures and guidelines on child participation. The OVC project solicits and receives input and feedback from children via regular fora and staff have knowledge and skills in child participation.	Fora for ongoing child participation exist and the OVC project receives ongoing input and feedback from children which it is able to incorporate into project activities. Child participation procedures are documented and standards in child participation exist and are used in practice.	Children participate fully in project activities and the activities reflect the needs of the children as much as possible. Lessons and best practices in child participation are documented and shared. The organization's Child Participation approach offers a model which can be replicated.
	1	2	3	4	

Probing questions

1. Is there a mechanism for the organization to meet with the children to set priorities for intervention?
 - o *[This can be confirmed by looking at the minutes or any documented evidence of meetings.]*
2. Is there a child-friendly, enabling environment for child participation activities?
3. Are there documented procedures for child participation?
4. Is there a framework where the organization accounts to the children provided services under the project?
5. Has the project developed or adapted standards in child participation?

Area 8 Score: _____

¹ Children's participation is an informed and willing involvement of all children, including the most marginalized and those of different ages and abilities, in any matter concerning them either directly or indirectly. Children and their families should participate, to the fullest extent of their capacities, through the entire project cycle of planning, implementing, monitoring, and evaluating. Participation increases program responsiveness in the best interests of the child and his or her families, and improves the likelihood of making a measurable difference in their lives. This is one of the rights described in the UN Convention on the Rights of the Child.

Objective: To assess the comprehensiveness of services provided by the organization.

DOMAIN 1: ORGANIZATIONAL STRATEGY					
Area 9					
Referral Systems¹	There is no referral system set up. There is no list of other organizations/ providers/facilities providing services that OVC and their families can access.	Mapping of other service providers has been completed and there exists a list of organizations/ providers/facilities providing related or complementary services. There are no clear referral guidelines in place.	There are clear referral guidelines in place and referrals are being made. There exists a formal referral partnership with other service providers and documentation of referrals is available and able to capture all the referred clients.	There is a referral strategy in place that is operational. Referrals made are tracked and reported. The organization is able to monitor and evaluate the extent to which the referral network is achieving its intended objectives and meeting all clients' needed services.	The organization's referral system serves as a model that can be replicated.
	1	2	3	4	

Probing questions

1. Is there a referral system set up?
2. Have referrals been made to other providers for services not provided by this organization?
 - o *[Look for referral notes, client return forms, list of other providers, etc. that show existence of a referral relationship.]*
3. Is there a list of all the organizations providing OVC and related services in project areas?
 - o *[Check for a list of other organizations providing related services in the project area.]*
4. Is there a referral strategy? Is it implemented uniformly across the organization's OVC activities?
5. Is there a standardized referral form?
6. Have partners and staff been trained on how to carry out effective referrals?
7. Is there documentation of referred clients?
8. Is there means of verifying whether services were received by referred clients?
 - o *[This may include a feedback loop to track referrals, documentation of referrals.]*
9. Are there periodic meetings of network providers?
10. Do you monitor and evaluate the extent to which the referral network is achieving its intended objectives and meeting clients' needs?

Area 9 Score: _____

¹ Referral systems offer opportunities for case management in delivering comprehensive support to children. Identifying and coordinating multi-sectoral responses is important to make certain that all core interventions are available for children and families in need and that children and their families have access to interventions outside the purview of PEPFAR funds.

Objective: To assess the relevancy and effectiveness of trainings conducted by the organization.

DOMAIN 1: ORGANIZATIONAL STRATEGY

Area 10					
Skills Building	There are no project specific skills building activities being conducted.	There are some skills building activities being conducted and there is a process to address needs that meet overall project objectives.	Skills building activities are based on needs assessments. Appropriate, technically sound curricula are used and/or adapted. A documented skills building plan is in place.	Skill building activities include support supervision training (as appropriate). Appropriate and high quality curricula are used. There are mechanisms to evaluate the relevancy and effectiveness of the trainings. Functional support supervision structures are in place, and evidence that trainees are applying the skills acquired and are able to coach and mentor others. Refresher trainings are offered as needed. The skills building plan is updated regularly.	The organization has a high quality staff training and skills development process. The organization's Training approach offers a model which can be replicated.
	1	2	3	4	

Probing questions

1. Are there any project specific skills building activities being conducted?
2. Is there a process to generate skills needs? Are there structured skills needs assessment tools?
3. Are the skills building activities carried out based on a needs assessment? Are appropriate curricula used?
4. Is there a mechanism to evaluate the relevancy and effectiveness of the skills building activities conducted?
5. Is there a regular and functional support supervision structure in place?
 - o *[Check for availability of support supervision guide.]*
6. Are staff and/or partners trained in support supervision?

Area 10 Score: _____

Objective: To determine the capacity of leadership for the OVC project.

DOMAIN 1: ORGANIZATIONAL STRATEGY					
Area 11					
Leadership	Has no identified and committed OVC project leadership¹.	Has identified leadership at most levels of implementation who are responsible for OVC program management; leadership has some knowledge of OVC issues.	Has committed leadership with good experience and clear vision in providing OVC services at each level of implementation. Leadership needs some assistance to set up and lead strong systems for OVC service delivery.	Has committed leadership with full understanding of OVC issues and is able to provide strategic thinking and direction. Leadership is engaged in establishing, strengthening and expanding OVC services, as well as coaching and mentoring staff.	Has committed leadership at each level of implementation with full understanding of OVC issues and is able to train other organizations in running OVC programs. The organization's leadership approach offers a model which can be replicated.
	1	2	3	4	

Probing questions

1. Is there an identified leader or leadership team within the organization who is responsible for providing overall technical direction for the OVC program?
2. Does the identified leader(s) have technical expertise and experience managing OVC programs/services?
3. Does the leader(ship) sit on national/local OVC coordinating bodies?
4. Does the leader(ship) give technical guidance in OVC programming?
5. Is the leader(ship) engaged in capacity building for OVC programs?
6. Is the identified leader(ship) used as a resource by other OVC programs?

Area 11 Score: _____

¹ Regarding a 'committed leader(ship)' vs. 'experienced leader(ship)': a committed leader(ship) may be fully dedicated to the program and program improvement but lacks/has minimal OVC experience, while an 'experienced leader' is both fully committed and familiar with OVC issues.

Objective: To assess whether organizational activities can be sustained beyond the life of the project.

DOMAIN 1: ORGANIZATIONAL STRATEGY					
Area 12					
Sustainability¹	Project has no explicit sustainability plan and/or exit strategies in place.	The organization has identified the requirements for ensuring project sustainability.	The organization's activities reflect the emphasis on sustainability, and project leadership is able to identify areas for further consideration.	The organization's project activities fully reflect the emphasis on sustainability and/or there is an exit plan being implemented.	The organization has a clear vision for promoting sustainability and this is reflected in all its activities. Can serve as a resource for other projects.
	1	2	3	4	

Probing questions

1. What efforts are being undertaken to ensure services to OVC continue beyond the life of the project?
2. Does the organization have a sustainability plan for its activities beyond the life of the project?
3. Which sustainability approaches are being implemented by the organization?
4. Is the organization involved in strengthening networks and coordination?

Area 12 Score: _____

Total Domain 1 Points: _____

Domain 1 Score (Total Points / 12): _____

¹ PEPFAR's goal of building the long-term sustainability of OVC interventions requires planning for this transition and for the continuity of service delivery to and by the community.

Objective: To assess organizational capacity to collect and manage data accurately and ensure sharing with staff and key stakeholders.

DOMAIN 2: DATA COLLECTION, QUALITY ASSURANCE AND IMPROVEMENT, MANAGEMENT INFORMATION SYSTEM, FEEDBACK AND SHARING , AND USE FOR DECISION MAKING

Area 1					
Data Collection	The organization has no documented procedures to guide data collection at various levels.	The organization has documented procedures to guide data collection at the various levels, including appropriate tools. Tools have been reviewed to capture information required for PEPFAR reporting (i.e., appropriate indicators). Some information the organization is collecting is not used for either donor reporting or to inform project implementation. Data collection procedures adhere to concerns for confidentiality and protecting the personal information of the OVC and family	Data collection tools have been standardized to collect PEPFAR data across sub-partners and service delivery points and adhere to standards of confidentiality. This requirement is clearly documented in MoUs with sub-partners. The staff and community involved in data collection have been adequately trained and supervised in the use of the tools. The organization collects only relevant data.	The organization has a documented and fully functional procedure for data transmission (data flow plan). Staff and community involved in data collection have been adequately trained and supervised in use of the tools. Sub-partners collect and submit PEPFAR data as required.	The organization's Data Collection approach offers a model which can be replicated.
	1	2	3	4	

Probing questions

1. Is there is a documented data collection procedure¹ to guide data collection at various levels?
2. Are there tools for collecting data at the various levels²?
3. Are there mechanisms in place to avoid double counting (for example, Unique Client Identification)³?
4. Have the tools been reviewed to capture information required for PEPFAR indicators?
5. Does the organization have standardized tools across sub-partners and service delivery points?
6. Have staff been trained in the use of the tools?
7. Does the organization have documented procedures for data transmission (Data flow Plan) to and from various levels?

Area 1 Score: _____

¹ There is a list of operational definitions of what is being counted for each indicator (e.g., what constitutes a person receiving a service). All groups delivering the same services use standardized or compatible data-collection forms. Within all groups delivering the services, there are designated staff responsible for the review and validation of aggregated numbers prior to submission to the next level (i.e., it is in their job description).

² Various levels refer to household, community, sub county, district, regional and head office level.

³ The reporting system avoids double counting within each group delivering services [e.g., when an individual receiving identical or related services from the same group is improperly counted more than once] and across groups delivering similar services [e.g. when an individual receiving identical or related services from different groups is improperly counted more than once]. For example, an OVC receiving school-related expenses and/or nutritional support from different groups.

Objective: To assess the capacity of the organization to maintain quality of collected data.

DOMAIN 2: DATA COLLECTION , QUALITY ASSURANCE AND IMPROVEMENT, MANAGEMENT INFORMATION SYSTEM, FEEDBACK AND SHARING, AND USE FOR DECISION MAKING

Area 2					
Data Quality Assurance and Improvement	The organization has not identified requirements for having data quality assurance processes in place.	The organization has identified requirements for data quality assurance and has a data quality assurance process in place.	The organization has a data quality assurance process in place and is able to address gaps in data.	The organization has a data quality assurance process in place, and has identified a feedback mechanism to routinely assess quality in critical areas of service delivery. The feedback mechanism is known by relevant project staff.	The organization has established a data quality management system and identified quality indicators for routine assessment. It can serve as a resource for other projects.
	1	2	3	4	

Probing questions

1. Has the organization identified requirements for having data quality assurance processes in place?
2. Has the organization identified a strategy to address gaps in data?
 - o [Gaps refer to inadequate data or the missing link between data and the decisions to be taken, e.g. decision to procure consumables.]
3. Has the organization been able to address gaps in data and does the organization have the capacity for data management tasks?
 - [Tasks may include Excel format conversions, data cleaning, data aggregation and analysis.]
4. Has the organization identified a feedback mechanism (including all stakeholders) and a system to routinely assess quality in critical areas of service delivery?

	Yes	No	N/A	Comments
Organization has M&E plan with clearly specified M&E roles and responsibilities				
Has SOPs for data collection, tracking of clients' records & data storage				
Has SOPs for conducting data quality assessments, data validation & cleaning				
Has SOPs for aggregation & analysis of data				
Has SOPs for ensuring data security				
Staff have been trained on all the relevant SOPs				
SOPs are displayed and accessible for easy reference by all relevant staff				
There is a mechanism to ensure unique client identification across sites, services and longitudinally				
Tools are standardized across projects				
There is a clear data flow plan (with clear timelines for submission of data and provision of feedback)				
Data collection tools are updated to cater for variations in indicator requirements				
Data quality assessments are done to assess reliability, validity and accuracy of collected data				
Data review processes exist to ensure feedback for quality improvement				

Area 2 Score: _____

Objective: To assess if data is used to inform decision making processes within the organization.

DOMAIN 2: DATA COLLECTION, QUALITY ASSURANCE AND IMPROVEMENT, MANAGEMENT INFORMATION SYSTEM, FEEDBACK AND SHARING, AND USE FOR DECISION MAKING

Area 3					
Data Use for Decision Making	The organization and/or its implementing partners have limited or no historical (or baseline) data against which reports can be compared to help in decision making.	The organization and/or its implementing partners have a process for comparison of achievement against goals and past progress that results in plans to modify action or approach/ tools.	The management and staff of the organization and/or its implementing partners follow a procedure of time-bound corrective action and tracking achievements against plans in all areas of the intervention.	The organization and/or its implementing partners' current approach to implementation and/or the referral, community or demand generation activities carried out reflect greater effectiveness arising from data used for decision making.	The data collected and analyzed within the organization and/or its implementing partners is provided to stakeholders and partners in providing comprehensive HIV care and plans of external partners are modified with reference to data collected and reported by this organization.
	1	2	3	4	

Probing questions

1. Does the organization have historical (or baseline) data against which reports can be compared to help in decision making?
2. Does the organization have a process for comparison of achievement against goals and past progress that results in plans to modify action or approach/ tools?
 - o *[There should be a mechanism of triangulation of data sources for comparison.]*
3. Do the organization's management and staff follow a procedure of time-bound corrective action and tracking achievements against plans in all areas of the intervention?
4. Does the organization's current approach to implementation or the referral, community or demand generation activities reflect greater effectiveness arising from data used for decision making?

Area 3 Score: _____

Objective: To determine whether the organization networks and shares information with relevant stakeholders.

DOMAIN 2: DATA COLLECTION , QUALITY ASSURANCE AND IMPROVEMENT, MANAGEMENT INFORMATION SYSTEM, FEEDBACK AND SHARING, AND USE FOR DECISION MAKING

Area 4					
Feedback and Sharing	The data collected and reports made by the organization and/or its implementing partners are shared outside the organization, but not according to any documented plan.	The organization and/or its implementing partners have a plan to share data and reports with relevant staff and stakeholders and share this information.	The organization and/or its implementing partners have a plan to share data and reports with relevant staff and stakeholders and share this information. The organization solicits feedback from stakeholders.	The organization and/or its implementing partners have a plan to share data and reports with relevant staff and stakeholders and share this information. The organization solicits feedback from stakeholders. Summarized and period reports are also made to outside parties by way of success stories.	The data and findings of the organization are recognized in national reports and relevant journals. The data is applicable for comparison to national and PEPFAR measures and best practices and lessons learned are shared with other practitioners.
	1	2	3	4	

Probing questions

1. Has the organization shared data collected and reports made outside the organization?
2. Does the organization use data collection and analysis to inform non-data collection/analysis members of the implementation team and the partner community, if relevant?
3. Does the organization provide feedback on data collected and findings to all stakeholders and are summarized and periodic reports made to outside parties by way of success stories?
4. Does the organization have examples of external organizations referring to this organization's reports or changing their plans of implementation due to information shared by the organization?

Area 4 Score: _____

Objective: To assess the capacity of the organization to maintain quality of collected data.

DOMAIN 2: DATA COLLECTION , QUALITY ASSURANCE AND IMPROVEMENT, MANAGEMENT INFORMATION SYSTEM, FEEDBACK AND SHARING , AND USE FOR DECISION MAKING					
Area 5					
Management Information Systems (MIS)¹	The organization has a simple Management Information System to track project/ program data.	The organization has an MIS system which has built-in data quality & validation checks (manual & electronic).	The organization has an MIS system with built-in data quality and validation checks, and capacity for most specialized data retrievals.	The organization has an MIS system with built-in data quality and validation checks, and the capacity for most specialized data retrievals. The system has a documented and functional back-up procedure (computerized or manual) and there is a sufficient system for preventing unauthorized access.	The organization has a good MIS system with adequate data quality & validation checks. There is a sufficient system for preventing unauthorized access and the backup plan is adhered to. There is evidence of data backup activities. The system has built-in capacity for most specialized data retrievals.
	1	2	3	4	

Probing questions

1. Does the organization have a Management Information System to track clients/beneficiaries?
2. Does the system have built-in data quality & validation² checks (manual & electronic)?
3. Does the organization have a system for preventing unauthorized access?
4. Does the organization have a documented and functional back-up procedure (computerized or manual)?
5. Can the system generate reports?

Area 5 Score: _____

Total Domain 2 Points: _____

Domain 2 Score (Total Points / 5): _____

¹ Management Information System (MIS) refers to a planned system of collecting, processing, storing and disseminating data in the form of information needed to carry out the functions of management. In a way it is a documented report of the activities that were planned and executed. It also incorporates data quality assurance mechanisms, and should be utilized to provide data for decision making.

² There are quality controls in place for when data from paper-based forms are entered into a computer (e.g., double entry, post-data entry verification). At all intermediate levels at which data are aggregated, mechanisms/procedures are in place to reconcile discrepancies in reports. All reporting forms used for aggregating or analysis are available for auditing purposes at all levels at which data is being reported.

Objective: To assess the organizational knowledge about and level of nutrition and food security support provided under its program.

DOMAIN 3: OVC PROGRAMMING TECHNICAL CAPACITY					
Area 1: Nutrition and Food Security Support					
Nutrition and Food Security Support	Nutrition and food security activities are implemented but ad hoc. Staff do not have knowledge and skills in nutrition and food security¹.	Nutrition and food security activities are implemented. Food security and nutrition are reflected in organizational strategy and staff have adequate skills and knowledge in nutrition and food security.	Sufficient quantities of food are consistently available to OVC, and their households have adequate resources to obtain a sufficient quantity and quality of food for a nutritious diet that guarantees their short-term and long-term nutritional needs.	OVC households have sustainable livelihood initiatives for regular food support. OVC and their households are food secure with the required nutrition in accordance to age and circumstances.	The organization's model can be replicated by other OVC programs.
	1	2	3	4	

Probing questions

1. Do key staff have knowledge and skills in food security and nutrition?
2. Is food security reflected in the organizational strategy and plan?
3. Are OVC households provided with knowledge and skills on improved crop and animal husbandry to improve food security and nutrition?
4. Does the organization support households with agricultural inputs?
5. Does the organization link OVC households to sustainable livelihood initiatives for regular food support to avoid relapse?
6. Does the organization engage a broader network of key actors is to ensure effective leveraging of food and nutrition services?

Area 1 Score: _____

¹ Food security is defined as a situation in which “all people at all times have physical and economic access to sufficient food to meet their dietary needs for a productive and healthy life,” (USAID Policy Determination, 1992). Three components include: food availability, food access and food utilization. Routine assessment, referral and continued monitoring for nutrition include: supplemental food support for nutritionally vulnerable children and PMTCT clients, micronutrient supplementation, nutrition counseling, promotion of optimal infant and young child feeding, services to improve food security, school and after care feeding, support to household and community gardens, support to small scale agriculture activities.

Objective: To assess the organizational knowledge about and level of shelter and care support provided under its program.

DOMAIN 3: OVC PROGRAMMING TECHNICAL CAPACITY					
Area 2: Shelter and Care Support					
Shelter and Care Support¹	Some items like bedding and clothes are distributed to OVC households occasionally	OVC and their households have access to basic domestic items like clothing, water, bedding and sanitation equipment.	Program staff have knowledge and skills in shelter and care support for OVC. Alternative foster care is provided for children without adult supervision.	Needs related to protective shelter, clothing, access to safe water and sanitation facilities are met. Efforts are made to ensure that OVC live in a secure and safe environment that does not put them at risk of injury or stigma.	The organization's approach to shelter and care support serves as a model that can be used by other OVC programs.
	1	2	3	4	

Services related to shelter and care include:

- Support to child-headed households to maintain their homes;
- Provision of temporary shelter for children in transition;
- Provision of services to improve water and sanitation;
- Identifying potential care givers prior to parent/caregiver's death; and
- Referrals and access to programs that provide incentives for adoption or provision of foster care.

Probing questions

1. Do program staff have knowledge and skills in care and support for OVC?
2. Are OVC households provided with basic domestic items?
3. Is alternative foster care identified for OVC without adult supervision?
4. What efforts are made to ensure OVC live securely?

Area 2 Score: _____

¹ Shelter and care: The provision of basic commodities such as clothing, beddings and shelter to vulnerable children or institutions taking care of OVC.

Objective: To assess the organizational knowledge about and level of protection/legal aid support provided under its program.

DOMAIN 3: OVC PROGRAMMING TECHNICAL CAPACITY					
Area 3: Protection/ Legal Aid support					
Protection/ Legal Aid support¹	Some protection/legal aid activities are implemented but not guided by policy frameworks.	Protection/legal aid support activities are planned and implemented but staff have limited knowledge and skills in protection/legal aid support and protection/legal aid support is not reflected in the overall organizational plan and strategy.	Protection/legal aid support is reflected in the organizational plan and strategy, protection/legal aid activities are implemented and staff have adequate knowledge and skills in protection/legal aid support. However, there are no child protection policies in place.	The organization is offering/referring for a range of protection services. Program staff have adequate knowledge and skills in protection and legal aid support. The organization has child protection policies, procedures and guidelines. The organization has a written policy against abuse and exploitation of children, which clearly prohibits child labor and sexual activity between staff and children under 18 years of age. Children are free from physical and sexual abuse, neglect and exploitation and they are legally protected.	The organization's protection approach is a model that can be replicated by other OVC programs.
	1	2	3	4	

Probing questions

1. Is the organization offering any of the following child protection services: birth registration; support for inheritance claims, support in accessing government grants/social welfare support; support to child headed households to prevent sibling separation; assisting in removal of children from abusive environments; provision of support for survivors of sexual or physical abuse; education and messaging to prevent abuse?
2. Are protection activities guided by policy frameworks at the national and international level (e.g. UNCRC, Children's Act, Constitution, etc)?
3. Does the organization have child protection policies in place? Are staff oriented on these policies?

Area 3 Score: _____

¹ Protection/legal aid is an immediate response to circumstances and conditions that create gross violation of the rights of children by subjecting them to risks and hazards. Protection/legal aid aims at ensuring that OVC are free from physical and sexual abuse, neglect and exploitation and that they are legally protected.

Objective: To assess the organizational knowledge about and level of general health support provided under its program.

DOMAIN 3: OVC PROGRAMMING TECHNICAL CAPACITY					
Area 4: General Health Support					
General Health Support¹	Some health support services are provided but staff do not have adequate skills in health care support.	Health support services are provided but are not comprehensive. Staff have minimal skills in health care support.	The organization's project staff have adequate skills in basic health care. Active measures are taken to meet the general health needs of children at every age level. The Project disaggregates health requirements and interventions by age groupings.	OVC supported by the organization's project are able to receive comprehensive health services enabling them to be productive and achieve their greatest potential.	The organization's health support approach serves as a model that can be replicated by other OVC programs.
	1	2	3	4	

Probing questions

1. Do program staff have knowledge and skills in basic health care for OVC?
2. Does the organization implement any of the following health services: routine growth monitoring of OVC, provision of health insurance, provision of health education at the household or community level, prevention of malaria, provision of services to improve water and sanitation, assessment, referral and follow up for general health support services (e.g. immunizations)?
3. Does the organization refer OVC for preventive, curative, palliative and rehabilitative services?

Area 4 Score: _____

¹ Health: state of physical, mental and emotional well being that allows individuals to be productive.

Objective: To assess the organizational knowledge about and level of psychosocial support provided under its program.

DOMAIN 3: OVC PROGRAMMING TECHNICAL CAPACITY					
Area 5: Psychosocial Support					
Psychosocial Support¹	Some psychosocial activities are implemented but unplanned.	Psychosocial support activities are planned and implemented but staff have limited knowledge and skills in psychosocial support, and psychosocial support is not reflected in the overall organizational plan and strategy.	Psychosocial support is reflected in the organizational plan and strategy. Psychosocial activities are implemented and staff have adequate knowledge and skills in psychosocial support but there are no specific support frameworks and/or tools for psychosocial activities.	Psychosocial support is reflected in the organizational plan and strategy; staff have adequate knowledge and skills in psychosocial support. The organization has specific psychosocial support frameworks, tools, and activities (e.g. memory books, succession plan, recreation, and psychosocial counseling). Lessons learned and best practices in psychosocial support are documented and shared.	The organization's psychosocial approach serves as a model that can be replicated by other OVC programs.
		1	2	3	

Probing Questions

1. Do the organizational staff have knowledge and skills in psychosocial support?
2. Is psychosocial support reflected in the organizational strategy and plan?
3. Does the organization have psychosocial support frameworks and tools, e.g. memory books, succession plans, recreation facilities, etc?
4. Is the organization able to offer and differentiate psychological², social³ and spiritual⁴ support?

Area 5 Score: _____

¹ Psychosocial support is assistance given to OVC and their families to positively and meaningfully affect the psychological and social situation that impacts on their mental function and social behavior in relation to their families and to the to the society in which they live (adapted from Uganda OVC National Strategic Program Plan for Interventions).

² Includes: emotional health, disclosure support, stigma reduction, bereavement counseling.

³ Positive interpersonal relationships, alcohol and drug abuse reduced, gender violence reduced, succession plans carried out, integration of OVC in traditional support systems.

⁴ Pastoral/ spiritual care as requested by client (including by traditional healers).

Objective: To assess the organizational knowledge about and level of educational/vocational training support provided under its program.

DOMAIN 3: OVC PROGRAMMING TECHNICAL CAPACITY					
Area 6: Education/ Vocational Training support					
Education/ Vocational Training support¹	Some education support activities are implemented but no deliberate effort is made to ensure OVC enrollment and retention in education/vocational training.	Scholastic materials, tuition and school uniforms and other needs are provided to OVC. OVC at risk of dropping out of school are provided with psychosocial support.	Special efforts are made to ensure that OVC enroll, attend and remain in school. Staff have adequate skills and knowledge in educational support for OVC.	OVC progress through school and vocational or non-formal training. Children get the stimulation they need to develop normally.	The organization's education support approach serves as a model that can be replicated by other OVC programs .
	1	2	3	4	

Education support activities include:

- Facilitation to access early childhood development programs;
- Facilitation to access formal education systems;
- Facilitation to access literacy and numeracy skills;
- Facilitation to access to market driven vocational training; and
- Advice and support during transition from school to vocational training and to work.

Probing questions

1. What educational services are provided to OVC?
2. What efforts are made to ensure OVC enroll and stay in school?
3. Will the educational support enable OVC to progress through school or vocational training?

Area 6 Score: _____

¹ Education: formal and informal systems of information acquisition, skills building and technical experiences that are made available during childhood but may also involve adults seeking to acquire new skills.

Objective: To assess the organizational knowledge about and level of economic opportunity/strengthening support provided under its program.

DOMAIN 3: OVC PROGRAMMING TECHNICAL CAPACITY					
Area 7: Economic Opportunity/Strengthening Support					
Economic Opportunity/ Strengthening Support¹	Some income generating activities are implemented but they are not sustainable.	Income generating activities are implemented but staff do not have adequate knowledge in micro-enterprise development and management.	Program staff have adequate knowledge and skills in micro-enterprise development and management. Business development activities to promote entrepreneurship are implemented with OVCs and their households.	Basic needs of OVC and their households are met and households are linked to existing development programs. Economic activities can be sustained beyond the life of the project.	The organization's approach to economic strengthening serves as a model that can be replicated by other OVC programs.
	1	2	3	4	

Probing questions

1. Does the organization's staff have knowledge and skills in economic strengthening?
2. Which economic strengthening activities is the organization implementing with OVC and/or their households (vocational training, job opportunities, occupational counseling, start up resources, conditional grants, community based asset building, micro-finance, animal husbandry, other IGAs)?
3. Are OVC and their households trained in small business development?

Area 7 Score: _____

Total Domain 3 Points: _____

Domain 3 Score (Total Points / 7): _____

¹ Economic security is the ability and capacity of OVC and their households to sustain livelihoods over the medium- and long-term with or without short term emergency assistance.