

Standard Operating Procedures (SOPs) for Lhak-Sam

VERSION 1.0

December 26, 2016

The Bhutan Network of People Living with HIV and AIDS (BNP+)

Supported by:



Lhak-Sam (BNP+)
Changjalu, Olakha
Thimphu, Bhutan
Phone: +975 02 340878
Website: <http://lhaksam.org.bt>

Table of Contents

- Acknowledgements..... 3
- Organization Mandate 1
 - Vision statement 1
 - Mission statement 1
 - Objectives 1
- Background 3
- Lhak-Sam BNP+ Capacities..... 4
- Organization Plan & Budget..... 5
- Organizational Policy Review & Update 5
- Acquisition of Projects 7
- Minimum Standard Requirement Checklist for a Project 8
- Negotiations/Contracts / Grant Agreements..... 8
- Launching the Project 9
- Project Management 9
- Financial Management 10
- Project Closure 10
- Annexes..... 11
 - Document Change Log 11
 - Acknowledgements..... 12

Acknowledgements

Under the [Multi-Country South Asia Global Fund HIV Programme](#) (MSA) APCOM as a regional community based network, acting as regional sub-recipient aims to provide support to country sub-recipients through capacity building initiatives, technical assistance on organizational systems, support in advocacy and research efforts, and creating and sustaining a regional online resource hub.

As outlined in the Global Fund CSS Framework, APCOM is aiming to focus on the core components of community systems, all of which are considered essential for creating functional and effective community systems. APCOM has been implementing needs-based regional capacity building initiatives for sub-recipient partners to capacitate individuals and institutionalize learnings through strengthening organizational systems for sustainable long-term results.

Extending the continuum of community support APCOM organized the Regional Workshop "[Strengthening Programme Management Systems](#)" in Bangkok from 25-28 January 2016. As one of the tangible results from the workshop, this Programme Management Standard Operating Procedures (SOP) was developed seeking inputs from all MSA partners.

APCOM would like to sincerely thank the United Nations Development Programme Bangkok Regional Hub (UNDP BRH) for constant support and guidance and without their partnership this SOP development would not have been possible.

We are also grateful to our consultants, Mr. Jigs Gaton and Mr. Uttam Uprety from [Phoenix Consulting and Training Worldwide](#) (PCTTW), who facilitated the training workshop on "[Strengthening Program Management System](#)" from 25 to 28 January 2016 in Bangkok, from which the SOP development for APCOM and Sub-Recipient country partners is initiated. PCTTW's follow-up technical assistance with APCOM and the country partners was remarkable and APCOM was proud to collaborate with the PCTTW.

APCOM would also thank our Bhutan country partner Lhak-Sam this SOP would not have been possible to complete without the help and support of Project Director and assigned who played a vital role to accomplish this SOP.

Organization Mandate

Vision statement

A society where all People Living with HIV and AIDS and affected family members have opportunities for a meaningful livelihood with HIV and AIDS controlled and its impacts eliminated

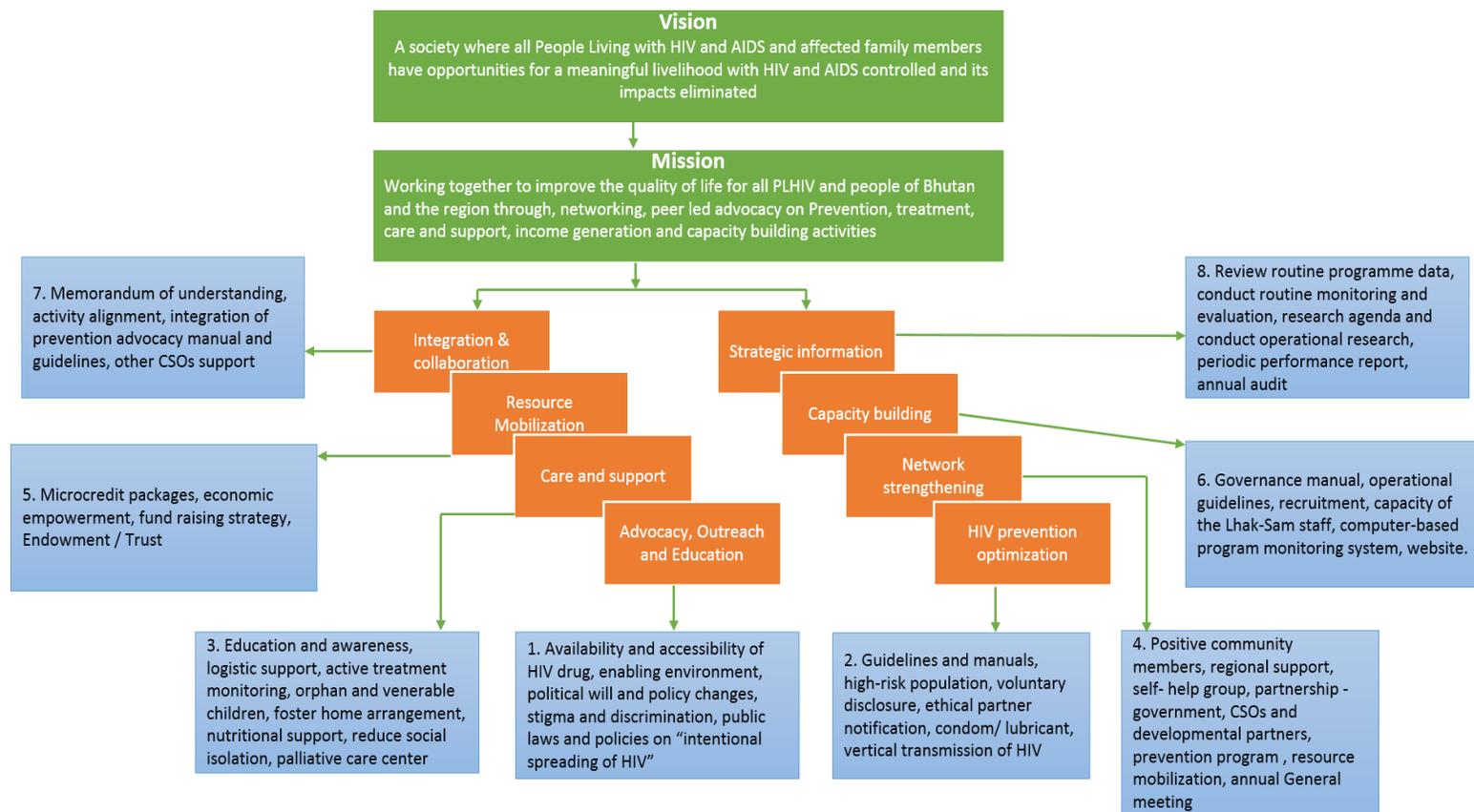
Mission statement

Working together to improve the quality of life for all PLHIV and people of Bhutan and the region through, networking, peer led advocacy on Prevention, treatment, care and support, income generation and capacity building activities.

Objectives

- ✓ To network and provide support to all PLWHA in Bhutan and the region
- ✓ To empower and build the capacity of all members to participate fully in their own treatment, care and prevention
- ✓ To reduce stigma and discrimination by normalizing HIV/AIDS in all levels of society
- ✓ •To enhance greater participation of members and other stakeholders in the fight against HIV/AIDS
- ✓ To increase access to resources by members through resource mobilization, grant making and management.

Figure 1: Lhak-Sam mandate and the areas of intervention as per the Strategic plan



Background

Lhak-Sam as an NGO stands in its position to address concerns, respond to the intermittent maneuvers and mitigate potential detrimental impacts due to HIV in the country. Registered under the CSOA of Bhutan in 2010, it is one of the newer members of the total 47 registered CSO's in Bhutan. With nurture and support from Ministry of Health, Lhak-Sam was formed with a morale to effectively implement and intervene in the areas of health, economic and social matters that emerge due to HIV. The people living with HIV/AIDS and their families shall be educated, built life skills capacity and trained in taking leaderships through local, regional and international networks and linkages.

During the last five years since its inception, Lhak-Sam has expanded its group into other districts with formal institution of regional coordinators in three regions of the country. About 171 PLHIVs including 18 children under the ages of 19 years old are registered as its members in 16 of the 20 districts of the country. This has enabled to set its mission to create and promote a strong support system based on solidarity, social networking and people's participation for addressing and taking collective action towards effective responses to HIV/AIDS and its impact in the country and the region.

Governed by the Board of Directors taking a role of an oversight and advisory body, the regular operation of the office is led by the Executive Director under whose administration and supervision, directives are carried out by the dedicated staffs. Lhak-Sam currently is one of the newer but one of the active members of the Asia Pacific Network of People Living with HIV and AIDS (APN+) based in Bangkok.

Lhak-Sam has successfully implemented various small grant projects funded from a large range of donors including UNAIDS cosponsors, regardless of the grant size. The largest grant implemented by Lhak-Sam was of US\$ 67,945 from UNDP PAF. Lhak-Sam is the sub-recipient of the GFATM under the principal recipient Ministry of Health (MoH) at the country level, and sub-recipient of the Multi Country South Asia Global Fund Programme on HIV (MSA) under the principal recipient UNDP Bangkok Regional Hub (BRH) at the regional level. Some technical assistance and fund support are also received from the UN One Programme as a member of the Health Theme Group.

While Lhak-Sam has gained experience in implementing programmes with specific focus on men who have sex with men (MSM) and transgender people, the organization also have extensive experience and empathy in working with other key affected populations (KAPs); on human rights, advocacy, outreach and education, organizational development, HIV care and support, and strategic information, which has been Lhak-Sam's one of the inventory agenda in an important forums since 2012.

Lhak-Sam BNP+ Capacities

Lhak-Sam has institutionalized its various capacities by developing a Governance Manual, Human Resources Manual, Financial manual, Lhak-Sam Strategic Plan (2014-2018) and Care and Support Manual.

Lhak-Sam has been conducting a lot of outreach and advocacy to the community people but is yet to develop such manual.

Lhak-Sam provides training to its office staff and outreach workers. These are reinforced by regular workshops to upgrade staff knowledge and skills, combined with on job support and supervision with the aim of maintaining in-house capacity.

Twelve employees are currently employed with Lhak-Sam; they are PLHIV, recovering drug users, MSM, TG and HIV negatives and they work in the capacity of Executive Director, Programme Manager, Finance Officers, Fund Raising Officer and an excellent team of outreach workers and peer educators including the regional support group coordinators. This team of 12 individuals working with Lhak-Sam has necessary skills and experiences to deliver quality projects and to strive for excellence in service delivery to its communities.

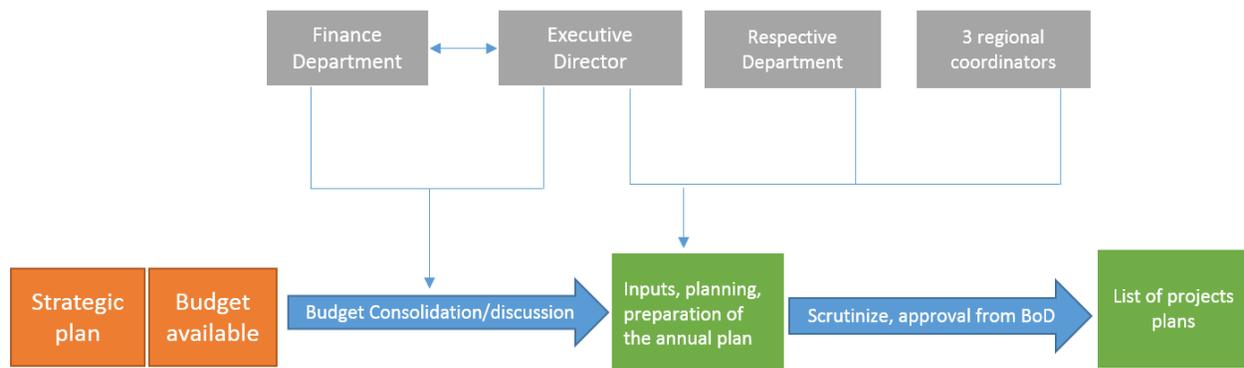
Part time staffs are not employed as it doesn't mandate necessary, however we have a dedicated and experienced financial mentor who directs and trains the finance staffs, a medical doctor and a research consultant who helps in technical support such as proposal writing. They work on voluntary basis and can be availed their service when required.

Lhak-Sam's volunteer consists of mainly the students and in service individuals whose services are availed only during special occasions, events and shortfall of adequate human resource. Although not very formally deployed, volunteers contact listings are recorded and duly acknowledged of their service. At least 40 volunteers are engaged with Lhak-Sam for total period about 15-20 days at different occasion and time every year.

Organization Plan & Budget

- 1) Project/department plans will form the basis of preparing the overall organization plan and budget which will be based on the existing Lhak-Sam strategic plan (2014-2018), developed finding the gaps in the National Strategic Plan II
- 2) Throughout the planning process the regional support group coordinators will be actively involved for the incorporation of regional plan
- 3) In discussion with the finance department, the ED will consolidate all department plans to prepare the overall organization plan.
- 4) The finance team under the guidance of the ED will put together the overall organizational budget, which will include all individual project budgets as well.
- 5) The organization annual plan and the budget will be ready within October each year and will be presented in the Board Meeting for discussion, modifications if required, and approval for implementation by the beginning of the New Year.

Figure 2: Annual work plan flowchart



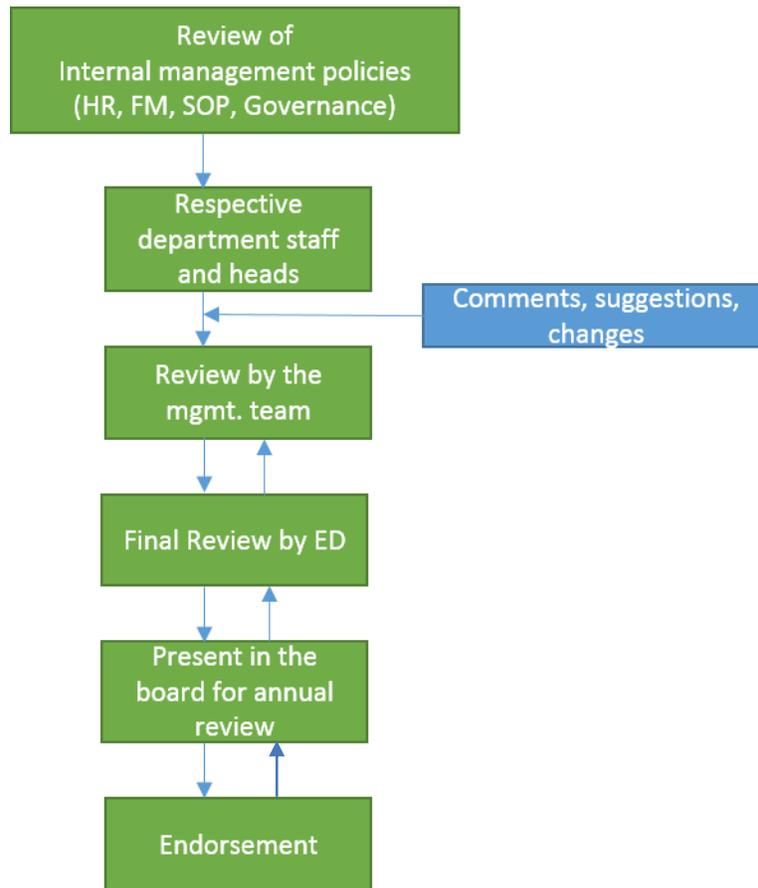
Organizational Policy Review & Update

Lhak-Sam has a set of organizational policies and procedures, which guide the operations of the organization. It is important that all such policies and guidelines are responsive to the emerging needs of the organization and hence need to be periodically reviewed and updated. The following procedures shall be followed if any revisions or updates are needed in these documents:

- 1) Every staff has the right to provide suggestions on the manuals.
- 2) All such suggestions will be notified to the respective Department heads. Suggestions for modification will have to be backed by strong rationale and adequate justification for change.

- 3) The management team shall review all such suggestions on an ongoing basis in its management meetings.
- 4) The ED will be responsible for final review of all such suggestions on an ongoing basis.
- 5) Unless, the suggestion is extremely important and may have a critical impact on the functioning of the organization, all such suggestions, if found acceptable, will be compiled and presented to the Board on an annual basis for approval based on which the respective policy documents / guidelines will be modified.
- 6) However, the proposed changes are significant and the management team unanimously decides that the change be brought about instantly, the ED will be responsible for taking it up with the Board and seeking concurrence.
- 7) Else, all issues taken up in the annual Board Meeting for directives and endorsement
- 8) During the annual review, even if there is no update in the manuals, the same will be documented and the date of last review and update on the manual will be updated.

Figure 3: Internal management policies – review and update flowchart



Acquisition of Projects

Proposal design and submission forms are one of the first major steps in any project acquisition exercise. Lhak-Sam shall undergo following procedures for project design and proposal submission:

- 1) For each project opportunity where a proposal needs to be submitted, the executive director (ED) will constitute a proposal writing team (PWT) of 3-4 people from within Lhak-Sam staff.
- 2) The PWT will review the project opportunity / Request for Application / Request for Proposal document and determine whether any external technical expertise will be needed for writing the proposal.
- 3) The PWT will nominate a focal person within the team to prepare who will be responsible for preparing first draft of the proposal (with inputs from other team members as and when required) keeping in mind that:
 - a) The proposal is based on a thorough understanding of the TOR.
 - b) The proposal builds upon the past progress / achievements and challenges of Lhak-Sam wherever applicable.
 - c) The proposal is well researched and provides strong evidence for supporting the proposed activities.
 - d) Lhak-Sam will use its own template for proposal writing if the donor agrees otherwise will use the template required by the donors
 - e) The PWT may also decide to share the responsibilities for different sections of the proposal to different members in the proposal writing team. Even under such circumstances, it will be the responsibility of the focal person to ensure coordination among all such members and be responsible for ensuring that the first complete draft is ready for submission to the ED for review and feedback.
 - f) Members of the PWT and the ED will start providing feedback on the draft proposal.
 - g) Simultaneously the Finance Unit of Lhak-Sam will prepare the first draft of the budget in the format agreed between the donor and Lhak-Sam in which the donor expects the budget to be submitted.
 - h) Based on all the feedback and the budget inputs from the finance unit, the PWT submits the final draft of the proposal to the ED for final review and sharing with the Chairperson of the Board.
 - i) The final approval for submission will be provided by the Chair of the Board.
 - j) Once approved, the PWT adapts the proposal and the budget to the template prescribed by the donor if any.
 - k) ED will be responsible for ensuring that the in the process of adaptation any deviation from the pre-submission checklist is filled up.

Minimum Standard Requirement Checklist for a Project

SI no	Standard checklist requirement	Approved or not	
		Yes	No
1	Budget figures based on historical financial data and assessment of local current market rates	Yes	No
2	Format of the technical proposal strictly as per the prescribed format	Yes	No
3	Format of the financial proposal strictly as per the prescribed format	Yes	No
4	All documents as required by the donor are annexed	Yes	No
5	Number of copies to be submitted are as per the request	Yes	No
6	Soft copy submission required	Yes	No
7	Chairperson's approval	Yes	No
8	All unit costs based on historical data apportioned to current prices	Yes	No
9	Unit costs aligned to the existing unit costs/rates of similar line items	Yes	No
10	Inflation factored in	Yes	No
11	Evidence of quotes / search for unit rates	Yes	No
12	Adequate range & margin for often fluctuating lines like air fares	Yes	No
13	Overhead costs included	Yes	No
14	Budget lines matched with activity list / work breakdown structure	Yes	No
15	All sub-totals & totals checked	Yes	No
16	All potential taxes factored in	Yes	No
17	Compliance to all other RFP requirements	Yes	No
18	Any certificate required	Yes	No
19	Any reference required	Yes	No
20	Any project completion certificate required	Yes	No
21	Any other past project document required	Yes	No
22	ED has finally vetted the final adapted versions	Yes	No

Negotiations/Contracts / Grant Agreements

During negotiations, the Lhak-Sam focal person should:

- a) Ensure that if budget negotiations take place, they will not affect the activities and outputs. If this is likely to happen, then negotiations should take place on the activity matrix and the project targets as well to ensure that they are fully aligned.
- b) Ensure that during budget negotiations, unit costs are not negotiated to an extent where it creates disparity with similar budget lines across different projects in Lhak-Sam.
- c) Ensure that the draft agreement is thoroughly reviewed to assess if there are any clauses or obligations, which Lhak-Sam may find it difficult to comply with. All such clauses will need to be negotiated to the mutual comfort level of both the parties.

Launching the Project

- a) Lhak-Sam will plan a launch meeting with the donor to arrive at a common understanding of the work plan, client expectations and the contractual obligations.
- b) After the launch meeting with the client, Lhak-Sam will prepare a detailed plan for recruiting the project team if external recruitments are required or re-designate existing staff, if that is a part of the plan.
- c) Once the key project positions are filled up including the Project In charge / Team Leader/Project Director, Lhak-Sam will plan a detailed orientation workshop of the project team.
- d) The orientation workshop will include but not be limited to:
 - a. Briefing about Lhak-Sam (if there are new team members) – vision, mission, projects undertaken, major achievements including the challenges.
 - b. Organization structure, policies and procedures
 - c. About the project: goals, objectives, activities, outputs
 - d. Project management procedures and guidelines
 - e. Financial management of the project
 - f. Monitoring
 - g. Quality assurance
 - h. Reporting obligations and minimum standards
- e) Project In charge / Team Leader/Project Director will be the lead person responsible for planning and coordinating the orientation workshop.

Project Management

- a. Project Coordinator will be responsible for ensuring day-to-day project management.
- b. Project will be managed as per the work plan agreed upon with the donor.
- c. A detailed work break down structure shall be prepared to operationalize the project work plan with clearly assigned responsibilities and time frame.
- d. Any deviations from the work plan will be brought to the notice of the Executive Committee (EC).
- e. The Project Coordinator shall develop a project specific risk register which will have an inventory of anticipated or current risks, date of identification, level of risk (low, medium, high), strategies proposed to be adopted for managing / reducing the risk and update.
- f. The risk register will be reviewed monthly by the EC.
- g. The project will be monitored based on the project indicators and targets and monthly performance against target statement will be prepared for analysis by the EC.

Financial Management

- a. Financial management of the project will take place within the provisions of the Lhak-Sam Finance Manual 2016.
- b. The Project Coordinator will be responsible for ensuring compliance to the provisions of the Lhak-Sam Finance Manual in the implementation of project activities. She/he will be adequately supported by ED Lhak-Sam in this function.
- c. All expenditure will take place strictly as per the project budget guidelines and as per the policies of Lhak-Sam.
- d. Monthly budget versus expenditure variance analysis will form the basis of monthly project reviews which will also be presented in the EC Meeting for their comments and recommendation.

Project Closure

- a. All project obligations are met.
- b. All project reports are compiled and final project end report is prepared.
- c. All project accounts are reconciled and available balances, if any, is clearly indicated supported by bank statements.
- d. Agreement with the donor about disposal of assets procured under the grant, if any, or formally request the donor the assets procured for organization's continuous use.
- e. Entire closure process is documented.
- f. All donor requirements are met in a timely manner up to the satisfaction of the donor.
- g. A closure report is prepared and submitted to the donor along with request for a close-out letter.
- h. Follow up for the close-out letter which states that all contractual obligations, project activities have been successfully completed and all finances related to the project are reconciled and settled between both the parties and that there are no pending obligations on behalf of Lhak-Sam.

Annexes

Document Change Log

The following is a document change log for this SOP. The change log records the major released iterations of this document and represents the history of change for this document. Editors of this document should keep this log up to date.

Table 1. Document Change Log

Change No.	Change Type	Description of Change	Date Submitted	Date Approved	Status	Comments
Version 0.1	Initial draft	This is the initial draft of this document	1/1/2016		Superseded	Created by Lhak-Sam
Version 1.0	Final Draft	TA from PCATWW	3/25/2016		Released	Final edits made

Acknowledgements

We sincerely want to thank the UNDP Bangkok Office for conceptualizing this effort, and for their constant support and encouragement without which the workshop & SOP development would not have been possible. This effort was also made possible by the [MSA Programme](#) supported by The Global Fund.

We are also grateful to our consultants, Mr. Jigs Gatton and Mr. Uttam Uprety from Phoenix Consulting and Training Worldwide (www.pcatww.com), who facilitated the successful training workshop on "[Strengthening Program Management System](#)" in Bangkok. We also appreciate Phoenix's effort and support for their follow-up technical assistance with country level SR partners - helping partners create or strengthen their own Standard Operating Procedures.

And lastly, a special thanks to Mr. Shankar Silmula (APCOM Program Manager), who led the effort in liaising with Phoenix and Country-level SR Partners, helping them deliver the Training Workshop and complete the follow-on work.



MULTI-COUNTRY SOUTH ASIA GLOBAL FUND HIV PROGRAMME