



Uganda Network of AIDS Service Organisations

GOVERNANCE AND ACCOUNTABILITY FRAMEWORK AND TOOLS FOR AIDS SERVICE ORGANISATIONS

Assessment tool 1: Governance and accountability Checklist

Accountability and Governance in an organization are not an end in itself; they are a means to an effective and performing organization, able and equipped to pursue its mission and serve those individuals and communities it is there to serve

The check list assessment will help you assess the degree to which your organization is successfully implementing this principle. The questions are designed to be thinking points/guidelines to help you identify areas that are already at a good practice level and areas that need to be developed and strengthened.

Key: Y = Yes N = No NA = Not applicable

A. Board knowledge and awareness	Y	NO	N/A
This section will help you to examine whether individual board member receive appropriate information regarding the organization and its areas of work. It will help the Board to be clear about WHAT it is governing.			
1. Are new Board members given basic understanding of how the organisation is structured and how it operates			
2. Has the Board developed a plan for visits to project implementation sites and service delivery points?			
3. Are new Board members give basic understanding of the external HIV environment in which the organisation operates?			
4. Is there any system in place to mentor new inexperienced Board members to carry out their roles and responsibilities?			
B. Member integrity and collective Responsibility			
This section will help Board assess whether it has guidelines and mechanisms in place to ensure that BoOoard Members act for the collective good of the organisation and its mission.			
5. Does the Board have a Code of Conduct that enables its members to identify and declare actual or potential conflicts of interest?			
6. Is the board committed to the organisation’s mission and values and actively involved in promoting and enhancing the public standing of organization?			
7. Does the Board have procedures in place to ensure that no member of the Board derives personal benefits by virtue of that position?			
C. Organisation strategic Direction			

These questions are meant to help the Board reflect on the extent to which they are involved in setting the Strategic direction of the organization and developing policies to guide how the organization operated.			
8. Was there Board involvement in the development of the strategic plan of the organization?			
9. Is there evidence of the Board keeping itself abreast of the development that might affect the organisation's capacity to pursue its mission?			
10. Is there a policy specifying that the organization will not discriminate on any grounds in any aspect of its work?			
11. Has the Board ensured that there is a HIV work place policy in place			
D. Appointment and support to the CEO This section is intended for the Board to review its relationship with the Chief Executive Officer (CEO) and to the operational side of the organization. A good working partnership between the governing body and the CEO is essential to all organization and is worth of careful and continuous cultivation.			
12. Has the Board developed a Job Description for the position of CEO defining its powers and duties with an appropriate toward package?			
13. Has the Board established and followed s robust and transparent, equal opportunity recruitment procedure for the position of CEO?			
14. Does the current government allow for effective management?			
E. Monitoring and reviewing Organizational Performance This section related to how well the Board knows where the organization is in terms of strategic plan and annual programming.			
15. Has the Board satisfied itself that the timeline, quality and clarify of the periodic reports it receives enables it to make informed decisions regarding the organization's performance?			
16. Do Board meeting minutes effect discussions and decisions taken in relation to those reports?			
17. Does the Board review the annual performance of the organization in relations to its agreed strategic direction?			
F. Oversight of the Organization's financial health This section is concerned with the finances of the organization the Board's capacity to monitor them. The Board must be confident that the internal control systems in place are adequate to protect the organization from loss and waste and that it has taken the steps necessary for operational to continue.			
18. Do the minutes of the Board meeting reflect approval of the annual budget review of subsequent spending, appointment of external auditors and review of annual accounts and management letter?			
19. Hs the Board approved an appropriate control framework to protect the organization's assets from loss of any kind from waste of resources?			
20. Has the Board identified and recorded the risks facing the continuity if its activities and taken appropriate action manage those risks?			
21. Does the Board have a plan to ensure sufficient financial resources for mission implementation?			
G. Accountability and Transparency			

This section addresses the need for an organization to be able to show, at any time, what is being achieved and how it is done. The trust of the organization’s clients and supporters must be secured by making accurate and accessible information available and the recognition that complaints will be handled diligently.			
22. Does the Board ensure that the organization has mechanisms in place to enable the engagement of service users and beneficiaries in the organization’s planning and decision making?			
23. Does the Board ensure that annual reports are readily understandable, widely disseminated and accessible to the public?			
24. Does the Board ensure that donor requirements are met in full?			
H. Composition of the Board This section concentrates on the performance of the Board itself. It is generally accepted that an effective Board is one where the individual members come from diverse backgrounds and possess a wide range of skills. Boards need to ensure that their membership is regularly renewed and reinvigorated by attracting people to serve on them. Board work needs to be rewarding for each member to achieve this. Members need support as they learn more the organization and how they can contribute to its work.			
25. Is there a set of term of office for individual members and limit to the number of terms an individual can serve?			
26. Does the Board actively seek to recruit people living with HIV to serve in a governance role?			
27. Does the membership for the Board efficiently reflect Gender Diversity?			
28. Does the Board membership include people from key populations that your organization targets through its programs and projects for sex workers and drug users?			
29. Does the Board actively pursue a strategy to develop and encourage a diverse membership that reflects the community it serves?			
30. Does the Board make effective use of the time and skills of its members and ensure that their capabilities are enhanced through development and training?			
31. Does the Board formally assess its own performance?			

This tool was adopted from a framework developed by International Planned Parenthood at www.hivcode.org for NGOs responding to HIV. This framework looks at NGO Governance issues and provides detailed assessment checklist to facilitate development of an action plan to improved civic competences in HIV response.