



Organizational Capacity Assessment and Institutional Needs Assessment



Save the Children



AUSTRALIAN FEDERATION
OF AIDS ORGANISATIONS
Leading the community response to HIV

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LIST OF ACRONYMS

ADB	Asian Development Bank
AGM	Annual General Meeting
BOD	Board of Directors
CSO	Civil Society Organization
CSOA	Civil Society Organization Authority
FASB	Financial Accounting Standards Board
GAAP	Generally Accepted Accounting Principles
GNH	Gross National Happiness
GNHC	Gross National Happiness Commission
HIV	Human Immuno Deficiency Virus
HR	Human Resource
KAP	Key Affected Populations
KP	Key Population
LDC	Least Developing Countries
LGBT	lesbian, gay, bisexual, and transgender.
M&E	Monitoring and Evaluation
MOE	Ministry of Education
MOH	Ministry of Health
MOU	Memorandum of Understanding
NGO	Non-governmental Organization
OCAT	Organizational Capacity Assessment Tool
PBO	Public Benefit Organization
PLHIV	People Living with HIV
SOGIE	Sexual Orientation, Gender Identity and Expression
SOP	Standard Operating Procedure
SWOT	Strength, Weakness, Opportunities, Threats
TOR	Terms of Reference
WHO	World Health Organization
YKAP	Young Key Affected Population

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EXECUTIVE SUMMARY

Key population networks and community organizations are strategic to meeting the goals and objectives of HIV prevention and response. Empowering relevant KP networks and CSOs through capacity building and institutional development is important to ensure their ability to participate and contribute to the national HIV prevention and response. Reviews and assessments aimed at the achievement of Bhutan's 90:100:90 targets related to HIV all point to the need to build capacities of KP networks and organizations. Therefore, the objectives of the assignment and the ensuing reports are:

- to carry out a comprehensive holistic, multi-dimensional capacity assessment of the three key population related organizations - Rainbow Bhutan, Lhak-Sam and Chithuen Phendey Association. The assessment will ensure the required understanding of their current capacities, organizational development situation and related capacity building priorities and opportunities, that will lead to planned capacity building and institutional development actions.
- The second part of the assessment and report identified the issues related to stigmatization and discrimination in the health sector of Bhutan.

The study employed a mixed methods approach, given the use for a more qualitative nature of inquiries and responses that solicited explanatory narratives, as well as quantifying the categories. Quantitative inquiries sought opinions, perceptions and detailed accounts of experiences best captured by qualitative methods and graphically represented.

The scope and focus for the quantitative organization capacity assessment was guided by the Terms of Reference using the Organizational Capacity Assessment Tool (OCAT) originally developed by McKinsey to assess, identify, and prioritize the capacity building areas. The OCAT spreadsheet was adapted to the Bhutanese context reflecting its legal, governance, and operational environment for civil society organizations under the purview of national policy framework.

In Bhutan, the CSO Act was passed in 2007 to formalize the existence of civil society and further promote its growth in Bhutan. The umbrella Act has provided legal status to CSOs enabling them to apply for and use mobilize resource while recognizing such other legal instruments related to taxes, labour, revenue and audits. The CSO Authority was instituted and mandated to facilitate civil societies growth, oversee registrations and compliance and support linkages between the government and civil societies.

Lhak-Sam

- Lhak-Sam is the first network of HIV positive people in Bhutan established in November 2010 with the main goal of providing and promoting leadership, education and capacity building to people living with HIV (PLHIV) and their families; and establishing linkages with regional and international networks of PLHIV. Under the purview of the CSO Act of Bhutan, Lhak-Sam has developed its capacity in all six domains to achieve service delivery and program impacts in the last decade of its operations. It is currently implementing its second comprehensive strategic plan.
- Assessing the essential sub components of the major domains, Lhak-sam has immediate need to long-term capacity needs in its governance systems to build its credibility and accountability through a dynamic and committed governing board, build its human resources and financial sustainability for strategic focus, and improve its profile by building a robust network and partnership with an effective communication plan.
- If and when the current executive leaves the organization, it is essential that Lhak-sam continue its operations during the change and avoid unnecessary disruptions in its operations. There is a need for succession planning to transition the organization. Since this is a board level

obligation, it needs to be added to the board's terms of reference to look into possibilities of developing executive talent internally (cross-train existing staff) or adopt other best practices such as strengthening the executive committee and its terms of reference for critical decision making in the absence of an executive head.

- Strategic direction nine (to strengthen information management system and research activities) need to be reviewed and redefined to incorporate a broader framework for knowledge management (use of technology and processes) for strategic communication planning.
- Lhak-Sam need to develop a strategic framework and model on networking and partnership building that supports accomplishing shared goals through formal contracts and agreement and other such international and national best practices.
- Review the human resource development section, and draft a separate HR policy and plan with a dedicated and trained HR personnel to carry out targeted human resource capacity assessments and plan budget and approaches for recruiting and retaining staff through skills building, benefits, recognition, career advancement. The plan should include volunteer management to take advantage of a pool of experts within the group.
- A fundraising strategy with dedicated personnel is a critical aspect of the organization's financial and program sustainability and thereby realize priorities five and six of the strategy document.

Rainbow Bhutan

- Rainbow Bhutan was established in 2016 to build a unified network of people working towards its vision of promoting diversity in all aspects of its mission and objectives. Its purpose is to promote social, psychological, physical, economic, and legal wellbeing of individuals who identify themselves as lesbian, gay, bisexual, transgender and intersex and other Key Affected Populations (KAPs) which also includes Young Key Affected Population (YKAPs), youth and adolescents.
- Rainbow Bhutan is working towards establishing itself as a Public Benefit Organization under the CSO Act. As a young and informal organization with limited financial and human resources, the organization faces a series of key challenges in all six domains - implementing its strategic plans, building its governance, and delivering effective services, programs and projects that are sustainable.
- To expedite the process of registration, it is recommended that Rainbow Bhutan hire a paid or voluntary legal expert to prepare and undertake the necessary steps to expedite the process.
- For a robust governing body, the governance manual adopted from Lhak-Sam should be reviewed and updated to outline specific responsibilities as well as the rights and obligations of the board members.
- It is recommended that the organization establish an Interim Board to meet the requirements of the CSO registration, assess the board level skills requirement of Rainbow Bhutan, and take on the responsibility to identify and obtain committed board members. The interim board should be tasked with constituting a diverse board with advisory expertise identified and needed for Rainbow Bhutan including members from its constituencies.
- There is an immediate need to recruit a finance personnel to oversee, manage and maintain accounting capable of generating financial reports for both internal and external stakeholders; carry out banking, undertake accurate and regular reconciliations, prepare, monitor and review budgets and cash flow projections, and ensure periodical auditing as per the Act once Rainbow becomes a legally registered organization.
- It is advisable to keep the number of policy documents and procedural manuals to a minimum to avoid unnecessary bureaucracies. On the other hand, it is recommended that Rainbow draft a financial procedures policy document and a human resource management policy document. As a member-based organization, there is potential for Rainbow Bhutan to draw human

resources from its membership base Rainbow Bhutan is also highly dependent on volunteers and their contributions to its mission, therefore, its human resource plan must include volunteer recruitment and management.

- Rainbow Bhutan needs to review the strategy document and develop action plans and budgeting against which to measure progress, and help continuity or sustainability of intended programs by providing staff and network with a reference point while evaluating its success and lessons.
- There is a need to train existing staff and recruit a finance personnel to oversee, manage and maintain accounting capable of generating financial reports.
- As per its strategic plan, there is a critical need to draft a resource mobilization strategy.
- Rainbow Bhutan expressed a priority need for **data management system** (hardware and software) to improve storing capacity, data security, organization, access, and utilization.
- Networking and communication are key for building trust and engaging members for Rainbow Bhutan to realize its mission. **A networking and communication strategy** is necessary corresponding to strategic direction 2 of the strategic plan document.

Chithuen Phendey Association (CPA)

- Under the guidance of His Majesty's Secretariat, CPA was established in 2010 in Thimphu with a mission to become a premier civil society organization that spearheads and promotes drug and alcohol-free society in Bhutan. To fulfil the Royal vision, CPA focuses on three-pronged comprehensive approach - prevention, rehabilitation treatment and social reintegration to combat alcohol and drug related issues and provide support to the affected people in injecting a new lease of life. Over the last decade, CPA has been able to build its capacity as a legally registered PBO working on governance, planning operations, and sustainability drives as per the CSO Act requirements and towards achieving its goals and objectives. However, there are key challenges resulting from inadequate human resources and financial capabilities.
- In addition to the existing governing documents required by the CSO Act, a key internal organizational governance element for CPA is to draft a **governance manual** to underpin issue of governance and leadership, and to improve its accountability. The document will serve as an instruction manual for the governing board with indexed content on standard provisions, authority, functions, especially considering duties and responsibilities, commitment and skills required by the organization.
- The assessment recommends that CPA review its existing policies and procedures and draft separately, a finance and accounting policy and a HR policy that include clear and precise, systematic best practices that embrace transparency, accountability, and professionalism. As CPA is better placed in utilizing volunteers and its talent pool to support its plans and programs. Therefore, including volunteer management in the service manual with the objective of establishing an outstanding volunteer program would lend CPA both credibility and cost effectiveness.
- There is a need for CPA to review and revise the strategy document before it is endorsed by the board.
- In line with its fourth core program area on ensuring organizational sustainability, CPA needs to draft a fundraising plan to achieve the outcomes, and move away from reliance on project funding of donors which is often restrictive and leaves little opportunities for core operational capacity development.
- Considering the quantity and types of data and information generated through its programs and projects, it is recommended that CPA develop a database management system (software,

hardware and skills) for systematic recording and management including projects, cases, services, surveys and research outputs to target and generate information and reports as required. This should effectively lead to a **targeted communication plan** and implementation for networking, building partnerships, fundraising, advocacy and education.

- Chithuen Phendey Association also needs to develop a **networking strategy** defined at different levels and types of alliances sought for the purpose of the organization (eg. partners, affiliates, membership, sponsors, international, national, local).

PURPOSE OF THE STUDY

2. Key population networks and community organizations are strategic to meeting the goals and objectives of HIV prevention and response. Empowering relevant KP networks and CSOs through capacity building and institutional development is important to ensure their ability to participate and contribute to the national HIV prevention and response. Reviews and assessments aimed at the achievement of Bhutan's 90:100:90 targets related to HIV all point to the need to build capacities of KP networks and organizations. Therefore, the objectives of the assignment and the ensuing reports are:
 - to carry out a comprehensive holistic, multi-dimensional capacity assessment of the three key population related organizations - Rainbow Bhutan, Lhak-Sam and Chithuen Phendey Association. The assessment will ensure the required understanding of their current capacities, organizational development situation and related capacity building priorities and opportunities, that will lead to planned capacity building and institutional development actions.
 - The second part of the assessment and report identified the issues related to stigmatization in the health sector of Bhutan.

APPROACH AND METHODOLOGY

3. The study employed a mixed methods approach, given the use for a more qualitative nature of inquiries and responses that solicited explanatory narratives, as well as quantifying the categories. Quantitative inquiries sought opinions, perceptions and detailed accounts of experiences best captured by qualitative methods and graphically represented.
4. The scope and focus for the quantitative organization capacity assessment was guided by the Terms of Reference using the Organizational Capacity Assessment Tool (OCAT) originally developed by McKinsey to assess, identify, and prioritize the capacity building areas. The OCAT spreadsheet was adapted to the Bhutanese context reflecting its legal, governance, and operational environment for civil society organizations under the purview of national policy framework. In terms of scoring, the assessment was categorized into six main topical issues with the assessment scale running from Stages 1 to 3 -
 - 1=embryonic stage/basic; (Scoring less than 35 percent)
 - 2=moderate/growing (Scores between 36 and 75 percent)
 - 3= mature/robust organization (Scores between 7 and 100 percent)

Domains	Objective/Rationale
<i>Governance and Leadership</i>	To assess the clarity of the organization’s mission and mandates by reviewing its guiding principles, structure and oversight mechanisms.
<i>Administrative Structure and System</i>	To assess the organization’s capacity to develop and use key policies, procedures, and systems to manage its operations and functions.
<i>Human Resources</i>	To assess the organization’s ability maintain its skilled staff/volunteer workforce and to manage operations and staff time in order to implement quality programs.
<i>Financial Management</i>	To assess the organization’s accountability and sustainability through the quality of the organization’s financial system and policies and procedures and the staff’s knowledge of the system.
<i>Program Management</i>	To assess the organization’s ability to provide comprehensive programs to meet its strategic goals and mission through program/project design and implementation, and monitor and evaluate performance.
<i>Networking and Knowledge Management</i>	To assess the organization’s ability to build alliances, partnerships and network through effective communication and relationship building.

5. The consultant developed a set of broad questions to guide three focus group discussions and additional in-depth interviews with validation of facts. The questions addressed six key organizational dimensions: governance (including leadership), administrative systems, human resources, financial management, program management; and networking/partnership and management.

Table 2: Key Questions, Indicators, and Sources of Information

Key Domains and Objectives	Key questions	Sources of Information
<p>Governance and leadership: To assess the clarity of the organization's motivation, purpose, and stability by reviewing its guiding principles, structure, and oversight mechanisms.</p>	<p>Does the organization have adequate leadership and governance structure in careful adherence to relevant national laws, acts, rules and requirements?</p>	<p>Vision and mission statements, by-laws, articles of association, Memorandum of Association, CSO Act (sec.44 -47), TOR for Board members, meeting minutes, succession plan, certification of legal registration etc; Labour & Employment Act, Income Tax Act.</p>
<p>Administration, structure & system: To assess the organization's capacity to develop and use key policies, procedures and systems to manage its general operations and functions.</p>	<p>Are the organization's administrative, structure and systems sufficient to development key policies, procedures, operations to achieve its mandates, goals and vision.</p>	<p>Policy and procedures manuals; samples of administrative forms.</p>
<p>Human resources: To assess the organization's ability to maintain a satisfied and skilled staff/volunteer workforce and to manage operations and staff time in order to implement quality programs.</p>	<p>Does the organization have adequate human resources, skills, and capacity to implement quality programs</p>	<p>Staffing plan, recruitment policy and guidelines, personnel manual, job descriptions, volunteer/intern policy and compensation policy, vacancy and turnover data, retention policies, performance appraisals.</p>
<p>Financial management: To assess the quality of the organization's financial system and policies and procedures and the staff's knowledge of the system.</p>	<p>Is the organization's financial system - policies, procedures, budget planning, and staff knowledge/skills adequate and accountable to meet donor and stakeholder needs?</p>	<p>Financial manual, accounting journals, chart of accounts, payment vouchers, staff training plan, signatory policy/authority matrix, budget, budget tracking sheet, financial reports, strategic plan.</p>
<p>Program management: To assess the organization's ability to provide comprehensive programs that meet beneficiaries' needs, involve the community in design and implementation, define and use standards, and monitor performance.</p>	<p>Does the organization have sufficient strategic program direction, planning, implementation, monitoring and evaluation. Is resource mobilization sustainable?</p>	<p>Strategic plan, operational plan, stakeholder list and analysis, resource mobilization plan, workplans, reports, M&E plans.</p>
<p>Communication, partnership & knowledge management Having policies on proper documentation and reporting enables the organization to build institutional memory. Disseminating factual and analytical reporting contributes to building a reputation that can attract donors and partners.</p>	<p>Does the organization have adequate policy/procedures to document, communicate, and build & share knowledge; to strengthen networking, collaboration & partnerships</p>	<p>Community involvement strategy, service delivery standards, project or annual plans, MOUs with partner organizations.</p>

Data Collection Methods and Tools

6. The consultant carried out a literature review of existing organizational documents including plans, strategies and policies to identify organizational priorities vis-à-vis its vision, mission and goals. This also included appraisal of national policy documents such as the Civil Society Act that pertain to legal, governance, labour, accounting and financial rules. Key information sources relevant to each domain of the assessment were identified and conducted accordingly.
7. The consultant also carried out a survey based on key and specific questions using the OCAT to arrive at a qualitative assessment of each organization's status-quo in terms of the six domains. The survey collected crucial information on gaps, issues, and challenges faced by the organization. A focus group discussions and in-depth interviews with the organizations and their key personnel/stakeholders were carried out for validation informing the assessment on gaps, issues, challenges that needed to be addressed in order to arrive at a strategic direction for capacity building and organizational development.
8. A pre-set questionnaire shared by Save the Children collected data and information on identification and prioritizing of key stigma and discrimination issues faced in the current health care setting.

Data Analysis, Validation and Reporting

9. The analysis was performed according to the six proposed dimensions for each of the three organizations to allow identification of key capacity development areas. The consultant aggregated and summarized the key results of the survey with graphical representation. It was validated and allowed for descriptive content and/or narrative analysis to summarise the findings through focus group discussions, interviews, and literature review to formulate conclusions and recommendations for each organization using expert judgement in addition to the perception trends generated from the surveys and interviews.

Background to the Organizations

The Policy Framework for CSOs in Bhutan

In Bhutan, a civil society organization (CSO) is a local not-for-profit organization that does not form part of the government but plays a significant role in complementing the government's efforts towards socio-economic development and environmental conservation while mobilizing and sensitizing communities; drawing attention to new development challenges that require political attention; encouraging greater development effectiveness by promoting accountability; and becoming service providers in areas of need, such as education, health, and governance (Bhutan Foundation).

CSOs play an important role in complementing the government in education, health, gender equality and women's empowerment, child care and youth development, environmental and cultural preservation, and private sector development (ADB). The CSO Act of Bhutan was passed in 2007 to formalize the existence of civil society and further promote its growth in Bhutan. Consequently, the CSO Rules and Regulations was drafted in 2010 and revised in 2017 to support the operations of the Act. The umbrella Act has provided legal status to CSOs enabling them to apply for and use mobilize resource while recognizing such other legal instruments related to taxes,

labour, revenue and audits. The CSO Authority was instituted and mandated to facilitate civil societies growth, oversee registrations and compliance and support linkages between the government and civil societies.

CSOs in Bhutan are distinguished based on the purpose for which they have been established or their work of focus and with the enactment of the Civil Society Act (2007), CSOs are categorized as either Public Benefit Organizations or Mutual Benefit Organizations based on the criteria of social benefit to public at large or benefit extending to their members.

Lhak-sam

10. Lhak-Sam (BNP+) is the first network of HIV positive people in Bhutan established in September 2009 by a group of people living with HIV in Thimphu. Lhak-Sam was registered as a civil society organization (CSO) on 26th November 2010 with the main goal of providing and promoting leadership, education and capacity building to people living with HIV (PLHIV) and their families; and establishing linkages with regional and international networks of PLHIV. Its long-term vision is to create a society unconditionally free from myths, fear, prejudice, discrimination, and criminalization, where all people shall have opportunities for a meaningful livelihood.
11. Guided by the overall objective of creating and promoting a strong support system based on solidarity, social networking and people's participation for addressing and taking collective action towards effective response to HIV and AIDS and its negative impacts", Lhak-Sam drafted its second five-year strategic plan with nine strategic focus. The plan spans across developing its governance, operational capacities, networking and partnerships, to providing services to its target population through planned programs.

Rainbow Bhutan

12. Rainbow Bhutan was established in 2016 to build a unified network of people working towards its vision of promoting diversity in all aspects of its mission and objectives. Rainbow Bhutan defines diversity as the consideration of representation in policy, governance, management and operations from all relevant demographic categories including, without limitation, gender identity, sexual orientation or gender expression. Rainbow Bhutan's goal is to serve as a role model for diversity inclusive demographics representation of the national community in its leadership, members, committees and volunteers.
13. Rainbow Bhutan purpose is to promote social, psychological, physical, economic, and legal wellbeing of individuals who identify themselves as lesbian, gay, bisexual, transgender and intersex and other Key Affected Populations (KAPs) which also includes Young Key Affected Population (YKAPs), youth and adolescents.
14. With a vision to celebrate gender diversity, Rainbow Bhutan's aims to
 - Build a unified network of people that stimulates minds and empowers community competence.
 - Create a supportive environment where individuals with diverse gender & sexuality are acknowledged by families, friends and communities alike.
 - Enable a legal and social conduct of speech, advocacy, information and learning on SOGIE issues.
 - Enhance access to Health Care services and Education irrespective of sexual orientation, gender identity & expression.

- Pledge to be part of our Nation building and contribute towards Gross National Happiness (GNH).

Chithuen Phendey Association

15. Chithuen Phendey Association (CPA) began as a pet project of His Majesty the King in 2010 and was borne out of his deepest concerns for the rising issues of drugs and alcohol. A study by World Health Organization in 2016 concluded that Bhutan has the highest percentage of alcohol and drugs use in the age group of 13-17 years, while the National Drug Survey 2017 reported that the mean age of those engaging in drugs has increased to 24 years as compared to 22 years in 2009. Emphasizing the need to reach out to the young people in order to prevent and reduce issues posed by drugs and alcohol, CPA works toward providing comfort for the recuperates and empower them with skills development trainings using local resources and expertise. Thus, under the guidance of His Majesty's Secretariat, CPA established its office in 2010 in Thimphu and in fulfilment of the Royal vision, CPA focuses on three-pronged approaches: *prevention, rehabilitation treatment and social reintegration (post-rehabilitation)* to combat alcohol and drug related issues and provide support to the affected people in injecting a new lease of life. Today, CPA is the only civil society in the country with the sole mandate of addressing drugs and alcohol issues.
16. Its vision is to become a premier civil society organization that spearheads and promotes drug and alcohol-free society in Bhutan. Its mission is to implement crosscutting programs in preventing, rehabilitating and reintegrating those affected by drugs and alcohol to live a productive, prosperous and happy life.

LHAK-SAM

Status, Gaps & Key Challenges

Governance and Leadership

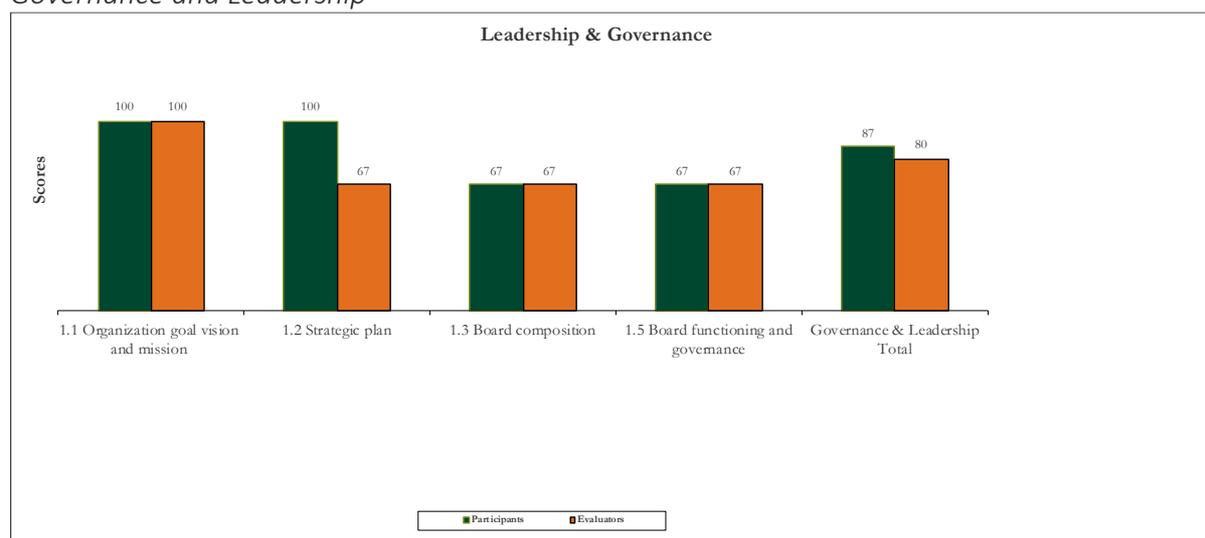


Figure 1: Lhak-Sam Governance & Leadership

17. Overall, Lhak-Sam is a strong and vibrant organization with high-level commitment from the executive team. The governance and leadership domain scored a total of 87 percent and 89 percent by the participants and evaluator respectively averaging at 84 percent. The scores indicate that Lhak-Sam has a robust governance and leadership. For best practices however, there are areas that need improvements in the sub-domains of board composition and its functioning.
18. Lhak-Sam was registered as a Public Benefit Organization (PBO) with the Civil Society Organization Authority on 26th November 2010. As per the CSO Act and the corresponding CSO Rules and Regulations, all requirements such as the Memorandum of Understanding and Articles of Association are in place and available on demand.
19. As per the required provisions under the Act, Lhak-Sam developed its governance manual outlining the purpose of the organization, the institutional arrangements and governance structures to promote transparency and accountability. The document clearly defines its mission and vision leading to its strategic planning processes. More importantly, it stipulates board composition, its tenure, roles and responsibilities; quorum and frequency of board meetings.
20. Although the manual is specific on both the composition and functioning of the board of directors, the current Board composition does not meet the requisite minimum of five members (see CSO Rules and Regulations) and therefore, Lhak-Sam has not conducted its quarterly board meetings as per section 57 of the Act. Lhak-Sam also reported the need for diverse board members with relevant expertise such as a member with a legal background to advise on some of the key roles of the organization. Another major issue with board

compositions as with any non-profit organization is the challenge of recruiting and retaining qualified independent voluntary board members, particularly due to time commitment issues and a reluctance to participate as the organization is associated with social stigma as well as the nature of human rights issues the organization has to tackle.

21. The governance manual also lacks the mention of an effective succession planning in its governance manual in anticipation of a transition of the long-tenured executive.
22. Lhak-Sam has an **executive committee** for day to day decision making and functioning of the organization; and a **fiscal committee responsible** for financial administrations that include ensuring that financial procedures are followed as regards procurement, audits, budgeting and financial reporting.
23. Lhak-Sam is currently carrying out its second five-year strategic plan (2018-2022) developed through a consultative process. The plan outlines nine key strategic priorities and corresponding planned interventions with target indicators, a comprehensive monitoring and evaluation plan for funded programs, and costing for each priority area. The plan is comprehensive defining the necessary conditions and assumptions (SWOT) and trends that may affect the organization with measurable and SMART indicators for each intervention. The strategic plan is uploaded on the website and available in print communicating it to its stakeholders. The plan is however, due for a review and update to assess its progress and conduct midcourse corrections if necessary.

Administration Structures and Systems

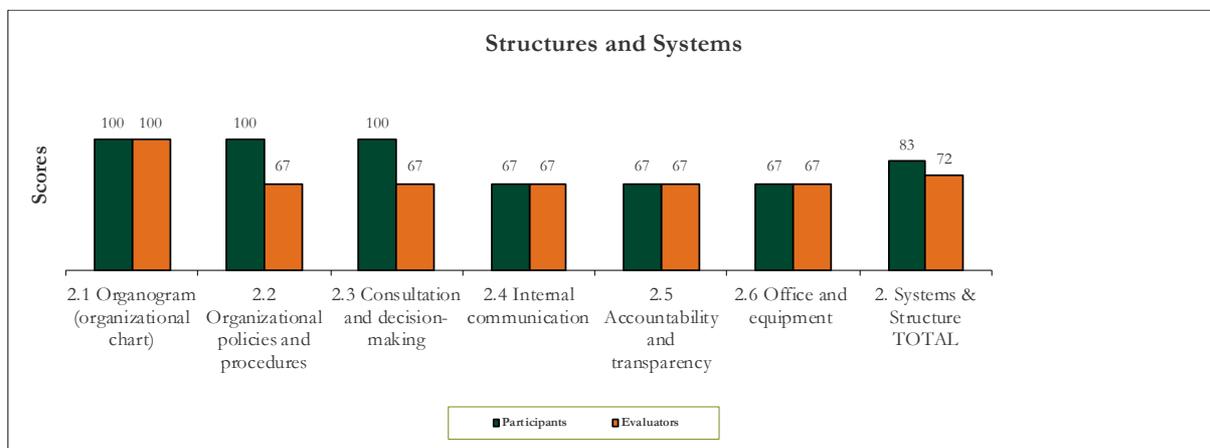


Figure 2: Lhak-Sam Administrative Structure & System

24. Overall, the administrative system and structure scored 83 percent and 78 percent respectively by the survey participants and evaluator. Although, organization falls under stage three in terms of its administrative structures and systems, it is noteworthy to take into account the weaknesses in the internal communication capacity, improving on accountability and transparency, and building on the existing policies and procedures, to achieve a more robust system, taking into account the six sub domains contributing to this category:
 - a. organizational reporting lines in the form of an organogram corresponding to the strategic direction and plan;
 - b. organizational policies and procedures for all operational areas;
 - c. decision making processes;
 - d. internal communication;

- e. accountability and transparency and;
 - f. adequate office space and equipment.
25. The organizational structure is based on horizontal linkages of different program areas reporting vertically to the executive and Board, and visually represents the chain of command. The organogram has identified all required positions to carry out its strategic plans effectively but a few positions are still vacant due to insufficient operation (salary) costs. The Executive Committee outlined in its governance manual serves as the formal structure for consultation and decision making. Decisions are then presented to the Board for finalization and endorsement.
 26. In addition to the governance manual, there is a comprehensive Standard Operating Procedure (SOP) manual outlining the personnel policies such as code of conduct and discipline, compensation and benefits, work schedule, promotion, travel and leave, grievances and disciplinary procedures, performance review and various administrative procedures. Although, it includes a chapter on human resources development, there is need to review the content.
 27. The existing Finance and Accounting Manual is based on international standards and Lhak-Sam guides its overall finance and accounting procedures. However there are issues in keeping up with the prescribed standards such as paying compensation schemes in the Bhutanese context. There is also a need to review and update the risk mitigation and the M&E framework and develop appropriate monitoring tools.
 28. Lhak-Sam lacks an IT strategy due to which information and data storage and updating has been a challenge.
 29. Lhak-Sam is currently housed in a private apartment building with sufficient space and office facilities, basic equipment, and utilities for the existing staff. However, most of its equipment are outdated and need to be replaced.

Human Resource Management

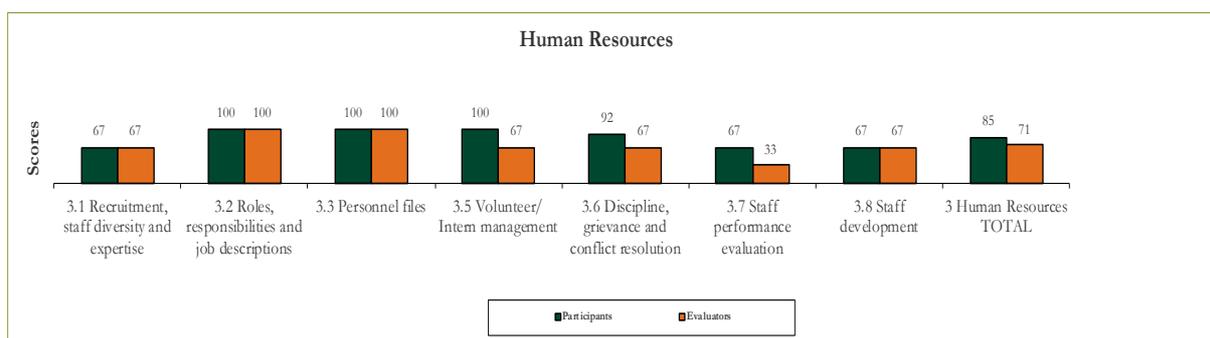


Figure 3: Lhak-Sam Human Resource

30. The participants scored an overall 85 percent and the evaluator scored 71 percent on the human resources category with seven sub-domains including recruitment and diversity, job description, personnel and volunteer management, performance appraisals and training and staff development.
31. Strategic direction eight of the strategy document is focused on enhancing the secretariat’s capacity including short term trainings and seeking volunteer services. The SOP is comprehensive in personnel policies and includes a chapter on human resource development

through recruitment and short and long-term trainings/skills development. However, due to insufficient core operational budget, there is limited personnel and expertise and existing staff are multi-tasking to fulfil the roles and responsibilities prescribed for positions that are vacant. At the same time, staff attrition has been a constant issue over the years.

32. The standard operating procedure require staff performance evaluation and staff development but both sub-domains are lacking in implementation. There is no targeted training for the existing staff with corresponding budget, although they participate in short pro bono term trainings organized by external agencies. Performance evaluations are not carried out as prescribed in the administrative policy document.
33. A progressive trend for Lhak-Sam is the existing network of LGBT members, PLHIVs and other key populations who contribute voluntary work at the organization or its field offices. Their contributions to the organization are recognized and honoured through certification.

Financial Management

The objective of this section was to assess the state of the accounting system, budgetary systems and financial control and inventory management systems of Lhak-Sam. The assessment scored an overall 97 percent and 91 percent by the participants and evaluator, respectively.

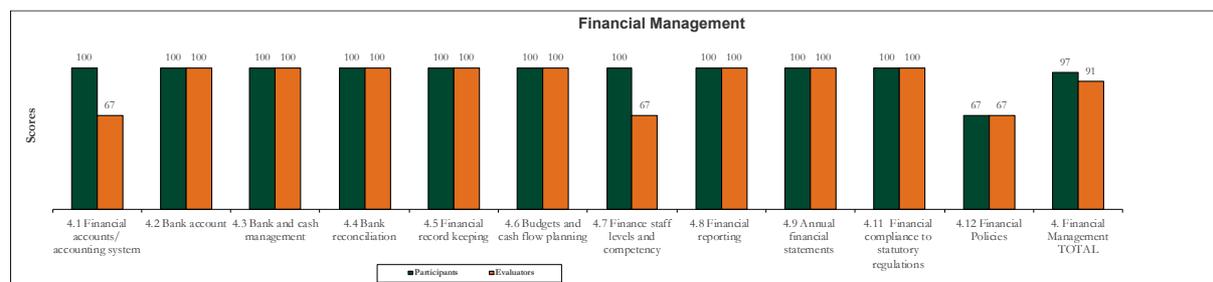


Figure 4: Lhak-Sam Financial Management

34. Lhak-Sam follows its Finance and Accounting manual, a comprehensive guide capturing significant aspects of internationally recognized accounting policy, concept, convention, principles, and standards such as GAAP. The manual defines internal control system, budget and expenditure processes, fixed assets and depreciation, local and international travel procedures, procurement, reporting, auditing, tax, and fraud policy. It captures the financial requirements of the CSO Act. However, there is need for review and updating the manual to make it contextually applicable to Bhutan.
35. There is also a need for a qualified finance personnel and train existing finance and accounting staff to oversee the entire finance and accounting procedures and carry out the prescribed finance and accounting process in the manual.

Program Management

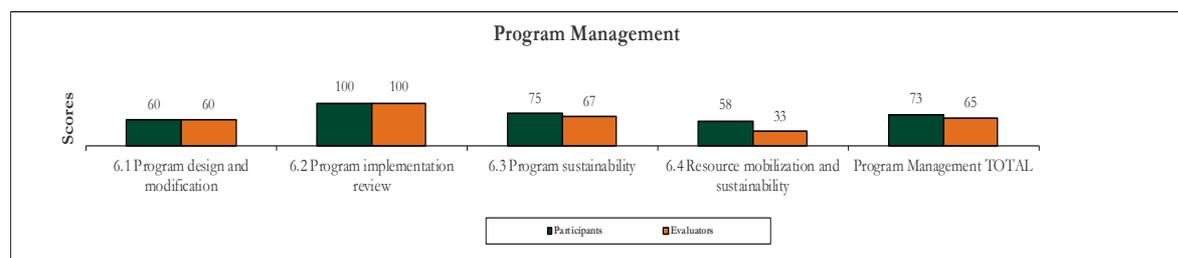


Figure 5: Lhak-Sam Program Management

36. Program management was assessed on six sub-categories of design and modification; implementation and review; sustainability in terms of ownership; resource mobilization, and M&E sub-components. The overall score for participants was 73 percent and the evaluator scored 65 percent averaging at 69 percent indicating that Lhak-Sam needs to work on most aspects of program management with a focus on program sustainability.
37. Lhak-Sam's program design and implementation are based on its five-year strategic plan translated into operational activities in the form of detailed workplans. Based on requirements for project funding contracts, it is able to regularly identify the program gaps to create new activities in response to the needs identified by the communities. Activity takes into account community feedbacks, recommendations and learnings to improve the next program and fulfil the strategic directions and goals. Programs are carried out in line with the project timeline and logical framework. All changes in activities are made in concert with the donor agency. Financial reports and progress reports are generated and furnished on the basis of respective contracts.
38. While ongoing projects and programs are funded through donors, strategic directions five and six (5 & 6) of the strategy document identifies the need for a long-term financial sustainability plan with a resource mobilization strategy. Key interventions identified for sustaining itself and the program include microcredit packages, skills development, organic farming, investments, grant writing, corporate sponsorships, and an endowment fund. However, it still lacks fundraising strategy and dedicated personnel to plan, identify, and which is currently spearheaded by executive director carried out in conjunction with other program personnel.
39. The M&E framework currently monitors and assesses projects that are budgeted and as required by funding partners/donors. There is need for reviewing the framework, updating and integrating it into program implementation to carry out assessments and measure successes and impacts beyond the funded projects.

Networking and Knowledge Management

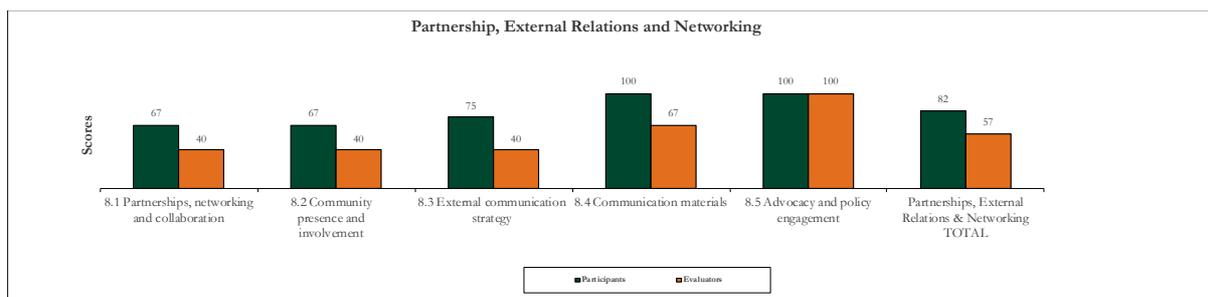


Figure 6: Lhak-Sam Networking

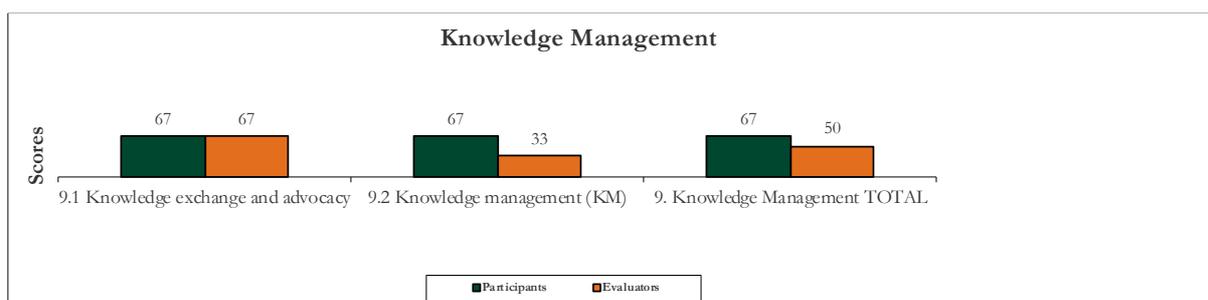


Figure 7: Lhak-Sam Knowledge Management

40. Lhak-Sam is fairly well known as an HIV organization among its target populations, policy makers and relevant partners and network organizations. At the national level, it has working relationships with the Ministry of Health, the Gross National Happiness Commission, and the Ministry of Education, the dzongkhags and gewogs at the sub national level. It has a credible relationship with its beneficiary targets such as the PLHIV groups and other non-profit groups working towards similar objectives.
41. There is inadequate resources and a lack of personnel dedicated to networking and partnership building with partners and stakeholders through an effective networking framework that clarifies boundaries of work and grows and engages them meaningfully in working towards the shared goals.

Conclusions and recommendation

42. Under the purview of the governing policy document, there is an immediate need to identify and recruit potential board members to meet the required minimum numbers, and conduct board meetings to avoid delays in critical decision making. Considering that the trend of potential pool of national board members are often senior officials with multiple roles and responsibilities, an alternative strategy for building a diverse board may include looking into a pool of younger but diverse professionals who are seeking to acquire leadership/directorship experience and to share their knowledge to complement the existing members. It is recommended that Lhak-Sam draft specific terms of reference for a more ‘targeted’ board members to be integrated into its governing policy before constituting the next board of directors.
43. If and when the current executive leaves the organization, it is essential that Lhak-Sam continue its operations during the change and avoid unnecessary disruptions in its operations. There is a need for succession planning to transition the organization. Since this is a board level obligation, it needs to be added to the board’s terms of reference to look into possibilities of developing executive talent internally (cross-train existing staff) or adopt other best practices such as strengthening the executive committee and its terms of reference for critical decision making in the absence of an executive head.
44. Strategic direction nine (to strengthen information management system and research activities) need to be reviewed and redefined to incorporate a broader **framework for knowledge management** (use of technology and processes) for strategic **communication planning**.
45. There is a need for Lhak-Sam to seriously consider strengthening its network (see strategic direction three) through a strategic framework and model on networking and partnership building that supports accomplishing shared goals through formal contracts and agreement and other such international and national best practices.
46. **Review the human resource development** section, and draft a separate HR policy and plan with a dedicated and trained HR personnel to carry out targeted human resource capacity assessments and plan budget and approaches for recruiting and retaining staff through skills building, benefits, recognition, career advancement.
 - As an organization with limited financial resources and a good network of volunteers from its membership pool, it is recommended that Lhak-sam include a volunteer policy

and procedures as part of its human resource planning to make the best use of the available skills and expertise while providing training and supervision.

47. A fundraising strategy with dedicated personnel is a critical aspect of the organization's financial and program sustainability and thereby realize priorities five and six of the strategy document. The plan should effectively identify resource needs, potential donors, and diversify sources of funding (social enterprising, grant writing, membership drive etc) taking into account current national and global funding environment.

RAINBOW BHUTAN

Status, Gaps and Key Challenges

Governance and Leadership

48. Although Rainbow Bhutan has been operating for the past two years, after bifurcation from Lhak-Sam, it is still in the process of registering with the CSO Authority which means, it cannot function and avail some of the benefits of a formal CBO including tax exemptions, access to public and private grants, liability protection, and grow its identity and credibility in effect towards its vision and mission.
49. Rainbow Bhutan's mission provides a summary of the organization, a clear direction that distinguish itself as an entity to serve the LGBT community.
50. The existing Board Policy Manual is borrowed from Lhak-Sam and is the overarching policy document that underpins its governance through organizational arrangements, guidelines and governance structure to facilitate transparency, accountability and participation of members. The document serves as an instruction manual for the Board and the executive body and defines the duties, authority limits, and principal operating procedures for the board and board members, executive and the secretariat. It essentially specifies board operations including composition/number, office terms and tenure, meeting terms and quorum, financial/budgetary matters, and amendments. It also contains the organizational structure (organogram) with clear reporting lines.
51. In terms of board composition and functioning, Rainbow is still in the process of identifying and constituting its board members based on the board policy manual. They face similar issues in recruiting board members who meet the needs of Rainbow Bhutan and are committed to its vision and mission.
52. The Welfare Board is an independent body that functions under the care of President and the Treasurer. Its main function is to carry out member registration and to deliver welfare package to both paying and non-paying members according to their guidelines. It is also responsible for collecting membership fees and to maintain records. The welfare Board also consist of two independent auditors who monitors the accounts of the Welfare Board.
53. Rainbow Bhutan came about as an offshoot of Lhak-Sam with its own vision and mission to celebrate gender diversity and aims to promote social, psychological, physical, economic, and legal wellbeing of individuals who identify themselves as lesbian, gay, bisexual, transgender and intersex and other Key Affected Populations (KAPs) which also includes Young Key Affected

Population (YKAPs), youth and adolescents. Based on its goals and mission leading to a long-term vision, a concise strategic plan was drafted with six strategic directions:

- a. Sustainability (operations, resource mobilization)
 - b. Strengthening network (regional offices, care packages, collaboration, community mapping)
 - c. Capacity building (in-house, members, partners)
 - d. Policy change and reforms (access to services, evidence building)
 - e. Emotional and physical welfare (community centres, accessible communication for members)
 - f. Safety and security (communication channel for field workers)
54. Although the plan is clear on its directions, it is unclear on the process of drafting the strategy including consultations with primary stakeholders and beneficiaries. It also lacks a situation analysis of internal and external opportunities and threats (SWOT), corresponding action planning with measurable indicators, operating budget, communicating the plan, and monitoring and evaluation for each component of the plan. There is a need to review the plan to integrate the missing components especially including costed action plans, and monitoring and evaluation for quality assurance.

Administration Structure and System

55. Rainbow Bhutan has a functional organizational chart that includes job titles, units/departments and clearly defines reporting structures and relationships and serves as a chain of command. It includes a board of directors with a chair and a minimum of five members including the secretary and the treasurer, an independent welfare board, an executive head and a secretariat supported by the program director and finance and administration director. All other positions fall under the two broad departments of program and finance and administration.
56. Internal communication takes place on an informal level using social media applications, face to face meetings, emails, shared folders etc.
57. The Service Rules and Regulations Manual (2019) is the overarching operational policy document drafted for a more focused process of internal control and daily operations. It integrates code of ethics/conducts, recruitment and appointment, grading and working hours, pay and allowances, training, promotions, travel and leave, retirement and benefits. However, the manual misses out on confidentiality, considering the nature and sensitivity of members, conflict of interest terms, performance evaluation processes, equal employment opportunities, anti-harassment, substance abuse, and grievances.
58. The financial and accounting manual (2018) of Rainbow Bhutan tracks income and expenditure, workflow, provide checks and balances, and ensures accurate reporting. As it was adapted from Lhak-Sam's finance and accounting policy, there is a need to revisit and edit the errors in organization names and titles, and update the document to suit the needs and context of Rainbow Bhutan.
59. Rainbow Bhutan lacks a human resource policy – an essential organizational capacity building process to improve its administrative and program functioning.

Human resources management

60. The service rules and regulations adapted from Lhak-Sam’s Standard Operating Procedure provides staffing (hiring) guidelines and personnel rules and regulation that govern the staff.
61. Rainbow Bhutan does not have a human resource plan in line with its strategy. Although the service rules and regulations manual has a section on recruitment and appointment it lacks detailed procedural guidelines on recruiting and appointment.
62. Recruitment of volunteers and interns are done on an ad-hoc basis and lacks a policy on systematic tasks (job description), training, supervision, and recognition.
63. Rainbow Bhutan is grossly understaffed with five core staff looking after the entire operations and programs. There is a need to prioritize human resource planning for core operations as well as programs as follows:

Table 3: Rainbow Bhutan Human Resource Capacity Needs

Area of Support	Priority Capacity Needs
Core operations	Salary and equipment for existing staff
Management	Leadership and strategic planning
	HR management and development training
Program	Child safeguard, fraud and corruption
	Program/project management
	Grant writing and budget planning
	M&E
Finance and Administration	Financial management
	Accountancy
	Procurement and inventory
Data and Information	Information and communication
	Web management
	Database management
Advocacy and communication	Public speaking and presentation
	community mobilization and facilitation
Care and support	advocacy planning, campaign design and management
	Peer based counseling
	Sexual and reproductive health rights
	community based monitoring
	HIV service packages

Financial Management

64. The financial and accounting manual was adopted in 2018 and guides financial report on financial information about the performance, financial positioning, and accounts for cash flow of Rainbow Bhutan. It tracks income and expenditure, work flow, provides checks and balances, generates reports gearing towards the CSO Act. The manual is standardized and in compliance with the Financial Accounting Standards Board (FASB) in the USA, as an international accounting standards-setter since it is adopted from Lhak-sam.
65. Although the financial manual sets the standards for finance and accounting matters it lacks:

- a. Qualified finance and accounting personnel to effectively carry out the procedures systematically as prescribed in the manual.
 - b. A master budget that includes operating and overhead costs as well as projects and programs in line with its strategic priorities/focus.
66. Since Rainbow is not legally registered with the CSO Authority, it is not eligible for auditing by the Royal Audit Authority.

Program Management

67. Programs and projects are limited due to insufficient financial and human resource capacity. There is need for a program manager to oversee the linkages between the strategic plan and program management - project design, planning, funding, and implementation utilizing the M&E framework to complete the project cycle. There is need for training existing program staff and/or recruit a program manager to oversee the linkages between the strategic plan and program management and project cycle management - project design, planning, funding, and implementation utilizing the M&E framework to complete the project cycle.
68. Recognizing the need to become a sustainable organization, a core direction of the strategy document is focused on mobilizing resources. However, Rainbow lacks a fundraising strategy with dedicated personnel that understands the local and international funding environment and generate diverse funding base. Resource mobilization is also limited by a number of factors namely:
- c. Its registration status - Rainbow Bhutan is not eligible to raise funds formally;
 - d. Bhutan's ratio of LGBT to its population is low and therefore the corresponding share of international funding opportunities are low.
 - e. Additionally, as Bhutan graduates as an LDC, it will limit international funding opportunities in the near future.

Networking and Knowledge Management

69. Rainbow is focusing on basic information collection such as identification of key population and area (including census), their contacts, and social and economic status. The data is used for outreach and communication. Rainbow is limited to anecdotes and stories, and survey data that does not necessarily support evidences for policy change and program interventions. Data and information are also limited on sex workers as this key population is not forthcoming in informing and updating their contact information.
70. There is a need for a **data management system** to improve storing capacity, data security, management and utilization. At the moment, information is stored on google drive with access shared by three personnel. Hard copies of field information are retained with the person collecting information.
71. Networking, outreach strategy, and effective communication within the key population are critical to Rainbow Bhutan's mission. Due to externalities such as discrimination and stigmatization, and inadequate capacity as an emerging organization, Rainbow Bhutan has not been able to build the trust, solidarity, and consensus building within the LGBT communities or externally to move forward with its strategic direction.

Conclusions and recommendation

72. Rainbow Bhutan needs to fulfill the registration and establishment requirements under Chapter 5 of the CSO Act and Chapter 7 of the CSO Rules and Regulations. These include:
- a. Articles of association
 - b. Memorandum of Association
 - c. Board resolution authorizing the registration
 - d. Asset declaration of founder (form 5)
 - e. Detailed three-year plan (form 6)
 - f. Commitment by all trustee and senior staff members (form 7)
 - g. Declaration form 8
 - h. Code of ethics and such other requirements.

To expedite the process of registration, it is recommended that Rainbow Bhutan hire a paid or voluntary legal expert to prepare and undertake the necessary steps to expedite the process.

73. For a robust governing body, the governance manual adopted from Lhak-Sam should be reviewed and updated to outline specific responsibilities as well as the rights and obligations of the board members. It should essentially become the instruction manual for the board members to carry out its functions within the expected average amount of time dedicated to the organization.

Table of Content
Article 1. Name of Organization with emblem
Article 2. Status of the Organization (describe its registration, attach certificates, MoU)
Article 3. Mission statement
Article 4. Objectives
Article 5. Values and Principles
Article 6. Organizational Structure with roles & responsibilities
Article 7. Finance
Article 8. Property of Rainbow Bhutan
Article 9. Dissolution of Organization (exit strategy)
Article 10. Interpretation of the Governance Manual
Article 11. Approval of the Governance Manual
Appendix
- Terms of Reference
- Meeting minutes template

Figure 8: Index of Governance Manual

74. Apart from being a requirement under the CSO Act, the success of Rainbow Bhutan is dependent on a well-functioning board of directors. Rainbow starts out as an organization with newly articulated mission and vision and it needs board members with experience and expertise to advise on the challenges and opportunities that the CSOs in Bhutan faces. It is recommended that the organization establish an Interim Board to meet the requirements of the CSO registration, assess the board level skills requirement of Rainbow Bhutan, and take on the responsibility to identify and obtain committed board members. The interim board should be tasked with constituting a diverse board with advisory expertise identified and needed for Rainbow Bhutan including members from its constituencies.
75. There is an immediate need to recruit a finance personnel to oversee, manage and maintain accounting capable of generating financial reports for both internal and external stakeholders; carry out banking, undertake accurate and regular reconciliations, prepare, monitor and review

budgets and cash flow projections, and ensure periodical auditing as per the Act once Rainbow becomes a legally registered organization.

76. It is advisable to keep the number of policy documents and procedural manuals to a minimum to avoid unnecessary bureaucracies. On the other hand, it is recommended that the following two organization policy documents are drafted separately and exclusively with headings, sub-headings and indexed to make it clear for referencing until the contents are fully internalized by those responsible for overseeing their implementation.

- *A financial procedures policy document: the policy document will outline the financial management procedures of the organisation and specify the roles and responsibilities of staff and governing body members.*

Best Practices - Purpose of financial policy

- *The BOD can show that the organisation's assets are safe and that checks and controls have been implemented.*
- *The organisation and its reputation is protected against financial mismanagement by staff or governing body members.*
- *The interests of the beneficiaries of the organisation, its employees and the governing body are protected.*
- *Their respective roles and responsibilities of BOD, executive, and financial staff are clarified.*
- *There is appropriate segregation of responsibilities for the approval and execution of expenditure.*
- *Financial decisions are reviewed, assessed and considered before they are taken.*
- *The relevant accounting regulations, standards and legal requirements are complied with.*

- A human resource management policy document: As with the financial policy document, it is advisable to have a single human resources management policy document that brings together all the organisation's policies on the management and development of its people or human resources.

HR Policy elements

- *Equal opportunity and diversity*
- *Terms and conditions*
- *Selection and recruitment*
- *Performance management*
- *Confidentiality and conflict of interests*
- *Grievance procedures*
- *Staff development*
- *Disciplinary procedures*
- *Health and safety*
- *Prevention of bullying and harassment*
- *Managing volunteers and interns*

Figure 9: HR Policy Elements

77. As a member-based organization, there is potential for Rainbow Bhutan to draw human resources from its membership base Rainbow Bhutan is also highly dependent on volunteers and their contributions to its mission, therefore, its human resource plan must include volunteer recruitment and management integrating (i) clear, defined purpose and roles of volunteer(s); (ii) job descriptions for each volunteer positions; (iii) recruitment procedure; (iv) training and orientation, appraisals and recognition; (v) records and documentation of resources and time. This in turn would become a pool of potential applicants for paid employment as the organization grows in program and size.

78. Rainbow Bhutan needs to review the strategy document and develop action plans and budgeting against which to measure progress, and help continuity or sustainability of intended

programs by providing staff and network with a reference point while evaluating its success and lessons. The plans should carefully lay out how the strategic goals will be accomplished with specific objectives, or specific results corresponding to each strategic goal, responsibilities, timelines that translates into the annual work plans/operational plans. The plans should include budgets breakdown necessary to implement the annual plan.

79. There is a need to recruit a finance personnel to oversee, manage and maintain accounting capable of generating financial reports for both internal and external stakeholders; carry out banking, undertake accurate and regular reconciliations, prepare, monitor and review budgets and cash flow projections, and ensure periodical auditing as per the Act once Rainbow becomes a legally registered organization.
80. As per its strategic plan, there is a critical need to draft a resource mobilization strategy. It should be a strategic priority process of the core institutional development plan and include –
 - assess and understand national and international nonprofit funding environment and opportunities;
 - identify diverse resource mobilization base.
 - planned resource mobilization that is mission-driven (as opposed to ad-hoc and donor driven);
 - build skills in grant writing, handling face-to-face meetings and communicating key messages;
 - design, implement and monitor resource mobilization activities
81. Monitoring and evaluation should be part of a program planning and management process. An M&E framework with tools should be incorporated into the strategic planning for accurately measuring results. For immediate needs, program staff should be trained on M&E processes with the given framework and tools.
82. Rainbow Bhutan expressed a priority need for **data management system** (hardware and software) to improve storing capacity, data security, organization, access, and utilization.
83. Networking and communication are key for building trust and engaging members for Rainbow Bhutan to realize its mission. **A networking and communication strategy** is necessary corresponding to strategic direction 2 of the strategic plan document.

Status, Gaps and Key Challenges

Governance and leadership

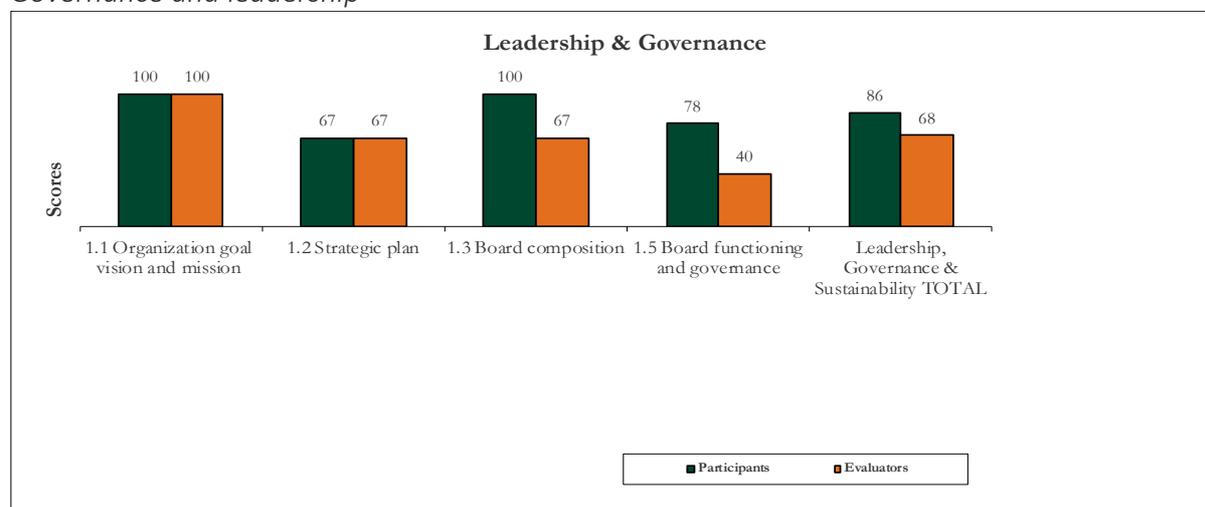


Figure 10: Chithuen Phendey Governance & Leadership

84. CPA participants scored an overall 86 percent on the leadership and governance category while the evaluator scored 77 percent. The sub-domains assessed indicate inadequacies mostly in terms of board meetings and functioning especially making critical decisions such as endorsing the strategic plan.
85. CPA was legally registered with the CSO Authority of Bhutan in 2011 under the patronship of His Majesty the King. As per the CSO Act, CPA has adhered to most of its clauses related to governance, planning, operations, and sustainability drives.
86. Its goals and missions “to implement crosscutting programs in preventing, rehabilitating and reintegrating those affected by drugs and alcohol” are in line with its long-term vision of “becoming a premier civil society organization that spearheads and promotes drug and alcohol-free society in Bhutan.”
87. The Board Policy manual is the overarching policy document guiding the organization’s governance structure and processes. It includes an organizational structure with clear reporting lines and chain of command, board composition and tenure, meeting and quorum, roles and responsibilities, obligations and entitlements. The board is supported by an executive committee and the secretariat with specific roles and responsibilities.
88. Currently, CPA Board does not meet the minimum number required as per the CSO Act. There is need to recruit a combination of professionals with fiscal and legal backgrounds who are committed to the organization’s mission and vision. The board has not been able to meet as per the requirements of the CSO Act or make critical decisions such as reviewing and endorsing the strategic plan. CPA also reported time constraints among its board members and fulfil the required quorum and quarter meetings as per the CSO Act.
89. The board policy documents does not reflect succession planning in the event the current executive leaves considering the circumstance where the executive is the critical bridge between the organization and the board, partners, and stakeholders.

CPA has a written strategic plan (2020-2025) outlining its the context, vision and mission, organizational structure, past activities and way forward in the form of core programs and activities. The **strategic plan** scopes narrowly around four strategic targets and lacks critical processes and organizational development dimensions –

- lacks the process of developing the strategies (whether or not there was adequate consultation process to identifying the scope and core programs);
- lacks a critical analysis of the context including external and internal threats and opportunities that may help or hinder plan implementation; this would have brought about key organizational capacity issues to incorporate within the plan;
- lacks a costed plan of action with required resources including personnel, and an effective monitoring and evaluation plan for quality control.

Administrative Structure and System

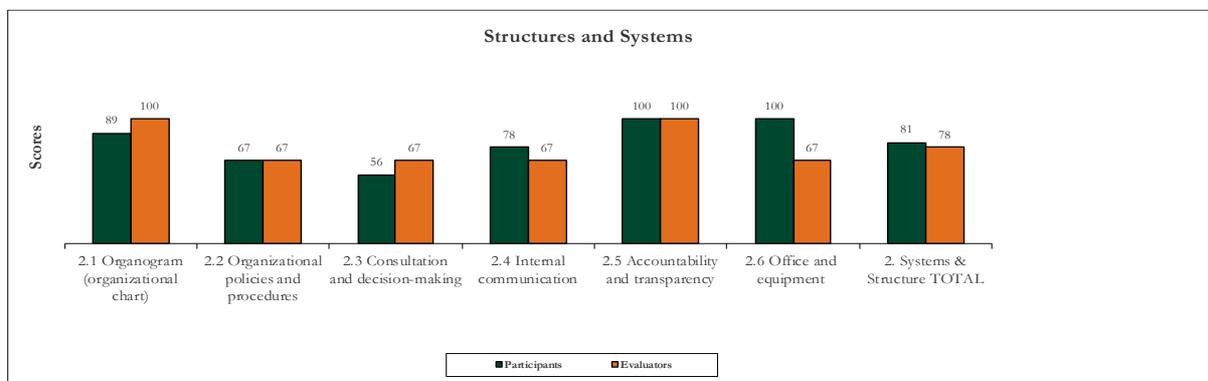


Figure 11: Chithuen Phendey Administrative Structure & System

90. Overall, the administrative structure and systems scored 81 percent and 78 percent by the participants and evaluator, respectively.
91. CPA scored relatively well on accountability and transparency, an important criterion for its credibility. Its organizational structure is clear, visibly showing lines of reporting and chain of command. It also defines the roles of those charged with pursuing its mission – the board of directors, committees, staff, and members.
92. CPA’s existing organizational policy is a single document – the ‘financial and human resource guidelines.’ It scopes narrowly around governance, service rules, human resource development and very little on finance and accounting procedures. While a single document to underpin the organization’s finance and operations is inadequate, the manual is outdated and needs revision to include emerging issues, trends, and challenges that the organization and its staff faces. CPA has grown both in programs and structure since the drafting of the manual and therefore, there is a need for a more comprehensive and inclusive document on administrative structures and management procedures to include emerging issues, trends, and challenges that the organization and its staff faces.
93. For an effective internal control system, a separate financial and accounting manual needs to be drafted following non-profit best practices and in compliance to the statutory requirements for transparency and accountability of a growing organization.
94. The assessment indicated a need for a more formal and structured processes for consultation among members and staff of the organization leading to more effective decision making on

issues that directly affect the stakeholders (eg: AGM, staff meeting, common medium/platform to communicate)

Human resource management

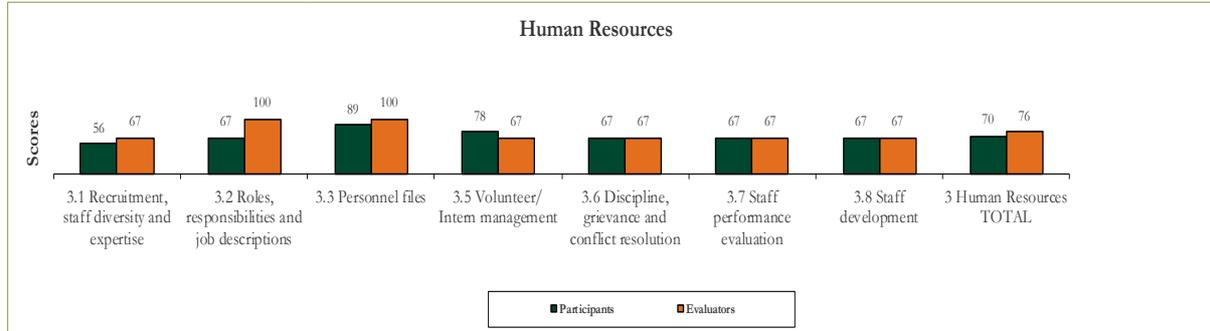


Figure 12: Chithuen Phendey Human Resource

95. The human resource category scored an overall 70 percent and 71 percent with an average 70.5 percent indicating issues in the seven sub categories of recruitment procedures, personnel management, performance evaluation and development.
96. Although, the staffing policy is integrated in the finance and HR guideline, there is no comprehensive human resource planning to encompass the requirements of the entire organizational programs and programs outlines in the strategy. The assessment revealed inadequate human resources with existing staff multi-tasking with or without the required skills and qualifications. Key issues pertaining to human resource management also include -
- Inadequate targeted recruitment (right skills);
 - Insufficient skills development for existing staff; and
 - Performance evaluation is ad-hoc and informal.
97. Similar to Rainbow and Lhak-sam, CPA has a large pool of members, beneficiaries, and resident service recipients, with diverse technical and non-technical background including IT and other vocational skills who contribute to the organization. There is need for a formal policy and procedure for volunteer management and utilize the skills in a sustained manner.
98. While CPA has adequate office space, equipment are outdated and need replacement or updates.

Financial Management

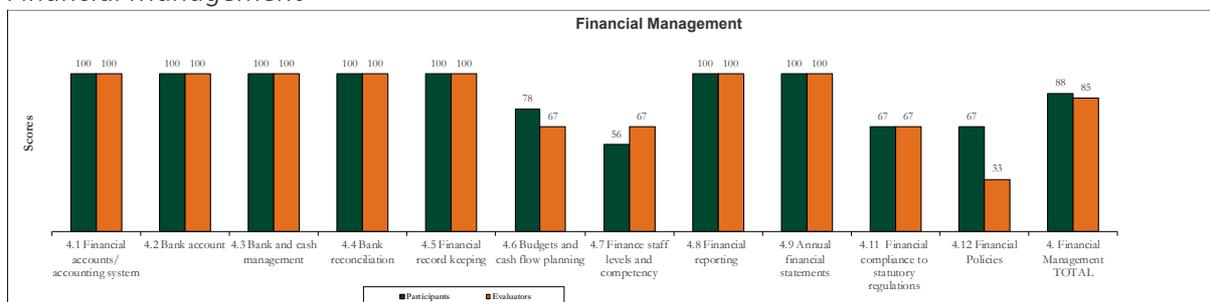


Figure 13: Chithuen Phendey Financial Management

99. The overall score for financial management averaged at 86.5 percent which means CPA is doing fairly well in terms of established systems to guarantee that financial resources are

responsibly managed and efficiently used. It still needs to improve on a few sub components including budget and cash flow, drafting a policy and recruiting competent finance personnel.

100. With two accounting and finance staff, CPA has managed to maintain suitable financial and accounting systems with accurate records and regular reconciliations generating financial statements on demand and in compliance with the CSO Act.
101. However, there are fiscal capacity and procedure gaps in managing internal and statutory audits , fiscal risk assessments, make budget estimations and projections for its strategic plans and programs.
102. The financial existing staff need skills update through trainings on internal audits, risk assessment, budget projections, financial planning for sustainability, handling possible frauds and so forth.

Program Management

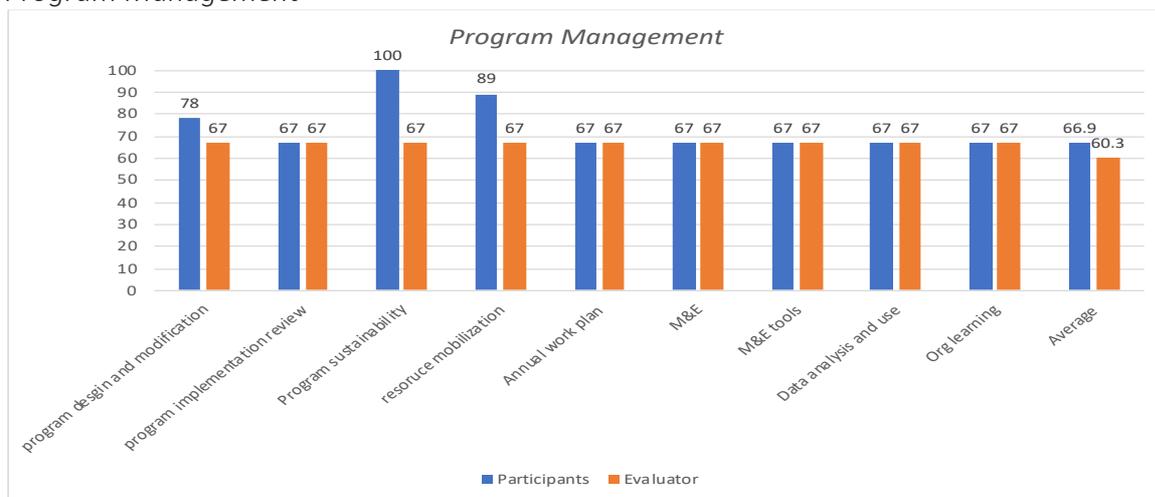


Figure 14: Chitbuen Phendey: Program Management

103. Program management scored an overall 66.9 percent and 60.3 percent for participants and evaluator respectively averaging at 63.6 percent.
104. While CPA has moved from isolated programming to a more comprehensive intervention in prevention, rehabilitation, and re-integration (with a fourth priority on resource mobilization), the program planning and management needs improvement in all nine sub domains – program design, review, and modification; annual work planning, monitoring and evaluation and using data for organizational learning and course corrections.
105. In line with its fourth core strategy on resource development, CPA has a dedicated resource mobilization personnel but lacks a strategy that identifies a broad resource base that includes fundraising for programs and operations.

Networking and Knowledge Management

106. Over the years, CPA has built critical partnership alliances with both the public sector, private sector, and individuals or family units. It is well-known and viewed as a constructive and empowering presence among its community. CPA also reports active engagement in education, advocacy and policy matters, and knowledgeable about related national and international policies.

107. It lacks **processes and plans** to create, build, and sustain effective and strategic alliances and networks at **different levels** to sustain collaborations in working towards shared goals.
108. There are **gaps in data and information repository** and a need for **data management system** (software and hardware); **insufficient HR; and technology** to capture, document, store, secure, utilize and disseminate information to stakeholders and target beneficiaries.

Conclusions and recommendation

109. In addition to the existing governing documents required by the CSO Act, a key internal organizational governance element for CPA is to draft a **governance manual** to –
- Underpin any issue of governance and leadership, and to improve its accountability. This will assure its clients or beneficiaries that it exists to further their interests, and assure its members, staff and funding agencies that its resources are being put to the best possible use.
 - The document will serve as an instruction manual for the governing board with indexed content on standard provisions, authority, functions, especially considering duties and responsibilities, commitment and skills required by the organization.
110. The assessment recommends that CPA review its existing policies and procedures and draft the following two separate policy documents that include clear and precise, systematic best practices that embrace transparency, accountability, and professionalism:
- Finance and accounting policy and procedures
 - Human resources development policy
111. CPA is better placed in utilizing volunteers and its talent pool to support its plans and programs. Therefore, including volunteer management in the service manual with the objective of establishing an outstanding volunteer program would lend CPA both credibility and cost effectiveness.
112. There is a need for CPA to review and revise the strategy document before it is endorsed by the board. Following the key strategic directions/focus, the revised comprehensive plan should incorporate:
- an analysis of the external and internal threats and opportunities;
 - action plans with key performance indicators and M&E;
 - key inputs, skills and resource needs; and
 - financial projections for each program area contributing to the its broader strategic goals outlined in the document.

Best Practices - Strategic Planning

- *Executive Summary*
- *Vision Statement*
- *Mandate and Scope of Work*
- *Summary Analysis of External and Internal Environment*
- *Main Strategic Issues*
- *Strategic Aims (goals and objectives)*
- *Action Plans with KPIs*
- *Assessment of human resource needs vis-à-vis Action Plans*
- *Financial Projection vis-à-vis Action Plans*
- *Annual Team Work Plan*
- *Monitoring and Evaluation Plan vis-à-vis Action Plans using KPIs*

Figure 15: Strategic Planning Content

113. In line with its fourth core program area on ensuring organizational sustainability, CPA needs to draft a fundraising plan to achieve the outcomes, and move away from reliance on project funding of donors which is often restrictive and leaves little opportunities for core operational capacity development. The plan should (i) explore funding needs and diversify funding base; (ii) plan and target project funding in a mission-driven manner (as opposed to ad-hoc); (iii) build skills in grant writing, handling face-to-face meetings and communicating key messages; (iv) understand national and international non-profit funding ecosystem.
114. Considering the quantity and types of data and information generated through its programs and projects, it is recommended that CPA develop a database management system (software, hardware and skills) for systematic recording and management including projects, cases, services, surveys and research outputs to target and generate information and reports as required. This should effectively lead to **a targeted communication plan** and implementation for networking, building partnerships, fundraising, advocacy and education.
115. Develop a **networking strategy** defined at different levels and types of alliances sought for the purpose of the organization (eg. partners, affiliates, membership, sponsors, international, national, local).

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ANNEXURE

Annex 1: Costed Action Priority for Lhak-sam, Rainbow Bhutan, and Chithuen Phendey Association (see attached xls)

COSTED PRIORITY ACTIVITIES BY ORGANIZATION								
SL. NO.	PRIORITIZED ACTIVITIES	SUB ACTIVITIES			COST	No. of days	No. of Units	Unit Cost
		LHAKSAM	RAINBOW	CPA				
1	STRATEGIC PLAN REVISION	Mid-term review of Strategic Plan (2018-2023)	Review & Revise Strategic Plan (2020-2025)	Review & Revise the DRAFT Strategic Plan	210,000	21	1	10,000
2	DRAFT RESOURCE MOBILIZATION STRATEGY	Draft Resource Mobilization strategy	Draft Resource Mobilization strategy	Draft Resource Mobilization strategy	210,000	21	1	10,000
3	DRAFT NETWORKING FRAMEWORK	Draft Networking Framework	Draft Networking Framework	Draft Networking Framework	210,000	21	1	10000
4	DRAFT/REVISE POLICY DOCUMENTS							
4.1		Review & Revise Governance manual	Review & Revise Board Policy Manual 2018	Draft Governance Policy/Manual	160,000	16	1	10000
4.2		Review & Draft Separate Human Resource Policy (to include volunteer management)	Review & Draft Separate Human Resource Policy (to include volunteer management)	Review the Guideline for Financial and Human Resources: Draft Separate Human Resource Policy (to include volunteer management)	160,000	16	1	10000
4.3		Review & Revise Financial & Accounting Manual 2015	Review & Revise Financial & Accounting Manual 2018	Review the Guideline for Financial and Human Resources: Draft Separate Financial & Accounting Manual	160,000	16	1	10000
5	DATABASE MANAGEMENT SYSTEM	Database Management System (Hardware & Software)	Database Management System (Hardware & Software)	Database Management System (Hardware & Software)	549,000		3	183000
6	INHOUSE JOINT TRAINING							
6.1		Project Cycle Management & M&E	Project Cycle Management	Project Cycle Management	960,000	5	12	16000
6.2		Financial Management	Financial Management	Financial Management	300,000	5	1	60000
6.3		Resource mobilization & grant writing	Resource mobilization & grant writing	Resource mobilization & grant writing	300,000	5	1	60000
		Database Management Training	Database Management Training	Database Management Training	180,000	3	1	60000
7	CSOA REGISTRATION		Advisory Fees for Legal Counsel		70,000	7	1	10000
8	CORE OPERATIONAL SUPPORT		Core Operational Costs for 5 staff members		984,000		5	196800
TOTAL COST					4,453,000			

Annex 2: Organizational Capacity Assessment Tool (see OCAT as xls)

Name of Organization										
Date of Assessment										
Organizational Capacity Assessment										
		Average Indicator Score						Comments		
Components	Sub-components	Participants	Percentage: Participants	Stage: Participants	Evaluators	Percentage: Evaluators	Stage: Evaluators	Participants	Evaluators	Action Items
	1.0 Organization's legal status	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	0	0	0
1. Leadership & Governance	1.1 Organization goal vision and mission	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	0	0	0
	1.2 Strategic plan	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	0	0	0
	1.4 Board composition	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	0	0	0
	1.5 Board functioning and governance	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	0	0	0
	Leadership, Governance & Sustainability TOTAL	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!			
2. Structures & Systems	2.1 Organogram (organizational chart)	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	0	0	0
	2.2 Organizational policies and procedures	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	0	0	0
	2.3 Consultation and decision-making	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	0	0	0
	2.4 Internal communication	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	0	0	0
	2.5 Accountability and transparency	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	0	0	0
	2.6 Office and equipment	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	0	0	0
	2. Systems & Structure TOTAL	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!			
3. Human Resources	3a.1 Recruitment, staff diversity and expertise	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	0	0	0
	3a.2 Roles, responsibilities and job descriptions	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	0	0	0
	3a.3 Personnel files	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	0	0	0
	3a.5 Volunteer/ Intern management	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	0	0	0
	3a.6 Discipline, grievance and conflict resolution	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	0	0	0
	3b.7 Staff performance evaluation	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	0	0	0
	3b.8 Staff development	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	0	0	0
	3 Human Resources TOTAL	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!			
4. Financial Management	4.1 Financial accounts/ accounting system	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	0	0	0
	4.2 Bank account	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	0	0	0
	4.3 Bank and cash management	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	0	0	0
	4.4 Bank reconciliation	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	0	0	0
	4.5 Financial record keeping	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	0	0	0
	4.6 Budgets and cash flow planning	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	0	0	0
	4.7 Cost effectiveness	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!
	4.8 Finance staff levels and competency	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	0	0	0
	4.9 Financial reporting	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	0	0	0
	4.10 Annual financial statements	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	0	0	0
	4.11 Financial compliance to statutory regulations	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	0	0	0
	4.12 Financial Policies	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	0	0	0
	4. Financial Management TOTAL	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!			

TOPIC: To identify prominent issues faced by People living with HIV, Key Population and other vulnerable groups when accessing health care facilities including ART sites for people living with HIV in Bhutan.

A: INFORMATION ABOUT RESPONDENT

1. Sex (M/F/TG)
2. How old are you in years?
3. How long you have known your HIV status?
4. How long you feel or you know that you have different sexual orientation or gender from the general population (if respondent is coming from Key Population)
5. Current relation status?
6. If you are currently in an intimate relationship, how long have you been involved with your husband/wife/partner?
7. At present, are you sexually active?
8. Have you used a health service in the last 12 months?
(If yes than we can continue to the these sets of questions)
9. What type of health services have you used in the last 12 months?
10. Are you member of any PLHIV or Key Population group or organization – Please specify the group’s name

B. QUESTION ON SELF-STIGMA (THE WAY YOU FEEL ABOUT YOUR SELF)

1. Within the last 12 months, have you experienced with any feelings because of your HIV status or your sexual orientation/gender? Feeling like Ashamed, guilty, blame myself, have low self-esteem or feel like you should be punished? Explain why?

2. In the last 12 months, have you done somethings because of your HIV status or your sexual orientation? Feeling like

- Took the decision not to attend social activities/events (Y/N)
- Isolated myself from my family and/or friends (Y/N)
- Took the decision to stop working (Y/N)
- Decided not to apply for a job/work or for a promotion (Y/N)
- Withdrew from education/training or did not take up an opportunity for education/training (Y/N)
- Decided not to get married (Y/N)
- Decided not to have sex (Y/N)
- Decided not to have (more) children (Y/N)

- Avoided going to a local clinic when I needed to (Y/N)
- Avoided going to a hospital when I needed to (Y/N)

3. In the last 12 months, have you been worried about somethings happening to you – whether or not they have actually happened to you? Things like, being the topic of gossip, being verbally affronted, being verbally or physically harassed and/or threatened and/or assaulted? Explain further and why?

4. For PLHIV: within the last 12 months, have you been afraid that someone would not want to become your sexual partner because of your HIV-positive status? Yes or No? And why do you think that way?

C. EXPERIENCES IN ACCESSING HEALTH CARE SETTING

1. What type of HIV related services do you know is available? Are these HIV-related service welcoming to your HIV status or your sexual orientation / gender? Can you access these available HIV related health service? If not, why not?
2. Within the last 12 months, have you been denied health care services, including dental care, because of your HIV status or your sexual orientation/gender? Could you explain?
3. In the last 12 months, have you been denied family planning services because of your HIV status or your sexual orientation / gender? Could you explain more specific?
4. In the last 12 months, have you been denied sexual and reproductive health services because of your HIV status or your sexual orientation or gender? Could you explain more?
5. In the last 12 months, have you in any way been forced to submit to a medical/health procedure, including HIV testing and denied health insurance or life insurance because you living with HIV or have different sexual orientation or gender? Could you explain more?

D. HIV TESTING AND DIAGNOSIS

1. Have you done HIV testing? (When you interview a PLHIV, you can skip)
2. When you do the HIV test, are all decisions made by you? Why do you think so?
3. When you did HIV testing, did you receive any counselling including pre and post? If not than why?

E. DISCLOSURE AND CONFIDENTIALITY

1. How often have you felt pressure from people not living with HIV or people different from your sexual orientation or gender? Please explain the kind of pressure that you experienced, if any?
2. Did you feel that a professional health worker (e.g. medical doctor, nurse, counsellor, laboratory technician) told others about your HIV status or your sexual orientation/ gender without your consent? Could you explain why?
3. How confidential do you think your medical records relating to your HIV status/sexual orientation/gender are? Could you explain why?
4. Did you find that the disclosure of your HIV status or your sexual orientation was an empowering experience? Could you explain why?

- This HIV Treatment section is only for PLHIV-

F. HIV TREATMENT

1. In general, how would you describe about your health status at this moment?
2. Are you currently taking antiretroviral treatment (ART)? And are you able to access your ART service? How would you describe your experience when you try to access your Antiretroviral treatment?
3. When accessing ART, did you ever feel that some of the medical staff were gossiping about you? Why you think that?
4. When you accessing your ART, did you ever feel that some medical staff disclosed your HIV status to other people?
5. Within the last 12 months, have you had a constructive discussion with a health care professional on the topic of your HIV-treatment options? Can you further explain what the discussion was about?
6. Within the last 12 months, have you had any constructive discussions with a health care professional on other subjects such as sexual health and reproductive health, sexual relationships, mental health, well-being and drug use etc.? Can you explain further?

G. PROBLEMS & CHALLENGES

In your opinion, what are the MAIN PROBLEMS & CHALLENGES related to:

- a) Accessing Health Care Services based on your HIV status or your sexual orientation?
- b) Accessing HIV testing and Diagnosis based on your HIV status or your sexual orientation?
- c) Accessing ART center if you are People Living with HIV.
- d) Access to support from family members, friends, and community you live in as PLHIV or your sexual orientation. Explain the problem/challenges.
- e) Access to job opportunities as PLHIV or your sexual orientation. Explain the problem/challenges.

Terms of Reference

Title	Organizational Capacity Assessment and Institutional Needs Assessment of Rainbow Bhutan, Lhak-Sam and Chithuen Phendey Association
Duration	21 working days
Period	8 Sept – 9 October, 2020
Location	Bhutan

1. Background

The Sustainability of HIV Services for Key Populations in Asia (SKPA) Program is a Global Fund Multi Country program being implemented in eight countries: Bhutan, Sri Lanka, Mongolia, Philippines, Timor-Leste, Malaysia, Lao PDR and Papua New Guinea. The aim of the SKPA Program is to promote sustainable services for key populations at scale to stop HIV transmissions and AIDS related deaths by 2030.

The objectives of SKPA program are to:

Increase Financial Sustainability: Secure the long-term sustainability of increased service delivery at national levels through securing domestic investment and spending, exploring innovative approaches and identifying alternative sources of funding for key programs.

Strengthen Strategic Information: Secure up-to-date strategic information, particularly on key epidemiological and response information including population size estimates and program coverage, community needs assessment of key populations to inform program design

Mitigate Service Delivery Gaps: Scale-up outreach to key populations and improve their access to prevention, testing and treatment and retention in the service cascade

Strengthen Community Systems: Strengthen community responses and systems to support increased scale-up of services for key populations including sustainability of community-led services through community-based research, effective use of data and other strategic information and through community mobilization

Contribute to Enabling Environment: Address barriers to access including addressing stigma and other human rights- and gender-related barriers to services, where relevant.

AFAO is the Principal Recipient (PR) of the global fund funded SKPA Program. AFAO is the national federation for the community response to HIV in Australia. It provides leadership, coordination and support to the country's policy, advocacy and health promotion on HIV. AFAO's International Program is based in Bangkok and contributes to the development of effective policy and programmatic responses, particularly in the Asia and Pacific region. It has supported community-based responses to HIV across the region for over two decades.

The SR in Bhutan is Save the Children. Save the Children is an international NGO established in 1919 to improve the lives of children through better education, health care, and economic opportunities. Save the Children has extensive experience of implementing GF programs around the world. In Asia, they are currently implementing GF national grants in Nepal, Bangladesh, Myanmar and the Philippines, and one multi country grant, *Key Population Research and Advocacy* (KPRA).

Under SKPA, the empowerment and capacity building of key population networks and community organizations are crucial and strategic to meeting the goals and objectives of HIV

prevention and response. Therefore, strengthening of the CSO and KP capacities to assume a more important role in HIV prevention and response needs further consideration by the government, CSOs, KPs and the stakeholders. The review of the package of HIV services for Key Populations carried out beginning of this year explicitly recommended that need for capacity building and institutional development of community networks and Key populations.

The three key population organizations in Bhutan - Rainbow Bhutan, Lhak-Sam and Chithuen Phendey Association - need considerable support in terms of their organizations' institutional development and building skills and capacities of their staff and community members. In coordination with - the National HIV program of the Ministry of Health; the Principal Recipient, AFAO; and the lead regional network for this activity, APN+ - Save the Children is working with the Key Population organizations to identify their capacity building and organizational development priorities for implementation under the SKPA project.

A Capacity Needs Assessment of the three organizations will be required to understand their current capacity and organizational development situation, needs and aspirations and identify capacity building priorities and opportunities that can be pursued under the SKPA project.

Therefore, this consultancy will seek to carry out not only a comprehensive capacity assessment but also formulate a capacity building for the two KP organizations to be implemented under the SKPA. The capacity assessment should recognize the multiple dimensions of capacity development and should go beyond individual capacities to include organizational capacity as well as the broader context and environment within which the organization functions. The assessment and plan development should be done with full participation of the KP organizations and should provide a clear pathway to achieve expected results.

2. Objectives of the consultancy

The objective of the consultancy is to carry out a comprehensive capacity assessment of Rainbow Bhutan, Lhak-Sam and Chithuen Phendey Association and formulate a costed capacity building and institutional development plan to be implemented under SKPA project.

3. Scope of the Assignment

The capacity assessment will be for two organizations, Rainbow Bhutan and Lhak-Sam and will focus on, but not be limited to the following two areas:

I. Identification and articulation of capacity building and institutional development needs and providing clear recommendations and actions based on the following assessment in the following areas:

- **Main functions/responsibilities of the organization**
Ability of the organization to meet their stated mandate and implement relevant programs and identify issues and gaps
- **Leadership, governance and administration**
Does the organization have an independent and functioning governance structure in place; Organizational chart; Are senior management, board members, leaders, office bearers identified and adequately informed and supportive; Existence of

clear management and reporting lines; Clear leadership roles; Effective administrative controls and standards and reporting mechanisms in place; Existence of organization policies and plans; Gaps, issues and challenges

- **Human Resources**

Available staff and their qualification, skills, and experiences; Composition and gender balance; Awareness of and commitment to gender equality and diversity evident in policies and procedures, and through leadership and staff composition; HR management and development plans; Does the partner have effective policies and procedures for staff recruitment, deployment, supervision (including for staff inclusion, non-discrimination, safety and protection); HR gaps, adequacy, and issues

- **Finance, Administration and Office management**

Availability of financial, procurement and other financial and office management policies and procedures; Availability of annual plans and budgets; Evidence of basic Financial management and financial reporting experience, Office administration and management (including bookkeeping, filing and record keeping), Procurement, stock and inventory management; Existence of internal controls to account for errors and fraud detection and prevention; Gaps and issues

- **Partnerships and collaboration**

Partnerships and collaboration built and maintained in a sustainable manner; Communication, networking and alliance building activities and plans; Issues and gaps

- **Programmatic**

Does the organization have experience in thematic area as per their mandate; Experience and skills related to - Advocacy and outreach planning and implementation; Peer-based training, counseling and support; Sexual and Reproductive Health Rights; Harm Reduction for People Who Inject Drugs, HIV/AIDS SOGIE; Gender and child rights; Evidence based research and data an knowledge management; Strategic planning and development; Monitoring and evaluation; Community mobilization and networking; Program and project management; and any other Programmatic capacities, gaps and issues

- **Data and information**

Existing Database management capacities and systems; Information and communication management; Web management; Effective data security measures and controls; Data and information management requirements, gaps and issues

II. Carrying out Focus Groups Discussions with the three key agencies to identify and prioritize key stigma and discrimination issues faced in health care settings

4. Assessment Approach/Deliverables

The Consultant will be required to submit an inception report, including proposed assessment methodology and tools that are designed to ensure the assessment is comprehensive and that the analysis and findings capture all the issues listed in the scope section.

Activities	Duration	Deliverables	Deadline
1. Submission of an inception report	2 days	- Detailed methodology, including appropriate assessment tools to gather information and data covered in the scope section - Work plan	11 Sept
2. Interviews and focus groups with Identified KP organizations	10 days	- Discussion and agreement on methodology and tools - Meeting notes - Completed tools as per agreed methodology	25 Sept
3. Analysis of data and information, and formulation and presentation of draft costed capacity building plan	5 days	- Draft report on capacity assessment of Rainbow Bhutan and Lhak-Sam - Draft costed capacity building plan - Presentation of findings, priorities and draft plan	2 Oct
4. Finalization and submission of final report and plan	4 days	- Final report on capacity assessment of Rainbow Bhutan and Lhak-Sam - Final costed capacity building plan	9 Oct

5. Time frame

This proposed activity is estimated to be completed within a period of 21 working days from the date of the Service Contract signing.

6. Submission of Proposal

Interested and relevant individual consultants are invited to submit their proposal with the following details:

- 6.1. Expression of Interest
- 6.2. Completed Annexure 4 – Proposal Form
- 6.3. Personal CV, indicating relevant qualifications and experiences required as per this ToR

7. Qualifications and competencies of consultant

- Degree in relevant social science, development studies or related discipline;
- Minimum 10 years of experience in carrying out research and development work, and conducting assessments, experience in conducting capacity needs assessments and working with civil societies will be an advantage;
- Excellent analytical, oral and written communication skills in English;
- Experience in monitoring, evaluation and reporting;
- Demonstrated facilitation skills and ability to lead discussions;
- Strong interpersonal skills and the ability to communicate and work well with diverse people.

Client: Save the children

Contact Person:

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