



SOCIAL CONTRACTING CAPACITY BUILDING NEEDS ASSESSMENT (SCANA) TOOL

Advanced version

A self-assessment tool developed for community-based organizations and social enterprises
to gauge their readiness and capacity for social contracting



TABLE OF CONTENTS

| | |
|--|----|
| DOMAIN 1: HIV-RELATED TECHNICAL SKILLS | 3 |
| 1.1 HIV lay test and self-test services (HIVST with oral liquid or blood) | 3 |
| 1.2 Counselling and referral for PrEP/event-driven PrEP and PEP | 3 |
| 1.3 Linkage to antiretroviral therapy (ART), treatment adherence support and overall case management | 4 |
| 1.4 Index client testing (ICT) and intimate partner violence (IPV) assessment | 5 |
| 1.5 Adverse event monitoring and reporting | 6 |
| 1.6 CBO/SE's suggestions/comments | 7 |
| DOMAIN 2: OTHER HEALTH CARE AREAS | 8 |
| DOMAIN 3: GOVERNANCE, ADMINISTRATION, AND OPERATIONS | 10 |
| 3.1 Legal entity and organization governance | 10 |
| 3.2 Human resource management | 11 |
| 3.3 Networking and partnerships | 11 |
| 3.4 CBO/SE's suggestions/comments | 12 |
| DOMAIN 4: FINANCIAL MANAGEMENT AND SUSTAINABILITY | 13 |
| 4.1 Resource mobilization for organization sustainability | 13 |
| 4.2 Financial management | 13 |
| 4.3 Types of procurement - bidding | 15 |
| 4.4 Providing services to Government of Vietnam (GVN) agencies | 16 |
| 4.5 CBO/SE's suggestions/comments | 16 |
| DOMAIN 5: MONITORING, EVALUATION, AND LEARNING | 17 |
| 5.1 Data management and use | 17 |
| 5.2 CBO/SE's suggestions/comments | 17 |
| DOMAIN 6: COMMUNICATIONS | 18 |
| 6.1 Organization positioning on web/home page or fan page | 18 |
| 6.2 Service promotion and marketing | 19 |
| 6.3 Technologies-based communication and promotion | 19 |
| 6.4 CBO/SE's suggestions/comments | 20 |

INTRODUCTION

The United States Agency for International Development (USAID) Local Assistance to Develop and Deliver Excellence, Resilience and Sustainability in Vietnam (LADDERS) project developed this Social Contracting Capacity Building Needs Assessment (SCANA) tool to support the assessment of social enterprises (SE) and community-based organizations (CBO) ahead of social contracting efforts. The SCANA tool helps organizations analyze strengths and areas for improvement, establish baseline measures to monitor performance, and develop a realistic action plan to achieve their social service and business goals.

This tool assesses organizations across six domains:

1. HIV-related technical skills
2. Other health care areas
3. Governance, administration, and operations
4. Financial management and sustainability
5. Monitoring, evaluation, and learning
6. Communications

Each domain contains several criteria.

To conduct the assessment, all staff or other key stakeholders from an SE or CBO should gather for a facilitated group discussion. The facilitator and participants meet and discuss each domain to assess their capacity. The facilitator asks open-ended, probing questions around each sub-domain/criteria and encourages group discussion before scoring. The facilitator also takes notes on the discussion to further assist the participants to develop a capacity building plan.

Following the discussion, participants calculate their scores for each criterion on a scale from 1 to 5: 1 - Low capacity; 2 - Basic capacity; 3 - Moderate capacity; 4 – Strong capacity; 5 - Exceptional capacity.

The facilitator also takes notes on the discussion to further assist the participants to develop a capacity building plan.

ACKNOWLEDGEMENTS

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- Vietnam Administration of HIV/AIDS control (VAAC)
- United States Agency for International Development (USAID)
- The USAID Meeting Targets and Maintaining Epidemic Control (EpiC)
- The USAID-supported Local Health System Sustainability Project (LHSS)

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TABLE OF ABBREVIATIONS

| | | | |
|----------|------------------------------------|--------|--|
| AIDS | Acquired Immunodeficiency Syndrome | KP | Key Population |
| ART | Antiretroviral Therapy | NCD | Non-communicable Disease |
| CBO | Community-based Organization | OW | Outreach Worker |
| COVID-19 | Coronavirus Disease 2019 | PEP | Post-exposure Prophylaxis |
| CTR | Click-through Rate | PEPFAR | President's Emergency Plan for AIDS Relief |
| ED | Event Driven | PLHIV | People living with HIV |
| ER | Engagement Rate | PrEP | Pre-Exposure Prophylaxis |
| GVN | Government of Vietnam | SE | Social Enterprise |
| HIV | Human Immunodeficiency Virus | SEO | Search Engine Optimization |
| HIVST | HIV Self Testing | SOP | Standard Operating Procedure |
| ICT | Index Client Testing | VND | Vietnamese dong (local currency) |
| IPV | Intimate Partner Violence | | |

DOMAIN I: HIV-RELATED TECHNICAL SKILLS

| NO. | ASSESSMENT CRITERIA | SCORING | | | | |
|--|--|--|---|---|---|--|
| | | 1 (Low Capacity) | 2 (Basic Capacity) | 3 (Moderate Capacity) | 4 (Strong Capacity) | 5 (Exceptional Capacity) |
| I.1 HIV lay test and self-test services (HIVST with oral liquid or blood) | | | | | | |
| I.1.1 | CBO/SE outreach workers (OWs) are trained on lay test/self-test and obtain adequate knowledge to deliver services to their clients | CBO/SE OWs have never been trained on lay test/self-test | Fewer than 50% of CBO/SE OWs are trained on these topics | Most of CBO/SE OWs (50-85%) are trained and obtain adequate knowledge to deliver services to their clients | Nearly all OWs (86-99%) are trained and obtain adequate knowledge to deliver services to their clients with a high degree of quality | All OWs (100%) are trained and obtain adequate knowledge to deliver services to their clients with a high degree of quality |
| I.1.2 | All CBO/SE OWs comply by lay test/self-test standard operating procedures (SOPs) | No lay test/self-test SOP is available | Lay test/self-test SOP exists but OWs are either not clear on its content or do not properly comply | CBO/SE has lay test/self-test SOPs in place, most (50-85%) of CBO/SE's OWs are clear about it and comply with it properly | CBO/SE has lay test/self-test SOPs that are properly complied with by nearly all (86-99%) of CBO/SE OWs | CBO/SE has lay test/self-test SOPs that are properly complied with by all (100%) of CBO/SE OWs |
| I.1.3 | OWs have technical skills in performing lay test/self-test for their clients | Fewer than 25% of CBO/SE OWs are competent in lay test /Self-test service delivery – OR – No system exists to assess periodic competency of OWs skills | 25%-49% of CBO/SE OWs are competent in lay test /self-test service delivery | 50%-75% of CBO/SE OWs are competent in lay test/self-test service delivery | 76%-90% of OWs are competent in lay test /self-test service delivery | More than 90% of OWs are competent in lay test/self-test service delivery |
| I.1.4 | Clients are satisfied with lay test/self-test services provided by the CBO/SE | Clients are not satisfied; their complaints still exist – OR – No mechanism for collecting client satisfaction exists | Fewer than 50% of clients are satisfied with lay test/self-test services provided by the CBO/SE | Most clients (50-85%) are satisfied with the services delivered by the CBO/SE but they rarely recommend these services to their friends and relatives | Nearly all clients (86-99%) are satisfied with the services delivered by the CBO/SE and recommend these services to their friends and relatives | All clients (100%) are satisfied with the services delivered by the CBO/SE and recommend these services to their friends and relatives |
| I.2 Counselling and referral for PrEP/event-driven PrEP and PEP | | | | | | |
| I.2.1 | CBO/SE OWs have been trained on counselling | CBO/SE OWs have not been trained on PrEP/ED | Fewer than 50% of OWs are trained on these topics | Most OWs (50-85%) are trained and obtain adequate knowledge to | Nearly all OWs (86-100%) are trained and obtain adequate knowledge to | All OWs (100%) are trained and obtain adequate knowledge to delivery service |

| NO. | ASSESSMENT CRITERIA | SCORING | | | | |
|---|---|---|---|--|--|---|
| | | 1 (Low Capacity) | 2 (Basic Capacity) | 3 (Moderate Capacity) | 4 (Strong Capacity) | 5 (Exceptional Capacity) |
| | and referral for PrEP/ED-PrEP/PEP | PrEP and PEP counselling and referral | | deliver these services to their clients | delivery service to their clients with a high quality | to their clients with a high quality |
| I.2.2 | CBO/SE has PrEP/ED-PrEP and PEP SOP that is properly complied by all OWs | No SOP exists | PrEP/ED-PrEP and PEP SOP in place but OWs do not comply with it well | PrEP/ED-PrEP/PEP SOP in place and most (50-85%) OWs comply it properly | PrEP/ED-PrEP/PEP SOP in place that nearly all (86-99%) OWs comply with it properly | PrEP/ED-PrEP/PEP SOP in place that all (100%) OWs comply with it properly |
| I.2.3 | OWs have requisite technical skills to deliver PrEP/ED-PrEP and PEP counselling and referral services to their clients | Fewer than 25% of CBO/SE's OWs are competent in delivering these services – OR – No system exists to assess periodic competency of OWs skills | 25%-49% of OWs are competent delivering PrEP/ED-PrEP and PEP services | 50%-75% of OWs are competent delivering PrEP/ED-PrEP and PEP services | 76%-90% of OWs are competent delivering PrEP/ED-PrEP and PEP services | More than 90% of OWs are competent delivering PrEP/ED-PrEP and PEP services |
| I.2.4 | Clients are satisfied with PrEP/ED-PrEP/PEP services provided by CBO/SE | Clients are not satisfied, complaints still exist – OR – No mechanism for collecting client satisfaction exists | Fewer than 50% of clients are satisfied with PrEP/ED-PrEP/PEP services provided by CBO/SE | Most clients (50-85%) are satisfied with PrEP/ED-PrEP/PEP services delivered by CBO/SE but they rarely recommend these services to their friends and relatives | Nearly all clients (86-99%) are totally satisfied with PrEP/ED-PrEP/PEP services delivered by CBO/SE and recommend these services to their friends and relatives | All clients (100%) are totally satisfied with PrEP/ED-PrEP/PEP services delivered by CBO/SE and recommend these services to their friends and relatives |
| I.3 Linkage to antiretroviral therapy (ART), treatment adherence support and overall case management | | | | | | |
| I.3.1 | OWs have been trained on counseling for ART regimens, common side effects, adherence support, and case management | CBO/SE OWs have not been trained on ART regimens, common side effects, adherence support, and case management | Fewer than 50% of OWs are trained on these topics | Most OWs (50-85%) are trained and obtain adequate knowledge to deliver these services to their clients | Nearly all OWs (86-99%) are trained and obtain adequate knowledge to delivery service to their clients with a high degree of measured quality | All OWs (100%) are trained and obtain adequate knowledge to delivery service to their clients with a high degree of measured quality |
| I.3.2 | CBO/SE has an SOP or SOPs for supporting clients on ART regimens, common side effects, adherence support and case management that are properly complied | No SOP exists | An SOP is in place but OWs do not comply with it | An SOP is in place and most (50-85%) OWs comply with it properly | An SOP is in place that nearly all (86-99%) OWs comply with properly | An SOP is in place that all (100%) OWs comply with properly |

| NO. | ASSESSMENT CRITERIA | SCORING | | | | |
|-------|--|---|--|---|---|--|
| | | 1 (Low Capacity) | 2 (Basic Capacity) | 3 (Moderate Capacity) | 4 (Strong Capacity) | 5 (Exceptional Capacity) |
| I.3.3 | OWs have the requisite technical skills to delivery counseling on ART regimens, common side effects, adherence support, and case management to their clients | Fewer than 25% of CBO/SE OWs are competent in delivering these services – OR – No system exists to periodically assess the competency of OWs skills | 25%-49% of OWs are competent delivering these services | 50%-75% of OWs are competent delivering these services | 76%-90% of OWs are competent delivering these services | More than 90% of OWs are competent delivering these services |
| I.3.4 | Clients are satisfied with counseling for ART regimens, common side effects, adherence support and case management services provided by CBO/SE | Clients are not satisfied, complaints still exist – OR – No mechanism for collecting client satisfaction exists | Fewer than 50% of clients are satisfied with ART services provided by CBO/SE | Most clients (50-85%) are satisfied with ART services delivered by CBO/SE but they rarely recommend these services to their friends and relatives | Nearly all clients (86-99%) Clients are totally satisfied with ART services delivered by CBO/SE and recommend these services to their friends and relatives | All clients (100%) Clients are totally satisfied with ART services delivered by CBO/SE and recommend these services to their friends and relatives |

I.4 Index client testing (ICT) and intimate partner violence (IPV) assessment

| | | | | | | |
|-------|--|--|---|--|---|---|
| I.4.1 | CBO/SE is trained and supported to deliver ICT counseling services for all clients diagnosed HIV positive and people living with HIV (PLHIV) who have not attained viral suppression | CBO/SE has never been trained | CBO/SE has been trained but does not deliver ICT services to relevant client groups | CBO/SE has been trained and supported, but it only delivers deliver ICT service to some relevant groups (50-85%) | CBO/SE has been trained, supported, and delivers ICT service to most (86-99%) relevant groups at the time of risk assessment or lay test | CBO/SE has been trained, supported, and delivered ICT service to all (100%) relevant groups at the time of risk assessment or lay test |
| I.4.2 | CBO/SE conducts IPV risk assessment and support (LIVES ¹) for a clients' sexual or injecting partners and reports adverse events | CBO/SE has not conducted IPV risk assessment for sexual/injecting partners | CBO/SE conducts IPV risk assessment for the clients' sexual/injecting partners, but has either not provided LIVES or does not report adverse events (if applicable) | CBO/SE conducts IPV risk assessment, provides LIVES support for nearly all those who are at risk or victims of IPV (85-99%) and may or may not report adverse events (if applicable) | CBO/SE conducts IPV risk assessment for the clients' sexual/injecting partners, reported adverse events, provides LIVES support for nearly all those who are at risk or victims of IPV (85-99%), and reports adverse events (if applicable) | CBO/SE conducts IPV risk assessment for the clients' sexual/injecting partners, provides LIVES support for those who are at risk or victims of IPV (100%), and reports adverse events (if applicable) |

¹ LIVES is a five-step approach for healthcare providers to support clients that have experience or may have experienced IPV. These are listening closely, with empathy and no judgement; inquiring about clients' needs and concerns; validating clients' experiences; enhancing clients' safety; and supporting clients to connect with additional services.

| NO. | ASSESSMENT CRITERIA | SCORING | | | | |
|-------|--|--|---|--|--|---|
| | | 1 (Low Capacity) | 2 (Basic Capacity) | 3 (Moderate Capacity) | 4 (Strong Capacity) | 5 (Exceptional Capacity) |
| I.4.3 | CBO/SE has SOPs for supporting clients receiving ICT and IPV services | No SOP exists | An SOP is in place but OWs do not comply with it well | An SOP is in place and most (50-85%) OWs comply with it properly | An SOP is in place that nearly all (86-99%) OWs comply with properly | An SOP is in place that all (100%) OWs comply with properly |
| I.4.4 | OWs have the requisite technical skills to deliver of ICT services and IPV screening, service, and referral to their clients | Fewer than 25% of CBO/SE OWs are competent delivering these services – OR – No system exists to periodically assess the competency of OWs skills | 25%-49% of OWs are competent delivering these services | 50%-75% of OWs are competent delivering these services | 76%-90% of OWs are competent delivering these services | More than 90% of OWs are competent delivering these services |
| I.4.5 | Clients are satisfied with ICT services and IPV related support services/referrals (if any) provided by CBO/SE | Clients are not satisfied, complaints still exist – OR – No mechanism for collecting client satisfaction exists | Fewer than 50% of clients are satisfied with ICT and IPV related support services/referrals (if any) provided by CBO/SE | Most clients (50-85%) are satisfied with ICT and IPV related support services/referrals (if any) delivered by CBO/SE but they rarely recommend these services to their friends and relatives | Nearly all (86-99%) clients are totally satisfied with ICT and IPV related support services/referrals (if any) delivered by CBO/SE and recommend these services to their friends and relatives | All (100%) clients are totally satisfied with ICT and IPV related support services/referrals (if any) delivered by CBO/SE and recommend these services to their friends and relatives |

I.5 Adverse event monitoring and reporting

| | | | | | | |
|-------|--|--|---|---|---|--|
| I.5.1 | CBO/SE has an SOP for adverse event monitoring and reporting | No SOP exists | An SOP is in place and in alignment with PEPFAR/international guidance but OWs do not comply with it well | An SOP is in place and in alignment with PEPFAR/international guidance and most (50-85%) OWs comply with properly | An SOP is in place in alignment with PEPFAR/international guidance that nearly all OWs (86-99%) comply with properly | An SOP is in place in alignment with PEPFAR/international guidance that all (100%) OWs comply with properly |
| I.5.2 | Staff have been trained on adverse event monitoring and reporting | CBO/SE OWs have not been trained on adverse event monitoring and reporting | Fewer than 50% of OWs are trained on these topics | All OWs were trained and most OWs (50-85%) have adequate knowledge to complete adverse event monitoring and reporting | All OWs were trained and nearly all OWs (86-99%) have adequate knowledge to complete adverse event monitoring and reporting | All OWs were trained and all OWs (100%) have adequate knowledge to complete adverse event monitoring and reporting |
| I.5.3 | OWs have the requisite technical knowledge in adverse event monitoring | Fewer than 25% of CBO/SE's OWs are | Fewer than 25%-49% of OWs are trained on these topics and are | Most OWs (50-75%) are trained and obtain adequate knowledge to | Nearly all OWs (76%-90%) are trained and obtain adequate knowledge | More than 90% are trained and obtain adequate |

| NO. | ASSESSMENT CRITERIA | SCORING | | | | |
|-------|---|---|--|---|---|---|
| | | 1 (Low Capacity) | 2 (Basic Capacity) | 3 (Moderate Capacity) | 4 (Strong Capacity) | 5 (Exceptional Capacity) |
| | and reporting with respect to their clients | competent in performing these skills – OR – No system exists to assess periodic competency of OW skills | competent in performing these skills | deliver these services to their clients | to delivery service to their clients | knowledge to delivery service to their clients |
| I.5.4 | Current adverse event monitoring and reporting practices are implemented according to standards | Does not have a well-controlled system for monitoring adverse events | Paper-based or hybrid (paper/electronic) system requiring manual input and reported periodically through proper channels | Paper-based, hybrid (paper/ electronic), or electronic system requiring manual input and reported periodically, yet timely, through proper channels | Hybrid (paper/ electronic) or electronic system with direct input and reported regularly in a timely fashion through proper channels | Electronic system with direct input and reported regularly in a timely fashion through proper channels |
| I.5.5 | Adverse event monitoring and reporting has led to systematic improvements in service delivery | No change in service delivery, practice, or quality of service provision | Has led to some improvements based on specific case examples, but no comprehensive or documented systemic improvement | Has led to improvements that take into account multiple factors contributing to the adverse event although may or may not have been documented for systemic improvement | Has led to improvements that take into account multiple factors contributing to the adverse event and has been documented for systemic improvement | Has led to improvements that take into account multiple factors contributing to the adverse event and has been documented for systemic improvement and shared as a lesson learned |

I.6 CBO/SE's suggestions/comments

Are there any other skills or knowledge needed to provide HIV-related services?

DOMAIN 2: OTHER HEALTH CARE AREAS

Each CBO/SE should evaluate specialty services under Domain 2 if they already provide the service or wish to provide the service in the near term. The same assessment criteria can be adapted for any number of specialist services. The following chart provides eight potential specialty services, but these should be adapted to meet the local context.

| NO. | ASSESSMENT CRITERIA | SCORING | | | | |
|-------|---|---|--|---|---|--|
| | | 1 (Low Capacity) | 2 (Basic Capacity) | 3 (Moderate Capacity) | 4 (Strong Capacity) | 5 (Exceptional Capacity) |
| 2.X.0 | CBO/SE offers or expects to offer SPECIALITY SERVICE | No, does not offer and does not currently anticipate offering SPECIALITY SERVICE | No, does not offer, but open to expanding SPECIALITY SERVICE | Yes, offers limited SPECIALITY SERVICE | Yes, offers SPECIALITY SERVICE but does not measure service quality | Yes, offers SPECIALITY SERVICE with high quality (measured) |
| 2.X.1 | OWs have been trained on SPECIALITY SERVICE | CBO/SE OWs have not been trained on SPECIALITY SERVICE | Fewer than 50% of OWs are trained on SPECIALITY SERVICE | Most OWs (50-85%) are trained on SPECIALITY SERVICE and have adequate knowledge to deliver services | Nearly all OWs (86-99%) are trained on SPECIALITY SERVICE and have adequate knowledge to deliver services | All OWs (100%) are trained on SPECIALITY SERVICE and have adequate knowledge to deliver services |
| 2.X.2 | CBO/SE has an SOP for SPECIALITY SERVICE | No SOP for SPECIALITY SERVICE exists | An SOP is in place for SPECIALITY SERVICE but OWs do not comply with it properly | An SOP is in place for SPECIALITY SERVICE and most (50-85%) OWs comply with it properly | An SOP is in place for SPECIALITY SERVICE that nearly all (86-99%) OWs comply with it properly | An SOP is in place for SPECIALITY SERVICE that all (100%) OWs comply with it properly |
| 2.X.3 | OWs have the requisite technical skills in the delivery of SPECIALITY SERVICE | Fewer than 25% of CBO/SE OWs are competent in delivering SPECIALITY SERVICE – OR – No system exists to periodically assess the competency of OWs skills | 25%-49% of OWs are competent delivering SPECIALITY SERVICE | 50%-75% of OWs are competent delivering SPECIALITY SERVICE | 76%-90% of OWs are competent delivering SPECIALITY SERVICE | More than 90% of OWs are competent delivering SPECIALITY SERVICE |
| 2.X.4 | Clients are satisfied with SPECIALITY SERVICE | Clients are not satisfied, complaints still exist – OR – No mechanism for collecting client satisfaction exists | Fewer than 50% of clients are satisfied with SPECIALITY SERVICE | Most clients (50-85%) are satisfied with SPECIALITY SERVICE but they rarely recommend these services to their friends and relatives | Nearly all (86-99%) clients are satisfied with SPECIALITY SERVICE and recommend these services to their friends and relatives | All (100%) clients are satisfied with SPECIALITY SERVICE and referrals and recommend these services to their friends and relatives |

| NO. | ASSESSMENT CRITERIA | SCORING | | | | |
|-----|---|------------------|--------------------|-----------------------|---------------------|--------------------------|
| | | 1 (Low Capacity) | 2 (Basic Capacity) | 3 (Moderate Capacity) | 4 (Strong Capacity) | 5 (Exceptional Capacity) |
| | 2.1 Sexual and reproductive health (SRH) | | | | | |
| | 2.2 Counselling, screening/rapid test, and referral for Hepatitis B&C and other sexually transmitted infections (STIs) | | | | | |
| | 2.3 Community-based COVID-19 testing, care, and support services | | | | | |
| | 2.4 Screening and referral for tuberculosis (TB) services (confirmation of diagnosis and treatment) | | | | | |
| | 2.5 Amphetamine-type stimulant (ATS), chemsex² and substance abuse services | | | | | |
| | 2.6 Counselling for mental health services and referrals | | | | | |
| | 2.7 Non-communicable disease (NCD) services and referrals | | | | | |
| | 2.8 Counselling and referral for hormone therapy for transgender persons | | | | | |
| | 2.9 CBO/SE suggestions/comments | | | | | |
| | Are there any other skills or knowledge needed to provide other desired services? | | | | | |

² Sexual activity under the influence of drugs

DOMAIN 3: GOVERNANCE, ADMINISTRATION, AND OPERATIONS

| NO. | ASSESSMENT CRITERIA | SCORING | | | | |
|---|---|--|---|---|--|---|
| | | 1 (Low Capacity) | 2 (Basic Capacity) | 3 (Moderate Capacity) | 4 (Strong Capacity) | 5 (Exceptional Capacity) |
| 3.1 Legal entity and organization governance | | | | | | |
| 3.1.1 | Legal status of the group is attained and recognized | CBO/SE has no legal status (establishment decision or business license) | CBO/SE has no legal status, but it is a member of an organization with legal status | CBO/SE has no legal status, but it is expecting to register for legal status OR commits to attaining legal status for sustainable operation | CBO/SE has legal status with a legal round stamp | CBO/SE has legal status with a legal round stamp and international recognition |
| 3.1.2 | CBO/SE has clearly written vision, mission, and values for orientating its activities | CBO/SE does not have any vision, mission, values or its vision, mission, values are not in written | CBO/SE has written vision, mission, values but such documents are not clear and not understood by most OWs | CBO/SE has written vision, mission, values known by most (50-85%) OWs | CBO/SE has written vision, mission, values known and used by nearly all OWs (86-99%) for orientating activities | CBO/SE has written vision, mission, values known and used by all (100%) OWs for orientating activities |
| 3.1.3 | CBO/SE has a written organization chart/ organogram congruent with its vision and mission | CBO/SE has no written organization chart/ organogram | CBO/SE has a written organization chart, but it does not indicate the relevant positions and does not align with its vision and mission | CBO/SE has a written organization chart that clearly indicates the relevant positions and relation to the vision and mission; however this chart has not been published and applied yet | CBO/SE has a written organization chart that clearly indicates the relevant position and divisions for its vision and mission and has been published and applied | CBO/SE has a written organization chart/ organogram clearly indicating the relevant position and divisions for its vision and mission and has been published and shared with stakeholders |
| 3.1.4 | CBO/SE has clear reporting and decision-making mechanism known and complied to by the OWs | CBO/SE does not have written reporting and decision-making mechanism | CBO/SE has written reporting and decision-making mechanism; however the mechanism is still done haphazardly; only few (<50%) OWs know and comply with it properly | CBO/SE has clearly written reporting and decision-making mechanism, but not every (50-85%) OWs know and comply with it properly | CBO/SE has clearly written reporting and decision-making mechanism; and nearly all (86-99%) OWs know and comply with it properly | CBO/SE has clearly written reporting and decision-making mechanism; and all (100%) OWs know and comply with it properly |
| 3.1.5 | Communication and information exchange among departments is active and effective | Communication and contact among departments is inactive and information is not | Communication and contact among departments is sometimes active but | Communication and contact among departments is often active and information is | Communication and interaction among departments is always active and a mechanism for fast, | Communication and interaction among departments is always active and cooperative, and a |

| NO. | ASSESSMENT CRITERIA | SCORING | | | | |
|-----|---------------------|---------------------------|------------------------------------|---|---|--|
| | | 1 (Low Capacity) | 2 (Basic Capacity) | 3 (Moderate Capacity) | 4 (Strong Capacity) | 5 (Exceptional Capacity) |
| | | exchanged with each other | information exchange is inadequate | exchanged quite openly and in a timely manner | clear and timely information exchange is in place | mechanism for real-time information and data exchange operates effectively |

3.2 Human resource management

| | | | | | | |
|-------|---|--|--|---|---|---|
| 3.2.1 | CBO/SE has written job descriptions for every position; all staff ³ have a thorough understanding about their own responsibility and assigned duties | CBO/SE does not have written job description for its staff (likely only assigning duties verbally) | CBO/SE has job descriptions for all staff, but probably not all of them in written form and only few have a thorough understanding of their responsibility and assigned duties | CBO/SE has written job descriptions for all positions and most (50-85%) staff have a thorough understanding about of their responsibilities and assigned duties | CBO/SE has written job descriptions for all positions and nearly all (86-99%) staff have a thorough understanding of their responsibilities and assigned duties | CBO/SE has written job descriptions for all positions and all (100%) staff have a thorough understanding of their responsibilities and assigned duties |
| 3.2.2 | CBO/SE has written SOP guidelines and forms and conducts periodical staff performance appraisal (at least annually) and records the results | CBO/SE has never conducted staff performance appraisal before | CBO/SE conducts staff performance appraisal but it does not have a written SOP or records results | CBO/SE has an SOP and conducts staff/volunteer performance appraisal and records the results on an irregular basis using non-standardized or standardized tools | CBO/SE has an SOP and conducts periodic OWs performance appraisal and records the results on (at least on an annual basis) and may or may not record the results using standardized tools | CBO/SE has an SOP and conducts periodical OWs performance appraisal and records the results on (at least on an annual basis) and records the results using standardized tools |
| 3.2.3 | Staff are satisfied with their roles/responsibilities and assigned duties | 0% of staff agree | >0% - <50% of staff agree | 51%-75% of staff agree | 76% - <100% of staff agree | 100% of staff agree |
| 3.2.4 | CBO/SE has dynamic, committed and competent leader(s) | 0% of staff agree | >0% - <50% of staff agree | 51%-75% of staff agree | 76% - <100% of staff agree | 100% of staff agree |

3.3 Networking and partnerships

| | | | | | | |
|-------|--|---|--|---|--|---|
| 3.3.1 | CBO/SE proactively takes part in local healthcare networks and has close cooperative links with district public health | CBO/SE has not cooperated with district public health facilities and private healthcare providers | CBO/SE rarely cooperates with district public health facilities and private healthcare | CBO/SE often cooperates with district public health facilities and private healthcare providers for | CBO/SE takes part in local healthcare networks and actively cooperates with district public health facilities and private healthcare | CBO/SE actively and proactively takes part in local healthcare networks and effectively cooperates with district public health facilities |
|-------|--|---|--|---|--|---|

³ Staff refers to all stakeholders determined to be relevant to the question by the CBO/SE and may include members, volunteers, advisors, or others.

| NO. | ASSESSMENT CRITERIA | SCORING | | | | |
|-------|--|---|---|---|--|--|
| | | 1 (Low Capacity) | 2 (Basic Capacity) | 3 (Moderate Capacity) | 4 (Strong Capacity) | 5 (Exceptional Capacity) |
| | facilities and private healthcare providers for service delivery to its clients | for service delivery to its clients | providers for service delivery to its clients | service delivery to its clients | providers for service delivery to its clients | and private healthcare providers for service delivery to its clients |
| 3.3.2 | CBO/SE proactively takes part in networks and forums for CBOs/SEs working on HIV/AIDS for development of community system | CBO/SE has not taken part in networks and forums for CBOs/SEs working on HIV/AIDS for development of community system | CBO/SE rarely takes part in networks and forums for CBOs/SEs working on HIV/AIDS for development of community system | CBO/SE often takes part in networks and forums for CBOs/SEs working on HIV/AIDS for development of community system | CBO/SE proactively and actively takes part in networks and forums for CBOs/SEs working on HIV/AIDS for development of community system | CBO/SE plays a leading role, takes lead in networks and forums for CBOs/SEs working on HIV/AIDS for development of community system |
| 3.3.3 | CBO/SE receives recognition and support from the local healthcare network/local authority and cooperation with these agencies in doing some activities: organizing workshops, forums, events, etc. | CBO/SE has not received recognition and support from the local healthcare network/local authority | CBO/SE rarely receives recognition and support from the local healthcare network/local authority and inactively cooperates with these agencies in doing some activities: organizing workshops, forums, events, etc. | CBO/SE receives recognition and support from the local healthcare network/local authority and cooperates with these agencies in doing some activities: organizing workshops, forums, events, etc. | CBO/SE receives recognition and support from the local healthcare network/local authority and actively cooperates with these agencies in doing some activities: organizing workshops, forums, events, etc. | CBO/SE receives high recognition and support from the local healthcare network/local authority and effectively cooperates with these agencies in doing some activities: organizing workshops, forums, events, etc. agree |

3.4 CBO/SE's suggestions/comments

Are there any other skills or knowledge needed to support governance, administration, and operations?

DOMAIN 4: FINANCIAL MANAGEMENT AND SUSTAINABILITY

| NO. | ASSESSMENT CRITERIA | SCORING | | | | |
|--|--|--|---|---|---|---|
| | | 1 (Low Capacity) | 2 (Basic Capacity) | 3 (Moderate Capacity) | 4 (Strong Capacity) | 5 (Exceptional Capacity) |
| 4.1 Resource mobilization for organization sustainability | | | | | | |
| 4.1.1 | CBO/SE has different income sources, including funding from projects, other sources such as social activities, funding from enterprises/ individuals, etc., individual service fees for other services, products or sales made to clients/ customers | CBO/SE has no external funding | Currently, the only funding source for CBO/SE is a USAID-funded project | CBO/SE has two or more funding sources from projects but does not have any income from service delivery or other sources | Currently CBO/SE has different income sources, including funding from projects AND other sources such as social activities, funding from enterprises/individuals, etc. OR individual service fees for other services, products or sales made to clients/customers | Currently CBO/SE has different income sources, including funding from projects AND other sources such as social activities, funding from enterprises/individuals, etc. AND individual service fees for other services, products or sales made to clients/ customers |
| 4.1.2 | CBO/SE has sufficient fundraising/sponsorship mobilization capacity and a plan for mobilizing funds | CBO/SE is not capable of mobilizing sponsorship (writing project proposal, persuasion, etc.) | Weak sponsorship mobilization (CBO/SE writes project proposal but it is not successful) | CBO/SE has plan and history of small sponsorship/funding mobilization, in the past, CBO/SE wrote project proposals and were successful with small grants (<300 million VND) | CBO/SE has plan and history of medium sponsorship/funding mobilization (it was successful with projects of >300 million VND) | CBO/SE has plan and history of larger sponsorship/funding mobilization (it was successful with projects of >500 million VND) |
| 4.2 Financial management | | | | | | |
| 4.2.1 | CBO/SE has clearly written financial management guidelines and duty assignment to avoid conflicts and ensure transparency, all staff have thorough understanding and have good compliance | CBO/SE does not have financial management guidelines or it has guidelines but they are not written | CBO/SE has written financial management guidelines but the guidelines are not clear enough and only a few staff (<50%) know and comply leading to multiple significant errors | CBO/SE has clearly written financial management guidelines and most staff know and comply the guidelines, however some significant errors still occur | CBO/SE has clearly written financial management guidelines that are well understood and complied by the staff with significant errors made rarely | CBO/SE has clearly written financial management guidelines that are well understood and complied by the staff with only minor errors made |

| NO. | ASSESSMENT CRITERIA | SCORING | | | | |
|-------|---|--|---|--|--|---|
| | | 1 (Low Capacity) | 2 (Basic Capacity) | 3 (Moderate Capacity) | 4 (Strong Capacity) | 5 (Exceptional Capacity) |
| 4.2.2 | CBO/SE prepares and executes annual budget plan effectively | No annual budget prepared | Annual budget prepared, but requires input and correction | Annual budget prepared, no major corrections needed | Annual budget prepared, no major corrections needed and comparative expense report is within 10% of budget ceiling without going over | Annual budget prepared, no major corrections needed and comparative expense reporting is within 3% of budget ceiling without going over |
| 4.2.3 | CBO/SE prepares periodic and effective financial plans to assure maintenance of critical operations and also provides for innovation and growth in business potential | No periodic financial planning is done to maintain critical operations or provides for innovation/growth of business potential | A financial plan to maintain critical operations is in place, not known to be updated, and there may or may not be a plan for innovation/growth of business potential | A financial plan to maintain critical operations is in place, updated rarely (longer than 3 years), and there may or may not be a plan for innovation/growth of business potential | A financial plan to maintain critical operations is in place, updated regularly (at least once every 3 years), and there is a plan for innovation/growth of business potential | A financial plan to maintain critical operations is in place, updated regularly (more than once every 3 years), and there is a plan for innovation/growth of business potential |
| 4.2.4 | CBO/SE has good record keeping system, including management for invoices, and supporting documents relating to its finances/assets | CBO/SE does not have a record keeping and management system and does not keep invoices and supporting documents relating to its finances/assets | CBO/SE has a record keeping and management system, however, the CBO/SE's invoices and supporting documents are incomplete nor systematically organized | CBO/SE has a record keeping and management system in accordance with project requirements | CBO/SE has an overall data keeping and management system and entries are up to date and regularly checked by CBO/SE leaders | CBO/SE has an overall data keeping and management system, and entries are up to date and regularly checked by CBO/SE leaders, and independent audits are conducted |
| 4.2.5 | CBO/SE makes good financial reports, always meeting the deadline and rarely submitting errors | CBO/SE has not prepared or submitted any financial report, OR has prepared and submitted some with significant errors regularly seen in CBO/SE's financial reports and CBO/SE always misses the deadline | Significant errors usually seen in CBO/SE's financial reports and CBO/SE often misses the deadline | Significant errors in the financial reports prepared by CBO/SE are occasionally seen and sometimes miss the deadline | CBO/SE's financial reports are accurate with minimal minor errors rarely seen or rarely miss the deadline | CBO/SE's financial reports are accurate with minimal minor errors rarely seen and do not miss deadlines |

| NO. | ASSESSMENT CRITERIA | SCORING | | | | |
|---|---|--|---|---|---|---|
| | | 1 (Low Capacity) | 2 (Basic Capacity) | 3 (Moderate Capacity) | 4 (Strong Capacity) | 5 (Exceptional Capacity) |
| 4.3 Types of procurement - bidding | | | | | | |
| 4.3.1 | CBO/SE has been appointed or placed an order to provide services (including HIV related services) | Not done yet nor participated as sub-contractor | Participated as sub-contractor with contracts valued from 100 million to under 300 million dong | Participated as main or sub-contractor with contracts valued from 300 million to under 1 billion dong | Participated as main or sub-contractor with contracts valued 1-2 billion dong | Participated as main or sub-contractor with contracts valued over 2 billion dong |
| 4.3.2 | Before being appointed or placed an order to provide services, CBO/SE has been able to develop a proposal with no support | Not completed yet | Developed a proposal but received lots of support | Developed a proposal and received some support in writing | Developed a proposal and had others support only for review and editing | Developed a proposal with no support |
| 4.3.3 | CBO/SE has provided any type of services including health care, HIV/AIDS through bidding process (open or restricted) | Not done yet or bidding for service packages valued under 100 million dong | Have done bidding for service packages valued from 100 million to under 300 million dong | Have done bidding for service packages valued from 300 million to under 1 billion dong | Have done bidding for service packages valued 1-2 billion dong | Have done bidding for service packages valued over 2 billion dong |
| 4.3.4 | CBO/SE is able to develop bidding dossiers (open or restricted) | Not completed yet | Have joined other partners to develop restricted bidding dossiers in a passive capacity | Have proactively developed restricted bidding dossiers with other partners | Have developed open bidding dossiers with some support | Have developed open bidding dossiers with no support |
| 4.3.5 | CBO/SE have completed activities and deliverables per contract | Not completed yet | Completed but did not meet expectations and regularly failed to meet deadlines | Completed with minor omissions in expectations and rarely failed to meet deadlines | Completed and met expectations and met deadlines consistently | Completed and exceeded expectations and met deadlines consistently |
| 4.3.6 | CBO/SE have completed financial reports/acquittals and contract liquidation | Not completed yet | Financial reports/acquittals completed with many errors and contract liquidation delayed | Financial reports/acquittals completed with little errors but contract liquidation slightly delayed | Financial reports/acquittals completed with little errors but contract liquidation met deadline | Financial reports/acquittals completed satisfactorily and contract liquidation met deadline |

| NO. | ASSESSMENT CRITERIA | SCORING | | | | |
|---|---|-------------------|--|--|--|---|
| | | 1 (Low Capacity) | 2 (Basic Capacity) | 3 (Moderate Capacity) | 4 (Strong Capacity) | 5 (Exceptional Capacity) |
| 4.4 Providing services to Government of Vietnam (GVN) agencies | | | | | | |
| 4.4.1 | CBO/SE has assigned or has staff who provide or provided services to GVN agencies through <u>individual</u> contracts | Not completed yet | Has assigned staff to provide or provided services to GVN agencies but not signed contract | Has signed less than 5 individual contracts | Has signed 5 to 10 individual contracts | Has signed more than 10 individual contracts |
| 4.4.2 | CBO/SE has provided services to GVN agencies through <u>organizational</u> contracts | Not done yet | Has provided services; contract signed with GVN agencies valued under 100 million dong | Has provided services; contract signed with GVN agencies valued from 100 to 300 million dong | Has provided services; contract signed with GVN agencies valued from 300 to 499 million dong | Has provided services; contract signed with GVN agencies valued from 500 million dong |

4.5 CBO/SE's suggestions/comments

Are there any other skills or knowledge needed to support financial management and sustainability?

DOMAIN 5: MONITORING, EVALUATION, AND LEARNING

| NO. | ASSESSMENT CRITERIA | SCORING | | | | |
|---|--|---|---|--|--|--|
| | | 1 (Low Capacity) | 2 (Basic Capacity) | 3 (Moderate Capacity) | 4 (Strong Capacity) | 5 (Exceptional Capacity) |
| 5.1 Data management and use | | | | | | |
| 5.1.1 | CBO/SE practices good data management for its clients' using paper-based and soft files (assuring confidentiality, secured and with limited access based on appropriate authorization) | 0% of staff agree | >0% - <50% of staff agree | 50%-75% of staff agree | 76% - <100% of staff agree | 100% of staff agree |
| 5.1.2 | The number of newly detected HIV-positive cases reported by CBO/SE was not accepted/verified | >20% cases were not accepted/verified | 10-20% cases were not accepted/verified | 5% - <10% cases were not accepted/verified | <5% cases were not accepted/verified | 0% cases were not accepted/verified |
| 5.1.3 | Leadership frequently looks at data performance metrics to make improvements and recognize good performance in service provision | 0% of staff agree | >0% - <50% of staff agree | 50%-75% of staff agree | 76% - <100% of staff agree | 100% of staff agree |
| 5.1.4 | CBO/SE uses technologies or electronic platforms to record, document and visualize results for monitoring and decision making | Has not explored this as a practical option for use | Has explored this option, however there is no means or resource to be able to acquire, develop or use such a system | Has explored this option and is piloting or utilizing some platforms or technologies to complete some of purposes related to record, document and visualize results for monitoring and decision making | Currently uses technologies or electronic platforms to record, document and visualize results for monitoring and decision making in normal operation | Currently uses technologies or electronic platforms to record, document and visualize results for monitoring and decision making in normal operation and support data sharing/ dissemination |
| 5.2 CBO/SE's suggestions/comments | | | | | | |
| Are there any other skills or knowledge needed to support monitoring, evaluation, and learning? | | | | | | |

DOMAIN 6: COMMUNICATIONS

| NO. | ASSESSMENT CRITERIA | SCORING | | | | |
|--|---|---|---|---|---|---|
| | | 1 (Low Capacity) | 2 (Basic Capacity) | 3 (Moderate Capacity) | 4 (Strong Capacity) | 5 (Exceptional Capacity) |
| 6.1 Organization positioning on web/home page or fan page | | | | | | |
| 6.1.1 | CBO/SE develops its web page for propaganda/ marketing the organization and its services | CBO/SE does not have its own webpage or social media platform as central site | CBO/SE/SE does not have its own webpage, but utilizes a fan page platform as central site | CBO/SE has a subdomain webpage (i.e. [NAME].wordpress.com or [NAME].blogspot.com, etc.) | CBO/SE has its own webpage with unique domain name (i.e. [DOMAIN].com, .net, .org, etc. | CBO/SE has its own webpage with unique domain name and search engine optimization – (SEO) or runs advertising |
| 6.1.2 | Utilization of fan page ONLY for propaganda/ marketing the organization and its services ⁴ (Applicable for organizations that score '2' for 6.1.1 or have a fan page in addition to home page.) ⁵ | <0.5% | 0.5-1% | 1-3% | 3-5% | >5% |
| 6.1.3 | Organization with a subdomain has access to analytics software to assess webpage use. (Applicable for organizations that score '3' for 6.1.1 ONLY) | No analytics | --- | Basic (free) analytics of site utilization | ---- | Purchased full analytics of site utilization |
| 6.1.4 | Percent of new users over one month (compared to prior month) or CTR (applicable for organizations that score '4' or '5' for 6.1.1 ONLY) | >5% loss (CTR: <1%) | 0-5% loss (CTR: 1-3%) | No change (CTR: 3-4%) | 0-5% gain (CTR: 4-6%) | >5% gain (CTR: >6%) |
| 6.1.5 | The users who view the webpage based on region over 1 month (Applicable | None/Unknown | Few users domestically (hundreds) | Few (hundreds) users domestically with some regional (Southeast Asia) viewers | Many (>1,000) domestic viewers with regional (hundreds) views as well | Many (>1,000) domestic viewers with regional and international views (using Google analytics as a measurement tool) |

⁴ Average Post Engagement Rate = (likes + comments + shares on a given day/ # wall posts on same given day)/total fans x 100. This rate was derived by Facebook (<https://blog.hootsuite.com/calculate-engagement-rate/>).

⁵ Average Post Engagement Rate = (likes + comments + shares on a given day/ # wall posts on same given day)/total fans x 100. This rate was derived by Facebook (<https://blog.hootsuite.com/calculate-engagement-rate/>).

| NO. | ASSESSMENT CRITERIA | SCORING | | | | |
|---|--|---|---|---|---|--|
| | | 1 (Low Capacity) | 2 (Basic Capacity) | 3 (Moderate Capacity) | 4 (Strong Capacity) | 5 (Exceptional Capacity) |
| for organizations that score '4' or '5' for 6.1.1 ONLY) | | | | | | |
| 6.2 Service promotion and marketing | | | | | | |
| 6.2.1 | CBO/SE has client outreach plan and strategy to deliver relevant products to the clients' identified needs | Does not have | Does not have but discussed (nothing written) | Has a written plan, but not clearly implemented | Has a written plan and implemented, but could be improved | Has a written plan and implemented with strong confidence |
| 6.2.2 | CBO/SE has suitable and diversified service distribution/provision (online and offline) | Does not have online or offline strategies | Has online or offline, but not both | Has both online and offline approaches, achieves <80% expected performance (on level of achievement of project targets from the beginning of the COP to the time of evaluation) | Has both online and offline approaches, achieves at least 80% expected performance (on level of achievement of project targets from the beginning of the COP to the time of evaluation) | Has both online and offline approaches, achieves +100% expected performance (on level of achievement of project targets from the beginning of the COP to the time of evaluation) |
| 6.2.3 | The quality of CBO/SE's products are known, used and highly appreciated by the clients which increases word of mouth referral to CBO/SE | Strongly disagree | Disagree | Neutral | Agree | Strongly agree |
| 6.2.4 | CBO/SE is self-conscious of branding and brand development | CBO/SE does not have any ideas regarding branding and brand development | CBO/SE has thought about branding but it does not know what to do | CBO/SE is conscious of branding and has started using it but it is not successful of widely recognized | CBO/SE is conscious of branding and its brand is recognized by the community | CBO/SE is conscious of branding and its brand is recognized by the community and beyond |
| 6.3 Technologies-based communication and promotion | | | | | | |
| 6.3.1 | CBO/SE utilizes multiple social media platforms to maximize its outreach to target population (<i>Average of followers on platforms outside of fan page, can calculate average of individual channels</i>) | Does not use social media | Uses 1-2 platforms, inconsistently with little following (<500 followers) | Uses 1-2 platforms with a moderate following (500-1,000 followers) | Uses 3+ platforms with good following (1,000 - 10,000 followers) | Uses 3+ platforms with good following (>10,000 followers) |

| NO. | ASSESSMENT CRITERIA | SCORING | | | | |
|-------|---|--|---|--|---|---|
| | | 1 (Low Capacity) | 2 (Basic Capacity) | 3 (Moderate Capacity) | 4 (Strong Capacity) | 5 (Exceptional Capacity) |
| 6.3.2 | CBO/SE utilizes platforms regularly to support outreach | Not all platforms used weekly | At least one platform is used competently on a weekly basis | At least two platforms used competently weekly | At least one platform is used competently daily | At least two platforms used competently daily |
| 6.3.3 | CBO/SE's communication products are ranked by key populations (KP) and people living with HIV (PLHIV) communities | No CBO/SE's community products are voted by KP and PLHIV communities | No CBO/SE's community products are ranked in top 10 voted by KP and PLHIV communities | CBO/SE's community products are ranked in top 10 voted by KP and PLHIV communities | CBO/SE's community products are ranked in top 5 voted by KP and PLHIV communities | CBO/SE's community products are ranked in top 3 voted by KP and PLHIV communities |

6.4 CBO/SE's suggestions/comments

Are there any other skills or knowledge needed to support communications?