Capacity Assessment Tool

Governance and Program Management

Current User: rconstant   Current Role: Admin   Current Domain: gf

Section 1: Background Information

IMPLEMENTER INFORMATION

Date of establishment of the entity.
Describe

Is it a legally registered organization?   Select...
Rationale:

What is the current mandate or purpose of the organization?
Describe

Does the organization have insurance or other liability protection?   Select...
Rationale:

Does the organization have mechanisms in place to track national regulatory and policy changes and a system to comply with such changes?
Rationale: Select...

Please summarize the main strengths and weaknesses on the overall section

Please identify key controls and challenges, if any, related to the above section which are or need to be addressed

LFA INFORMATION   Select...

Based on your knowledge of the country, systems, and the entity and considering any other relevant information (e.g. partner reports, in-country missions), please answer the questions below and provide an overall conclusion of the section.

COUNTRY TEAM INFORMATION   Select...

Based on your knowledge of the country, systems, and the entity and considering any other relevant information (e.g. partner reports, in-country missions), please answer the questions below and provide an overall conclusion of the section.

Are there any legal or contractual reasons why the PR could not enter into a grant agreement with the Global Fund and implement the grant?   Select...

Section 2: Management and Organization

IMPLEMENTER INFORMATION

Has the organization implemented a program of a similar financial scale? Describe.
Rationale: Select...

LFA INFORMATION   Select...

Based on the information provided by the implementer and/or based on your knowledge of the entity, and considering any other relevant information (e.g. partner reports, in-country missions), please provide an overall conclusion on the management and organization practices of the entity.

COUNTRY TEAM INFORMATION   Select...

Based on your knowledge of the country, systems, and the entity and considering the LFA's assessment as well as other relevant information (e.g. partner reports, in-country missions), please answer the questions below and provide an overall conclusion of the section.

Has the organization implemented a program of a similar geographic spread? Describe.   Select...

Rationale:

[ ]

Has the organization been responsible for achieving programmatic results of a similar complexity? Describe.   Select...

Rationale:

[ ]

Can the organization operate in key areas/regions where grant activities will be implemented?   Select...

Rationale:

[ ]

How does the organization ensure timeliness and completeness of reporting to the donor organizations?

[ ]

How does the organization engage with partners and relevant stakeholders (e.g. in the health sector)?

[ ]

Has the organization received technical assistance and implemented capacity building plans? Describe.   Select...

Rationale:

[ ]

Please summarize the main strengths and weaknesses on the overall section

[ ]

Please identify key controls and challenges, if any, related to the above section which are or need to be addressed

[ ]

QUART Questions

1.3.9 Delays in completing technical assistance and capacity-building activities, indications of ineffectiveness or lack of follow-up on these activities   Select...

4.2.5 - Inadequate PR engagement, leadership and coordination with partners, program stakeholders and other relevant actors in the health sector, and across grants and programs?   Select...

4.1.10 Indications that PR is not proactively reporting complete information, key programmatic events, and identified risks and issues, to CCM on a timely basis   Select...

4.3.5 Frequent and/or substantial delays, completeness or quality issues in PR deliverables and reporting (e.g. PU/DR, EFR, audit reports)?   Select...

4.3.6 History of general non-compliance with terms and conditions of Grant Agreement, including not entering appropriate SR agreements, poor SR understanding of responsibilities, or insufficient progress in satisfying Conditions and Management Actions   Select...

[ ]

Section 3: Governance structure, management practices and processes

Implementer Information

Is the organization's senior management well acquainted with the Concept Note and program implementation arrangements?   Select...

Rationale:

[ ]

How does the organization's senior management manage relationships with other parties and implementing entities (e.g. political bodies, CCM, contractors, SRs, etc.)?

[ ]

Does the organization have a program management unit/team dedicated to the implementation of the grant? Describe the composition and structure of the unit/team. If not in place yet, describe the plan for establishing a program management unit/team.

LFA INFORMATION   Select...

Based on the information provided by the implementer and/or based on your knowledge of the entity, and considering any other relevant information (e.g. partner reports, in-country missions), please provide an overall conclusion on the governance structure, management practices and processes of the entity.

[ ]

COUNTRY TEAM INFORMATION   Select...

Based on your knowledge of the country, systems, and the entity and considering the LFA's assessment as well as other relevant information (e.g. partner reports, in-country missions), please answer the questions below and provide an overall conclusion of the section.

QUART Questions

1.3.3 Insufficient capacity of the PR Program Management Unit (PMU) in coordinating / managing the program in collaboration with key stakeholders   Select...

4.2.1 - Weaknesses in organizational structure, position, and integration of the PMU within the PR organization and/or related government organizations (where applicable)   Select...

4.2.2 Evidence that PR does not have in place or does not effectively enforce appropriate governance and internal controls, including   Select...

[ ]

Describe the decision-making processes guiding the program management unit/team.

[ ]

Describe the processes that the program management unit/team follows to identify and manage risks associated with program implementation.

[ ]

Please summarize the main strengths and weaknesses on the overall section

[ ]

Please identify key controls and challenges, if any, related to the above section which are or need to be addressed

[ ]

operating procedures and control frameworks, compliance activities, internal and external audit requirements, and sufficient follow-up on issues identified

4.2.4 - Insufficient number, quality, or stability of PR senior leadership (including Board) and management, including indications of unmitigated conflict(s) of interest through relationships with CCM, SRs, Contractors, political bodies, or other implementing entities   Select...

Rationale/Description

[ ]

Section 4: Human resource policies/procedures and expert staff

IMPLEMENTER INFORMATION

Does the organization have a track record of recruiting, selecting, and retaining human resources?   Select...
Rationale:

[ ]

Does the organization have written human resources policies and procedures?   Select...
Rationale:

[ ]

How many staff/personnel are allocated to the implementation of the grant? If not allocated yet, please describe the plan and timelines for hiring additional staff.   Select...
Rationale:

[ ]

Do the staff/personnel have experience and expertise to perform assigned roles? Please describe if there is staff with health expertise (HIV/AIDS, tuberculosis and/or malaria) and cross-functional expertise (finance, procurement, legal, M&E).   Select...
Rationale:

[ ]

Do key individuals responsible for implementing the program have written job descriptions that incorporate responsibilities associated with the grant?   Select...
Rationale:

[ ]

Please summarize the main strengths and weaknesses on the overall section

[ ]

LFA INFORMATION   Select...

Based on the information provided by the implementer and/or based on your knowledge of the entity, and considering any other relevant information (e.g. partner reports, in-country missions), please provide an overall conclusion on the human resource policies/procedures and expert staff of the implementer.

[ ]

COUNTRY TEAM INFORMATION   Select...

Based on your knowledge of the country, systems, and the entity and considering the LFA's assessment as well as other relevant information (e.g. partner reports, in-country missions), please answer the questions below and provide an overall conclusion of the section.

QUART Questions
4.3.1 Insufficient PR or PMU staffing levels, skills, experience or knowledge of Global Fund reporting requirements?   Select...

Rationale/Description

[ ]

Please identify key controls and challenges, if any, related to the above section which are or need to be addressed

Section 5: Infrastructure and management information system

IMPLEMENTER INFORMATION

Does the organization have a functional IT system for internal (including provincial/district offices/ sub-recipients) and external communication?   Select...
Rationale:

Does the current information system have the capacity and dedicated personnel to collect and provide programmatic reports for the proposed program, including reports from sub-recipients? Describe.   Select...
Rationale:

Does the organization have physical facilities, office, IT equipment, transport, etc. to monitor grant implementation in key areas/regions of the country?   Select...
Rationale:

Please summarize the main strengths and weaknesses on the overall section

Please identify key controls and challenges, if any, related to the above section which are or need to be addressed

LFA INFORMATION   Select...

Based on the information provided by the implementer and/or based on your knowledge of the entity, and considering any other relevant information (e.g. partner reports, in-country missions), please provide an overall conclusion on the infrastructure and management information system of the implementer.

COUNTRY TEAM INFORMATION   Select...

Based on your knowledge of the country, systems, and the entity and considering the LFA's assessment as well as other relevant information (e.g. partner reports, in-country missions), please answer the questions below and provide an overall conclusion of the section.

QUART Questions
4.2.9 - Inadequate management information systems at PR level, or inadequate reporting infrastructure for SRs to report to PRs, to support effective governance, oversight and risk management   Select...

4.3.2 - Inadequate Management Information Systems at PR level and for reporting from SRs to PR, to support Global Fund reporting requirements?   Select...

Rationale/Description

Section 6: Risk management

IMPLEMENTER INFORMATION

What, if any, risk policies, processes and tools does the organization have in place and how are they being applied?

Has the organization engaged in any risk assessments provided by the Global Fund or other donor organizations, e.g.mapping the grant implementation arrangements and assessing risks across it? If so, how has this risk assessment impacted the organization's management processes, e.g. are grant management decisions more risk sensitive?   Select...
Rationale:

LFA INFORMATION   Select...

Based on the information provided by the implementer and/or based on your knowledge of the entity, and considering any other relevant information (e.g. partner reports, in-country missions), please provide an overall conclusion on the risk management policies and processes of the implementer.

COUNTRY TEAM INFORMATION   Select...

Based on your knowledge of the country, systems, and the entity and considering any other relevant information (e.g. partner reports, in-country missions), please answer the questions below and provide an overall conclusion of the section.

QUART Questions
4.2.3 - Lack of clear risk management responsibilities, policies, processes, activities, and tools within PR management   **Select...**

Rationale/Description

Section 7: Selection and capacity building of SRs

IMPLEMENTER INFORMATION

Does the organization have experience in selecting sub-recipients?   Select...

Rationale:

Are there procedures and criteria in place for a transparent selection of   Select...
sub-recipients? Describe the process and upload any supporting
documentation.

Rationale:

Is there a clear timeline for selecting SRs? Please state whether there are   Select...
any anticipated delays and/or major obstacles to the SR selection
process.

Rationale:

Does the organization have plans, including an agreed timeframe in   Select...
place to undertake sub-recipient capacity assessments?

Rationale:

Does the organization have staff with technical capacity to conduct the   Select...
sub-recipient capacity assessments, analyze findings and advise on
capacity strengthening or other appropriate measures?

Rationale:

Please summarize the main strengths and weaknesses on the overall section

Please identify key controls and challenges, if any, related to the above section which
are or need to be addressed

LFA INFORMATION   Select...

Based on the information provided by the implementer and/or based on your
knowledge of the entity, and considering any other relevant information (e.g. partner
reports, in-country missions), please provide an overall conclusion on the capacity of
the implementer to select and build capacity of selected sub-recipients.

COUNTRY TEAM INFORMATION   Select...

Based on your knowledge of the country, systems, and the entity and considering any
other relevant information (e.g. partner reports, in-country missions), please answer
the questions below and provide an overall conclusion of the section.

QUART Questions

2.2.3 Indications of inadequate SR selection process (including conflict of   **Select...**
interest, lack of transparency and competition), or lack of monitoring and
oversight of SRs regarding their use of GF funds (e.g. absence of PR
verification of SR statement of expenditures)

4.2.8 Previous incidence of PR not appropriately assessing and selecting   **Select...**
SRs e.g. accepting PRs with poor track records or unmitigated conflict of
interest), or exhibiting limited authority, ability, or interest to take
appropriate actions when poor management is identified at SRs

Rationale/Description

Section 8: Management and oversight of Sub-recipients

IMPLEMENTER INFORMATION

Does the organization have Operational Procedures and plans in place   Select...
for managing sub-recipients, including for monitoring the program
implementation at SR level and reviewing SR's financial and program
reports for completeness and technical soundness, to meet GF
requirements?

Rationale:

Does the organization have the resources, including human resources,   Select...
for programmatic and financial management and oversight of sub-
recipients?

Rationale:

LFA INFORMATION   Select...

Based on the information provided by the implementer and/or based on your
knowledge of the entity, and considering any other relevant information (e.g. partner
reports, in-country missions), please provide an overall conclusion on the capacity of
the implementer to provide management and oversight to sub-recipients.

COUNTRY TEAM INFORMATION   Select...

Based on your knowledge of the country, systems, and the entity and considering any
other relevant information (e.g. partner reports, in-country missions), please answer
the questions below and provide an overall conclusion of the section.

QUART Questions

2.1.1 Inadequately defined implementation arrangements between PR   Select...
and SRs including: unknown or unspecified SRs, undetermined SR budgets,
provision of lump sum budgets, and unresolved capacity gaps / capacity-
building issues

2.1.4 Inadequate SR monitoring systems and reporting triggers at PR level   Select...
to ensure timely use of funds

4.2.11 High complexity of grant implementation arrangements in terms of   Select...
number and/or geographic spread of PRs, SRs, and SSRs, access to SRs,

breadth / scope of activities

4.2.10 - Insufficient frequency and quality of PR communications, site   Select...
visits, other verification of program activities including high-quality SR
Audits, and follow-up on findings with SRs and SSRs

Rationale/Description

Does the organization have the technical capacity to provide training or   Select...
other assistance to sub-recipients during program implementation?

Rationale:

If not, does the organization have access to appropriate capacity   Select...
building resources that can be used to strengthen sub-recipient
capacities, as needed?

Rationale:

Describe the systems in place within the organization for early   Select...
identification of problems/capacity gaps and risks at sub-recipient level
and for initiating effective remedial actions?

Rationale:

How does the organization plan to/is monitoring the implementation of   Select...
identified remedial actions (e.g. capacity building)?

Rationale:

Please summarize the main strengths and weaknesses on the overall section

Please identify key controls and challenges, if any, related to the above section which
are or need to be addressed

Overall Assessment of the Governance & Program Management

LFA OVERALL RATING   Select...   **COUNTRY TEAM OVERALL RATING**   Select...

Executive summary of conclusions and recommendation   *Executive summary of conclusions and recommendation*
Based on your assessment of the implementer's capacities and systems against the relevant assessment requirements, please   Based on your assessment of the implementer's capacities and systems against the relevant assessment requirements, please
provide a rationale for the overall rating of the functional area and a summary of analysis/findings on the capacity of the   provide a rationale for the overall rating of the functional area and a summary of analysis/findings on the capacity of the
implementer to implement an assigned role in the program.   implementer to implement an assigned role in the program.

Governance LFA Recommended Action Plan

Action	Responsible	Start Date	End Date	Estimated Cost	Source of Funding

☐ - CT completeness approval

Governance Country Team Action Plan

Action	Responsible	Start Date	End Date	Estimated Cost	Source of Funding