



REPUBLIC OF ZAMBIA  
NATIONAL HIV/AIDS/STI/TB COUNCIL

## PROVINCIAL AIDS TASK FORCE PERFORMANCE ASSESSMENT AND CERTIFICATION STANDARDS



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## Abbreviations

ADC/RDC	Area/Residence Development Committee
AIDS	acquired immune deficiency syndrome
ART	antiretroviral therapy
CATF	Community AIDS Task Force
BCC	behaviour change communication
CBO	community-based organisation
DACA	District AIDS Coordination Advisor
DATF	District AIDS Task Force
DDCC	District Development Coordinating Committee
FBO	faith-based organization
GRZ	Government Republic of Zambia
HBC	home-based care
HIV	human immuno-deficiency virus
IEC	information, education, and communication
MOU	memorandum of understanding
MOH	Ministry of Health
NAC	National HIV/AIDS/STI/TB Council
NASF	National AIDS Strategic Framework
NARF	National Activity Report Form
NGO	non-governmental organization
NZP+	Network of Zambian People Living with HIV/AIDS
OCA	organisational capacity assessment
OCC	organisational capacity certification
OVC	orphans and vulnerable children
PACA	Provincial AIDS Coordination Advisor
PATF	Provincial AIDS Task Force
PDCC	Provincial Development Coordinating Committee
PLHIV	people living with HIV and AIDS
PMTCT	prevention of mother-to-child transmission
QA	quality assurance
SARF	Stakeholders Activity Report Form
TWG	technical working group

## Introduction

### Background and Context

Since 1984, the Zambian government has systematically put in place plans and resources to address the challenges of the HIV epidemic and to achieve the country's vision of "a nation free from the threat of HIV and AIDS."

Some of the key structures and policies established to operationalize this vision include:

- The Cabinet Committee of Ministers on HIV and AIDS is the policy-making body.
- The National HIV/AIDS/STI/TB Council (NAC), with members appointed by and reporting to the cabinet committee; it is supported by a secretariat. NAC was established to coordinate, support, advise, monitor and evaluate the national HIV and AIDS multi-sectoral response on a national level and through decentralized coordinating structures, as described next.
- Provincial AIDS Task Forces (PATFs), District AIDS Task Forces (DATFs) and Community AIDS Task Forces (CATFs) form subcommittees under the Provincial and District Development Coordinating Committees (PDCCs and DDCCs). They are responsible for leading the decentralized, multi-sectoral, HIV and AIDS response. While PATFs, DATFs and CATFs are made up of volunteer members, PATFs and DATFs have a paid advisor to guide the work of their taskforces; for PATFs this is a Provincial AIDS Coordination Advisor (PACA) and for the DATFs it is a District AIDS Coordination Advisor (DACA).
- The National HIV and AIDS Policy (2005) provides guidelines, directives and mandates for the national multi-sectoral response.
- The National HIV and AIDS Strategic Framework (NASF) 2011-2015 maps out the multi-sectoral decentralized response to HIV and AIDS in Zambia. NASF is designed to provide adequate space and opportunity for stakeholders to actively participate in implementation based on their mandate and comparative advantage.

The Zambian government has also adopted the "three ones principle" which was established by UNAIDS in 2004 as a guiding principle for national authorities and their partners addressing the HIV pandemic. The principle, stated in the box below, emphasizes the importance of stakeholders agreeing on one unified strategic plan, one coordinating structure and one monitoring and evaluation system. The Zambian Government established NAC to assume the responsibility for the principle's implementation. Decentralized PATF, DATF and CATF coordinating structures assume this responsibility at the provincial, district and community levels.

#### **"Three Ones" Principle**

1. One agreed strategic framework that provides the basis for coordinating the work of all partners: Zambia's National AIDS Strategic Framework (NASF).
2. One national AIDS coordinating authority with a broad-based multi-sectoral mandate: Zambia's National HIV/AIDS/STI/TB Council.
3. One agreed country-wide monitoring and evaluation system: Zambia's National Monitoring & Evaluation Plan.

## Overview

Provincial AIDS Task Forces play a critical role in carrying out the mandates of NAC. They lead the provincial HIV and AIDS response, coordinate provincial stakeholders, and support DATFs to carry out their roles and responsibilities. Effective coordination thus relies on PATFs' ability to carry out their management and coordination functions.

PATFs are voluntary associations made up of representatives of provincial authorities, businesses and civil society organizations. They are led by an executive committee, which is made up of the PACA, PATF chairperson, vice chairperson, treasurer and theme group chairs. The PATF is in an important position, having a dual structure as both a NAC coordinating structure and a PDCC subcommittee. It is responsible for coordinating the provincial HIV and AIDS multi-sectoral response by integrating HIV and AIDS into the work of every partner and scaling up prioritized actions which are rapid and responsive to the needs of the province.

The PDCC is composed of provincial heads of government departments, provincial heads of quasi-government institutions, and select heads or leaders of civil society and private sector institutions. As a subcommittee, the PATF reports to the PDCC. The PATF's role is to advocate for and coordinate the decentralized HIV and AIDS response into the provincial administration core mandates. All provincial administrations in Zambia create development plans, which feed into the national development plan. PATFs ensure that HIV and AIDS strategies, activities and services are integrated into provincial plans.

The PATF performance assessment standards described in this document articulate PATFs' management and coordination functions. The standards were designed to help NAC and the PATFs themselves, assess actual performance against standards, identify performance gaps, and target efforts to address gaps and strengthen performance. They can also be used as the basis for a certification process that would enable NAC to identify and recognize high-performing PATFs.

The standards can be used by NAC or a technical support organization to conduct independent or joint assessments. PATFs can also use them for internal performance assessments. In either case, the purpose of these standards is to foster improvement, strengthen coordination, and, ultimately, improve service availability and quality, prevent new infections, and ensure better support for people living with HIV and AIDS (PLHIV).

Assessments can typically be completed in one day; however, two days may be required when a PATF is first assessed. PATFs should be provided the standards in advance of the assessment so that they may review them and prepare the relevant documentation.

The assessment should be conducted with the PACA, PATF chairperson and as many stakeholder representatives as possible. It is typical to have 10 to 20 PATF members present for an assessment. Copies of this document should be provided to all attendees to allow them to follow along, discuss and score. It can be helpful to have an LCD projector and complete the standard compliance report and improvement plan as a group.

Additional guidance for conducting assessments can be found in the *Provincial and District AIDS Taskforce Performance Assessment and Certification Guidelines*. The *District Coordination Toolkit* contains guidance on operations and procedures and is an essential resource for the evaluation of standard compliance. Although written initially for DATFs, the guidance in the *District Coordination Toolkit* can be easily adapted to the PATF context.

## Key Terms

<b>Standard:</b>	A statement that defines performance requirements, structures, or processes that must be in place for an organization to deliver effective, efficient, safe, high quality services.
<b>Performance Expectation:</b>	A measurement that defines what an organization needs to comply with to meet the standard requirements.
<b>Category:</b>	Defines the key function of a group of standards
<b>Categories of PATF Management Standards:</b>	The management performance process has eight categories of standards, each with its own code. The certification process has eight categories of standards, each with its own code.

These categories are summarized in Table 1.

**Table 1: Categories of PATF management standards**

<b>GL</b>	Governance and leadership
<b>CPR</b>	Coordination of provincial response
<b>ADM</b>	Administrative management
<b>HR</b>	Human resources management
<b>RPM</b>	Response performance management
<b>CCI</b>	Mainstreaming of cross-cutting issues
<b>FM</b>	Financial management
<b>ME</b>	Monitoring and evaluation

## Standard Categories

### Governance and leadership (GL)

The Provincial AIDS Task Force executive committee is responsible for managing PATF operations, leading PATF stakeholders, and ensuring the PATF composition and activities are reflective of and responsive to the needs of districts and the provincial population. The executive committee is made up of the PACA – who is a salaried employee of NAC – PATF chairperson, vice chairperson, treasurer and theme group chairs.

To function effectively and lead a coordinated response, PATFs should adhere to NAC operational guidelines related to organizational structure, functions and operations. PATF leaders should also meet regularly with and report to both the PDCC and NAC. Regular communication and reporting ensures that the PATF is linking appropriately with other provincial authorities and with national HIV and AIDS response leadership.

### GL.1 Standard:

**The Provincial AIDS Task Force utilizes nationally approved NAC operational guidelines that describe the PATF organizational structure and functions.**

Score each performance expectation M (met) or NM (not met).

1. \_\_\_\_\_ The operational guidelines include vision and mission statements.  
  
The operational guidelines define the PATF membership composition, PATF members with terms of office and the election process to the office, the PACA role as recommended by NAC, PATF sub-committees and their roles and responsibilities.
2. \_\_\_\_\_
3. \_\_\_\_\_ The operational guidelines include the formal mandates assigned to PATFs by NAC and/or the PDCC, codes of conduct and disciplinary codes.

#### GL.1 Score

☐

Met – all 3 expectations met

☐

Partially Met – 2 expectations met

☐

Not Met – fewer than 2 expectations met

## GL.2 Standard:

**There is evidence that the PATF is working in collaboration with PDCC and NAC, as defined in its coordinating structure mandates, functions and responsibilities.**

Score each performance expectation M (met) or NM (not met).

1. \_\_\_\_\_ There is written evidence that, during the two most recent quarters, the PACA and/or at least one member of the PATF attended quarterly PDCC meetings.
2. \_\_\_\_\_ There is written evidence that the PACA and/or at least one member of the PATF attended quarterly PATF coordination meetings during the two most recent quarters.
3. \_\_\_\_\_ The PATF can provide written evidence of an issue from the past four quarterly PDCC meetings where they provided input and assisted with decision making on an issue that impacted PATF stakeholders.
4. \_\_\_\_\_ There is evidence that PATF has submitted *Narrative and Financial Quarterly Reports* to NAC as required.

### GL.2 Score

☐

Met – all 4 expectations met

☐

Partially Met – 2 to 3 expectations met

☐

Not Met – fewer than 2 expectations met

## Coordination of provincial response (CPR)

To build a sustainable HIV and AIDS response, the Provincial AIDS Task Force must foster linkages and involve stakeholders at the provincial level. Stakeholders from the line ministries, provincial administration, civil society (NGOs, CBOs, PLHIV, FBOs, traditional leaders and healers), media, legal and private sectors are to be recruited as PATF stakeholders. Where there is no representation, it should be developed, and where it is weak it should be strengthened. An important means for engaging political, traditional, religious and business leaders is to communicate with them when it matters most. This involves inviting them to officiate at events, participate in planning sessions and make presentations at forums. All key stakeholders working with the provincial HIV and AIDS response must be involved in conceptualizing, planning, implementing, monitoring, and evaluating activities, services and results. Stakeholders' participation in the PATF should be fully supported by their organizations and the stakeholders should represent their organizations' voices.

### CPR.1 Standard:

**The PATF is comprised of stakeholders from the government, non-governmental organizations and the private sector seated at provincial level.**

Score each performance expectation M (met) or NM (not met).

1. \_\_\_\_\_ The master list of all provincial stakeholders on file and/or displayed on the wall is inclusive of all stakeholders identified (see *District Coordination Toolkit* for examples)
2. \_\_\_\_\_ The PATF can describe any current gaps in stakeholder or service representation.
3. \_\_\_\_\_ The PATF can describe the mobilization process for stakeholders used when service gaps are identified and can give two examples of how specific recent gaps have been addressed and resolved.

#### CPR.1 Score

☐

Met – all 3 expectations met

☐

Partially Met – 2 expectations met

☐

Not Met – fewer than 2 expectations met

## **CPR.2 Standard:**

### **The PATF coordinates a broad range of provincial HIV and AIDS response programs.**

Score each performance expectation M (met) or NM (not met).

1. \_\_\_\_\_ There is documented evidence of actions taken to achieve improvement on the most recent performance assessment.
2. \_\_\_\_\_ PATF stakeholders can describe how, or there is documented evidence that, the PATF has coordinated the provincial HIV and AIDS joint planning process.
3. \_\_\_\_\_ PATF stakeholders can describe how, or there is documented evidence that, the PATF has coordinated the HIV and AIDS monitoring and evaluation planning process.
4. \_\_\_\_\_ There is evidence that the PATF is working with other provincial coordinating structures (e.g. NZP+, civil society, private and public sector agencies, etc.).

**CPR.2 Score**☐

Met – all 4 expectations met

☐

Partially Met – 3 expectations met

☐

Not Met – fewer than 3 expectations met

### CPR.3 Standard:

**The PATF and each of its stakeholders have signed a memorandum of understanding (MOU) that enhances the coordinated multi-sectoral HIV and AIDS response by formalizing an agreement and defining the operational relationships and member obligations.**

Score each performance expectation M (met) or NM (not met).

1. \_\_\_\_\_ The MOUs include the names of the two parties entering into the agreement.
2. \_\_\_\_\_ The MOUs include details of the operational relationship and obligations under agreement: who, what, when, where, how and for what period of time.
3. \_\_\_\_\_ The MOUs are signed by the PATF chairperson and the stakeholder organization's representative.

#### CPR.3 Score

☐

Met – all 3 expectations met

☐

Partially Met – 2 expectations met

☐

Not Met – fewer than 2 expectations met

#### CPR.4 Standard:

**The PATF provides technical and coordination support for the DATFs and other stakeholders in the province.**

Score each performance expectation M (met) or NM (not met).

1. \_\_\_\_\_ PATF members can describe how, or there is documented evidence that, the PATF has facilitated DATF establishment and functionality in the province.
2. \_\_\_\_\_ PATF members can describe how, or there is documented evidence that, the PATF has facilitated or provided training for DATFs.
3. \_\_\_\_\_ PATF members can describe how, or there is documented evidence, the PATF is contributing to the development of information, education and communication (IEC) materials that suit local needs.

#### CPR.4 Score

☐

Met – all 4 expectations met

☐

Partially Met – 2 expectations met

☐

Not Met – fewer than 2 expectations met

## CPR.5 Standard:

### The PATF conducts quarterly stakeholder meetings.

Score each performance expectation M (met) or NM (not met).

1. \_\_\_\_\_ There is documented evidence that stakeholders have at least seven days' notice of quarterly meetings with agendas attached.
2. \_\_\_\_\_ Quarterly meeting attendance is documented and the information is tracked by the PATF to evaluate the level of stakeholder participation.
3. \_\_\_\_\_ A review of the two most recent PATF quarterly meeting minutes provides evidence that stakeholders are sharing information and making group decisions on actions to be taken. Where follow-up action is required there is documentation in the next meeting minutes that reports were made on the follow-up action progress.
4. \_\_\_\_\_ Quarterly meeting minutes are documented using the PATF minute template and are circulated to PATF registered stakeholders prior to or at the quarterly meeting.

#### CPR.5 Score

☐

Met – all 4 expectations met

☐

Partially Met – 3 expectations met

☐

Not Met – fewer than 3 expectations met

## Administrative management (ADM)

Provincial AIDS Task Force administrative systems and processes should ensure prudent and transparent management of resources (human, material, time and money) and allow for efficient PATF office operations. Routine tasks need standardized procedures to stay organized and keep operations running smoothly. Procedures need to be written for handling personnel, buildings, paperwork, office supplies and equipment. They provide the guidance and direction needed for managing PATF day-to-day operations. At the same time, it is recognized that administrative systems and processes are dynamic. As the work of the PATF evolves, administrative systems must adapt. PATF policies, by-laws, procedures and guidelines are created by NAC or the provincial administration. The final documents are disseminated to stakeholders. Administrative policies and procedures should be adhered to by PATF stakeholders.

### ADM.1 Standard:

**The PATF uses standard national procedures for managing administrative operations which are known and understood by stakeholders.**

Score each performance expectation M (met) or NM (not met).

1. \_\_\_\_\_ Written office procedures include a communication policy (including mail, email, phone and photocopying, as appropriate), a transport management policy, safety and security guidelines, procurement procedures and personnel management policies.
2. \_\_\_\_\_ There is a filing system, organized by subject, for hard copy PATF documents including PATF member representatives/volunteers/interns personnel records; finances/other assets; programs/activities (attendance lists, minutes, reports, monitoring activities); provincial stakeholder databases; resource mobilization plans/proposals; other important organizational records (work plans, MOUs, committee meeting agendas/minutes).
3. \_\_\_\_\_ Computer files are saved using named document files.
4. \_\_\_\_\_ All computer files are backed up and secured on site and also secured away from the office.
5. \_\_\_\_\_ Roles and responsibilities for maintaining PATF records in an orderly and timely manner are clearly documented and have been communicated to the responsible person(s).

#### ADM.1 Score

☐

Met – all 5 expectations met

☐

Partially Met – 3 or 4 expectations met

☐

Not Met – fewer than 3 expectations met

## ADM.2 Standard:

### The PATF assets are accounted for.

Score each performance expectation M (met) or NM (not met).

1. \_\_\_\_\_ Assets, such as office equipment, furniture, vehicles and others, are listed on the *PATF Asset Record Form*.
2. \_\_\_\_\_ The *PATF Asset Record Form* is up-to-date.
3. \_\_\_\_\_ The asset management system is linked to the accounting system to allow for reporting the movements of assets, maintenance schedules and depreciation.
4. \_\_\_\_\_ The person(s) responsible for maintaining the *PATF Asset Record Form* is/are clearly identified.

#### ADM.2 Score

☐

Met – all 4 expectations met

☐

Partially Met – 3 expectations met

☐

Not Met – fewer than 3 expectations met

## Human resources management (HR)

Human resources management goes beyond staff management. Provincial AIDS Task Forces have a mandate from the NAC and the PDCC to build the capacity of stakeholders to achieve strategic and operational objectives. PATF stakeholders use their PATF-acquired knowledge, skills and experiences to build capacity in their own organizations and with their constituents. To be considered a PATF stakeholder, a candidate should be able to contribute knowledge and skills related to the HIV and AIDS response and program coordination. Stakeholders should have experience coordinating and managing HIV and AIDS prevention, treatment, care, support, and impact mitigation programs and should have influence in the organizations they represent.

The PATF is a hub where capacity building efforts bring together multiple perspectives on, and approaches to, key program challenges. When stakeholders share their insights as a group they learn together how to move forward. Collective learning results in deeper understanding and new approaches for enhancing PATF strategic and operational objectives. It is therefore important that the PATF capacity building process be comprehensive and utilize a systematic approach.

Recommended steps include:

- Conduct an initial assessment of the status of the current capacity; use the PATF stakeholder analysis and organizational management assessments such as an OCA or management performance self-assessments as sources of information. Focus on the knowledge and skills required to build capacity to achieve PATF strategic goals and objectives.
- Ensure PATF action plans related to capacity building include prioritized growth areas, have clearly defined goals and action steps with measurable targets and dates, and that the action plans are monitored for progress.
- Reassess PATF capacity periodically and report progress at PATF quarterly meetings so it is clear what improvement has been made, what capacity building activities have contributed the greatest improvement, and what capacity building still has to be addressed.

## HR.1 Standard:

**There is a system for developing, disseminating, monitoring and updating PATF stakeholder task descriptions or terms of reference to ensure that individual roles are clearly defined, understood, and relevant to PATF coordination needs.**

Score each performance expectation M (met) or NM (not met).

1. \_\_\_\_\_ There are written task descriptions/terms of reference developed for the PATF members, subcommittees, and any volunteers and interns.
2. \_\_\_\_\_ Each task description defines the responsibilities of the position/committee.
3. \_\_\_\_\_ The reporting line for each task is clearly defined in the job/task description.
4. \_\_\_\_\_ PATF members either have copies of their task descriptions, or have reviewed them and they are accessible to them upon request. A signed hard copy is kept on file as a confirmation that it was reviewed and the contents understood.
5. \_\_\_\_\_ The PATF has documented evidence of specific guidance on task descriptions for all its members assigned with specific tasks.

### HR.1 Score

☐

Met – all 5 expectations met

☐

Partially Met – 3 or 4 expectations met

☐

Not Met – fewer than 3 expectations met

## HR.2 Standard:

**Orientation of new stakeholders provides initial training and involves assessment of stakeholder capacity to perform the job/task responsibilities.**

Score each performance expectation M (met) or NM (not met).

1. \_\_\_\_\_ Initial orientation includes a review of the PATF operational guidelines, relevant national and provincial policies and procedures (including HIV and AIDS mainstreaming, decentralized response and workplace policies), PATF meeting structures, strategic, operational, quarterly plans, and PATF reports including monitoring and evaluation templates (both general and Ministry of Health (MOH) specific).
2. \_\_\_\_\_ Initial orientation includes a review of the relevant job/task description and provides the stakeholder with a clear understanding of role expectations.
3. \_\_\_\_\_ There is evidence that extended orientation opportunities are available, tailored to new stakeholders' learning needs and based on their role, knowledge, skills and work experiences.
4. \_\_\_\_\_ New stakeholder orientation, including any extended orientation activities, is documented and filed with office records.

### HR.2 Score

☐

Met – all 4 expectations met

☐

Partially Met – 3 expectations met

☐

Not Met – fewer than 3 expectations met

### HR.3 Standard:

**PATF provides ongoing stakeholder education and training to strengthen stakeholder capacity that is based on assessment/re-assessment of stakeholder learning needs.**

Score each performance expectation M (met) or NM (not met).

1. \_\_\_\_\_ There is evidence that PATF facilitates learning for stakeholders to ensure stakeholders have the capacity to fulfil PATF roles and responsibilities.
2. \_\_\_\_\_ Capacity building activities are documented in PATF meeting minutes or personnel records and filed with office records.

**HR.3 Score**☐

Met – both expectations met

☐

Partially Met – 1 expectation met

☐

Not Met – neither expectation met

#### HR.4 Standard:

**The capacity of individuals to carry out their PATF stakeholder roles and responsibilities is annually assessed, demonstrated, maintained, and improved.**

Score each performance expectation M (met) or NM (not met).

1. \_\_\_\_\_ Individual PATF members complete a self-evaluation annually, share the self-evaluation findings with other PATF members, solicit their input and define improvement objectives together with other PATF members.
2. \_\_\_\_\_ There is evidence that performance appraisals and self-evaluations are based on task descriptions or mandates, technical skills and performance related to PATF coordination activities.
3. \_\_\_\_\_ There is evidence that a participatory approach is being used for performance assessment and self-evaluations and the process includes defining performance objectives for continued capacity development.

#### HR.4 Score

☐

Met – all 3 expectations met

☐

Partially Met – 2 expectations met

☐

Not Met – fewer than 2 expectations met

## Response performance management (RPM)

The National AIDS Strategic Framework 2011-2015 (NASF) is a multi-sectoral framework for HIV and AIDS framework that provides strategic and policy orientation for the national response. It was developed through an intensive consultation process with stakeholders. The framework focuses on using evidence-based planning and management. It accounts for the decentralization of HIV and AIDS response implementation across sectors (civil society, private sector, provinces and districts). It incorporates gender and human rights dimensions to ensure accelerated implementation of universal access to services. The NASF articulates the national priorities, impact level results and response, expected program outcomes and outputs and revolves around the four national pillars listed in the box below.

### **Four National HIV/AIDS Strategic Framework Pillars**

- Intensifying prevention
- Expanding treatment, care and support
- Mitigating the social and economic impact of HIV and AIDS
- Coordination and response management

Provincial AIDS Task Forces are mandated by NAC and PDCC to work with stakeholders to develop a provincial HIV and AIDS strategic plan and annual operational plans to guide coordination and allocation of resources to the HIV and AIDS programs in the province and ensure alignment and coordination of provincial activities with national and provincial plans. There is an established PATF strategic planning process, which integrates strategic thinking, collection of data and other program information, reflection, discussion, aligning provincial and national plans, and consensus building. All key PATF stakeholders need to be involved in developing the Provincial HIV and AIDS Strategic Plan.

### **RPM.1 Standard:**

**The PATF is involved in long-term strategic planning for the provincial response to HIV and AIDS.**

Score each performance expectation M (met) or NM (not met).

1. \_\_\_\_\_ There is evidence that the PATF has a standardized process for strategic planning.
2. \_\_\_\_\_ There is evidence that the strategic planning process was participatory and adhered to the basic outline and steps for strategic planning.
3. \_\_\_\_\_ There is evidence that Provincial HIV and AIDS Strategic Plan has been submitted to the PDCC for review and approval.
4. \_\_\_\_\_ The Provincial HIV and AIDS Strategic Plan has been launched and copies of the document distributed to stakeholders.

#### **RPM.1 Score**

☐

Met – all 4 expectations met

☐

Partially Met – 2 to 3 expectations met

☐

Not Met – fewer than 2 expectations met

## RPM.2 Standard:

### The PATF is involved in operational program planning.

Score each performance expectation M (met) or NM (not met).

1. \_\_\_\_\_ The PATF Operational Plan is based on the Provincial HIV and AIDS Strategic Plan.
2. \_\_\_\_\_ The PATF Operational Plan reflects the strategic plan's priorities and provincial programs and defines annual operational objectives, activities, timelines, responsible persons, targets and indicators.
3. \_\_\_\_\_ The PATF Operational Plan adheres to the defined provincial operational plan outline (i.e., it includes an executive summary, coordination structure description, implementation plan, monitoring and evaluation plan and operational budget).
4. \_\_\_\_\_ The PATF Operational Plan has been submitted to the PDCC for review and approval.
5. \_\_\_\_\_ There is evidence that the PATF Operational Plan has been launched and communicated to stakeholders.

#### RPM.2 Score

☐

Met – all 5 expectations met

☐

Partially Met – 3 or 4 expectations met

☐

Not Met – fewer than 3 expectations met

### RPM.3 Standard:

#### The province is involved in short-term activity planning.

Score each performance expectation M (met) or NM (not met).

1. \_\_\_\_\_ The PATF develops and updates quarterly action plans based on the annual Provincial Operational Plan.
2. \_\_\_\_\_ There is evidence PATF stakeholders have participated in the development of provincial quarterly action plans.
3. \_\_\_\_\_ Provincial quarterly action plans have stated goals, objectives, timelines, responsibilities, output and outcome targets and indicators.
4. \_\_\_\_\_ There is documented evidence that the PATF assesses quarterly action plan progress and presents the assessment to PATF stakeholders at quarterly meetings where consensus on actions needed for improvement is obtained.
5. \_\_\_\_\_ There is evidence that the PATF presents the provincial quarterly report information to the PATF and the PDCC.
6. \_\_\_\_\_ There is evidence that stakeholder information generated through the provincial quarterly reports is used to review and inform the provincial action plans.

#### RPM.3 Score

☐

Met – all 6 expectations met

☐

Partially Met – 3 to 5 expectations met

☐

Not Met – fewer than 3 expectations met

## **Mainstreaming of cross-cutting issues (CCI)**

HIV and AIDS, human rights and gender are “cross-cutting issues,” meaning that they are important to consider (that is, they cut across) across all other areas and affect all sectors. If they are not accounted for and addressed, these cross-cutting issues will undermine developmental gains, affecting both implementation and impact. In Zambia, “mainstreaming” is the preferred approach to integrating HIV and AIDS, gender and human rights in development.

### CCI.1 Standard:

**The PATF focuses on mainstreaming HIV and AIDS, gender and human rights issues in all of its activities and supports its inclusion in other development processes.**

Score each performance expectation M (met) or NM (not met).

1. \_\_\_\_\_ There is a copy of the *NAC Mainstreaming Toolkit* available in the PATF office.
2. \_\_\_\_\_ There is evidence that the toolkit is used as a reference document in long- and short-term planning processes.

#### CCI.1 Score

☐

Met – both expectations met

☐

Partially Met – 1 expectation met

☐

Not Met – neither expectation met

## CCI.2 Standard:

**The PATF stakeholders are able to demonstrate knowledge of, and the ability to apply, the information from the mainstreaming toolkit in provincial planning, implementation and monitoring activities.**

Score each performance expectation M (met) or NM (not met).

1. \_\_\_\_\_ When interviewed, PATF stakeholders can describe and provide examples of how mainstreaming issues - HIV and AIDS, gender and human rights - are considered at PATF stakeholder forums.
2. \_\_\_\_\_ When interviewed, PATF stakeholders can recite or share some of the common questions from the *NAC Mainstreaming Toolkit* related to HIV and AIDS, gender and human rights that have been developed to ensure the mainstreaming of cross-cutting issues are actively being addressed in the province.
3. \_\_\_\_\_ PATF action plans include some activities that are aimed at improving the mainstreaming of the cross-cutting issues of HIV and AIDS, gender and human rights.

### CCI.2 Score

☐

Met – all 3 expectations met

☐

Partially Met – 2 expectations met

☐

Not Met – fewer than 2 expectations met

## Financial management (FM)

Managing finances is critically important, especially in resource-scarce environments such as Zambia. For Provincial AIDS Task Forces, prudent financial management is essential because it fosters internal and external trust, both of which are ingredients for sustainability.

PATF financial procedures must be both effective and efficient. Effectiveness means that PATF financial management systems and controls will be in place to ensure that funds are used only for their intended purposes and that financial procedures are understood by PATF members and adhered to. Efficiency means that finances are spent according to procedures and that financial report requirements are met. Sound financial management is linked with every HIV/AIDS response program included in the national and provincial strategic, operational and quarterly work plans. PATFs have a responsibility to support, develop and monitor their respective budgets, assets, and resources in a manner that advances the HIV and AIDS response.

PATF financial systems must meet four specific objectives. These include accountability, control, transparency and reporting.

- **Accountability:** The system must ensure that funds are properly accounted for in accordance with guidelines, actions, and budgets.
- **Control:** The system must provide efficient control and monitor the use of funds and other assets made available to the PATF.
- **Transparency:** The system must clearly define responsibilities and authorities.
- **Reporting:** The system must provide clear information for accurate and timely financial reporting.

Financial reports should be disseminated to PATF members, stakeholders and funding sources. This builds confidence and demonstrates accountability.

PATF fiscal accountability must also be verified by an independent annual audit, as required by NAC and the PDCC. An annual audit provides an opportunity for the PATF to receive feedback on strengths and ways to improvement their financial management processes.

### FM.1 Standard:

**Processes are in place for the provincial administration to provide oversight of PATF finances.**

Score each performance expectation M (met) or NM (not met).

1. \_\_\_\_\_ There is evidence that the annual PATF Operational Plan includes reviewed budgets.
2. \_\_\_\_\_ There is evidence the annual PATF Operational Plan is approved by the PATF, and is the basis for contract funding from NAC and its partners.
3. \_\_\_\_\_ There is evidence that, when an activity that is not budgeted for arises, the PATF discusses and agrees upon the activity scope, purpose, timeline and required budget and this agreement is documented in meeting minutes.

#### FM.1 Score

☐

Met – all 3 expectations met

☐

Partially Met – 2 expectations met

☐

Not Met – fewer than 2 expectations met

## FM.2 Standard:

### The PATF prepares and submits required financial reports to NAC.

Score each performance expectation M (met) or NM (not met).

1. \_\_\_\_\_ There is evidence that, for the past two quarters, the PATF has prepared and submitted financial reports by the due dates. Supporting documentation is attached to the reports.
2. \_\_\_\_\_ There is evidence that, for the past four quarters, the PATF has prepared and submitted income and expenditure reports on time, using the approved report template. Supporting documentation is attached to the reports.

#### FM.2 Score

☐

Met – both expectations met

☐

Partially Met – 1 expectation met

☐

Not Met – neither expectation met

## FM.3 Standard:

### The PATF's financial documentation is complete and in accordance with the procedures and regulations of the Government of the Republic of Zambia and with the NAC financial procedure manual guidelines for PATFs and DATFs.

Score each performance expectation M (met) or NM (not met).

1. \_\_\_\_\_ Accounting forms are completed using approved Excel spread sheet templates for financial statements, meetings, transport, stationery, communication, capacity building and miscellaneous expenses.
2. \_\_\_\_\_ Fixed assets are documented on the *NAC Fixed Asset Inventory Register Form*.
3. \_\_\_\_\_ Voucher information is documented on the *NAC General Voucher Form/GRZ General Voucher Form 5*.
4. \_\_\_\_\_ Procurement information is documented on the *NAC Stock Form/GRZ Stock Form*.
5. \_\_\_\_\_ The PACA or a PATF treasurer prepares financial reports and this role expectation is understood and adhered to.
6. \_\_\_\_\_ There is evidence that the PATF chairperson reviews and signs off on financial reports and this role expectation is understood and adhered to.

**FM.3 Score**☐

Met – all 6 expectations met

☐

Partially Met – 4 or 5 expectations met

☐

Not Met – fewer than 4 expectations met

#### FM.4 Standard:

**Processes are in place for the PATF to mobilize resources to assist stakeholders to ensure the sustainability of provincial HIV and AIDS response program activities.**

Score each performance expectation M (met) or NM (not met).

1. \_\_\_\_\_ There is a PATF resource mobilization plan, which is based on the program activities defined in the Annual Operational Plan or as a separate document.
2. \_\_\_\_\_ There is evidence that the PATF is actively identifying and mobilizing provincial partners to assist in generating income to support provincial program expenses.
3. \_\_\_\_\_ PATF stakeholders can describe some current sources of PATF income.
4. \_\_\_\_\_ When interviewed, there is evidence the PATF is actively seeking proposal/grant opportunities as fundraising sources for its activities and/or providing technical assistance to PATF stakeholder and partners seeking funding.
5. \_\_\_\_\_ There is evidence that the PATF is working with DATFs to provide networking and technical assistance for resource mobilization activities.

#### FM.4 Score

☐

Met – all 5 expectations met

☐

Partially Met – 3 or 4 expectations met

☐

Not Met – fewer than 3 expectations met

**FM.5 Standard:**

**The PATF accounts are audited annually.**

Score each performance expectation M (met) or NM (not met).

1. \_\_\_\_\_ There is evidence that a PATF audit has been conducted within the past year.
2. \_\_\_\_\_ There is evidence that the PATF has addressed or is addressing recommendations from the audit findings.

**FM.5 Score**

☐

Met – both expectations met

☐

Partially Met – 1 expectation met

☐

Not Met – neither expectation met

## Monitoring and evaluation (ME)

The National Monitoring and Evaluation Plan for 2011-2015 provides background information, defines what the monitoring and evaluation systems will measure (indicators linked to the objectives and results framework of the NASF and National Operational Plan) and how the system will operate to enable these measurements to take place. NAC, in partnership with a number of development partners, has identified strengths and areas for improvement in the national monitoring and evaluation system, especially at sub-national levels. Identified opportunities for improvement include data quality, human and institutional capacity, harmonization and alignment of systems, data flow, and program evaluation and operational research practices. A strong national monitoring and evaluation system enables effective monitoring and evaluation at provincial and district levels. Applying monitoring and evaluation standards will promote better learning and strengthen accountability to PATF stakeholders. Monitoring and evaluation results inform decisions at the field level about progress and success of activities and services and inform investment decisions.

The Provincial AIDS Task Forces are mandated by NAC and the PDCC to lead and coordinate provincial monitoring and evaluation planning and assist stakeholders to develop their own plans. The purpose of monitoring and evaluation is to permit PATFs and other stakeholders to use data to assess and improve plans and programs and the efficient use of resources. Monitoring and evaluation should be implemented in a continuous cycle throughout the course of all HIV and AIDS response activities. The system must be data-driven with regular measurement (at least quarterly), data analysis, reporting and planning actions for improvement for defined indicators.

PATFs synthesize DATF data and report monitoring and evaluation information to the PDCC and to NAC. PATFs are expected to participate in the selection of indicators, data collection methods and tools for collecting, aggregating, analysing, storing and reporting data. They also use monitoring and evaluation data to prepare quarterly Stakeholders Activity Report Form (SARF) reports.

### ME.1 Standard:

**The PATF has put in place a process to track and evaluate the implementation of its strategic plan.**

Score each performance expectation M (met) or NM (not met).

1. \_\_\_\_\_ The PATF has a defined process for developing a provincial monitoring and evaluation plan that is based on the provincial strategic plan.
2. \_\_\_\_\_ There is evidence of a relationship between the provincial monitoring and evaluation plan objectives and the provincial strategic plan objectives.
3. \_\_\_\_\_ The PATF monitoring and evaluation plan describes how indicators will be measured, by whom, when, and how the information will be used for decision making at the provincial level.
4. \_\_\_\_\_ There is evidence that the PATF used a participatory process with key stakeholders in designing the monitoring and evaluation plan.

#### ME.1 Score

☐

Met – all 4 expectations met

☐

Partially Met – 3 expectations met

☐

Not Met – fewer than 3 expectations met

## ME.2 Standard:

**The PATF has put in place a monitoring and evaluation system that ensures quality data is used for decision making, and facilitates learning and stakeholder networking.**

Score each performance expectation M (met) or NM (not met).

1. \_\_\_\_\_ The PATF has a monitoring and evaluation technical working group in place.
2. \_\_\_\_\_ There is documented evidence that relevant members of the PATF have been trained in monitoring and evaluation.
3. \_\_\_\_\_ There is documented evidence that relevant members of the PATF have been trained in data management and data quality assurance.
4. \_\_\_\_\_ There is documented evidence of functional data collection procedures within the province (i.e. SARF data flow plan).
5. \_\_\_\_\_ There is evidence that the PATF shares monitoring and evaluation data and reports with key stakeholders.
6. \_\_\_\_\_ There is evidence of documentation and communication of best practices, success stories or lessons learned.

### ME.2 Score

☐

Met – all 6 expectations met

☐

Partially Met – 3 to 5 expectations met

☐

Not Met – fewer than 3 expectations met

### ME.3 Standard:

**The data from districts using Stakeholders Activity Reporting Forms (SARF) is entered in accordance with the national guidelines.**

Score each performance expectation M (met) or NM (not met).

1. \_\_\_\_\_ When interviewed, the ME team can describe if the data from districts using SARFs is correctly entered in the system.
2. \_\_\_\_\_ There is evidence that the monitoring and evaluation team has verified and validated data from districts for the most recent quarter before compilation of the provincial report.
3. \_\_\_\_\_ There is evidence that the monitoring and evaluation team tracks the submission of data from all districts.

#### ME.3 Score

☐

Met – all 3 expectations met

☐

Partially Met – 2 expectations met

☐

Not Met – fewer than 2 expectations met

#### ME.4 Standard:

**The PATF has put in place a quality assurance support mechanism for HIV and AIDS service delivery in the province.**

Score each performance expectation M (met) or NM (not met).

1. \_\_\_\_\_ There is evidence that the PATF has put a mechanism in place for monitoring the quality HIV and AIDS services (BCC, OVC, PMTCT, ART, HBC, etc.) in the province.
2. \_\_\_\_\_ There is evidence that the PATF has identified which of its monitoring and evaluation technical committee members can support quality assurance (QA).
3. \_\_\_\_\_ There is evidence that the PATF monitoring and evaluation technical working group (TWG) has been trained in support visits for district HIV and AIDS services.
4. \_\_\_\_\_ There is evidence that support visits to stakeholders providing HIV and AIDS services have been conducted by the PATF monitoring and evaluation TWG and recommendations made on gaps identified.
5. \_\_\_\_\_ There is evidence that quality assurance problems identified by others (including provincial partners or other stakeholders) are investigated and addressed by the appropriate PATF monitoring and evaluation TWG and recommendations made on gaps identified.

#### ME.4 Score

☐

Met – all 5 expectations met

☐

Partially Met – 3 or 4 expectations met

☐

Not Met – fewer than 3 expectations met

### ME.5 Standard:

**The PATF has launched and is implementing the NAC monitoring and evaluation online program, which automates the process for PATF data collection and PATF/NAC reporting.**

Score each performance expectation M (met) or NM (not met).

1. \_\_\_\_\_ The PATF has been oriented to the online monitoring and evaluation program.
2. \_\_\_\_\_ The PATF utilizes the online monitoring and evaluation system and accurately cleans and validates the data in the system.
3. \_\_\_\_\_ Person(s) responsible for cleaning and validating data and generating online reports are clearly identified.
4. \_\_\_\_\_ There is evidence that the online report information is being analysed by the PATF and opportunities for improvement are being identified and acted upon.

#### ME.5 Score

☐

Met – all 4 expectations met

☐

Partially Met – 3 expectations met

☐

Not Met – fewer than 3 expectations met

## Appendix 1: Scoring Guidance

Each standard contains a set of performance expectations. Assessors review and discuss each performance expectation and rate the expectation as either met or not met. In exceptional cases, a performance expectation may be listed as not applicable. All elements of an expectation must be present for the expectation to be met. When all the performance expectations have been scored, a total score for the standard is calculated.

Each standard is scored as met, partially met, or not met depending on the number of performance expectations that have been successfully achieved. Table 2 provides describes the general criteria for determining if a standard is met, partially met, or not met. Specific guidance is also provided under each standard.

**Table 2: Standard scoring guidelines**

Score	Definition
<b>M</b>	<b>Met:</b> Standard compliance with all performance expectations will be scored as <b>met</b> .
<b>PM</b>	<b>Partially met:</b> Standard compliance with several performance expectations will be scored as <b>partially met</b> .  Examples: <ul style="list-style-type: none"><li>• 1 of the 2 expectations are met.</li><li>• 3 of the 5 expectations are met.</li></ul>
<b>NM</b>	<b>Not met:</b> Standard compliance with fewer than a minimum of expectations met will be scored as <b>not met</b> .  Examples: <ul style="list-style-type: none"><li>• None of the expectations are met.</li><li>• Fewer than 3 of the expectations are met.</li></ul>
<b>NA</b>	<b>Not applicable:</b> The standard or performance expectation is not applicable for a particular PATF and therefore compliance is not required. These standards or performance expectations will not be counted during scoring. In the event that the standard is not applicable (NA) because all the performance expectations are not applicable, please record NA in the summary scoring for that standard.

To assess whether a performance expectation has been met or not, the assessment team collects data through discussion, observation of actual practices, and review of documents. For most standards, it is necessary to use a combination of these methods. Throughout the processes, the *District Coordination Toolkit* should be used as a reference, though specific issues should be adapted for the PATF context. The toolkit provides guidance about procedures and document completion that are the basis for assessing standard compliance.

In discussions, the assessors question the PATF executive committee and stakeholder representatives to learn more about how a process was done, who participated, what the timeframe was and or how data or results have been used to guide decisions.

To understand if procedures and processes have been followed, assessors can ask PATF representatives to describe the process in detail from start to finish. Where necessary, documents can be reviewed to verify steps in the process or the process outcome. The office may also be assessed to ensure that, for example, a proper filing system is in place and policies for organizing and filing documents are being followed or that electronic documents are organized appropriately on the computer.

Document review involves looking at actual documents to evaluate if they have the necessary components. For example, an assessor may review the annual operational plan to confirm that it contains clear objectives, a list of activities, a timeline for implementation and an associated budget, among other things.

In some cases, it is necessary to review more than one sample of a document or system. For example, if the performance expectation requires that all quarterly stakeholder meetings have taken place in the last 12 months, then the assessor will want to look at the minutes for the last four meetings to verify this. Likewise, if MOUs are required with 90% of stakeholders, then the assessors will want to look through all the MOUs and compare it with the PATF's stakeholder list to verify that the performance expectation has been achieved. It is not necessary for assessors to review every file to confirm that an effective filing system is in place; however, assessors will want to review a reasonable sample of files and perhaps pick a few at random to ensure that the system is comprehensively applied.

## Appendix 2: Standards Compliance Report

PATF Name: \_\_\_\_\_

Date: \_\_\_\_\_

**Directions:** Transfer the performance assessment findings onto this report form. In line with the standard number, place an X in the appropriate score box for the standard. In the columns for the performance expectation results, write in the performance expectation numbers for those met, not met and not applicable in the appropriate column. Submit completed compliance reports and action plans to the NAC technical team.

Category	S/N	Standard	Standard Result				Performance Expectation Result		
			M	PM	NM	NA	M	NM	NA
Governance and leadership	1.	GL.1							
	2.	GL.2							
Coordination of the district response	3.	CDR.1							
	4.	CDR.2							
	5.	CDR.3							
	6.	CDR.4							
	7.	CDR.5							
Administrative management	8.	ADM.1							
	9.	ADM.2							
Human resources management	10.	HR.1							
	11.	HR.2							
	12.	HR.3							
	13.	HR.4							
Response performance management	14.	RPM.1							
	15.	RPM.2							
	16.	RPM.3							
Mainstreaming crosscutting issues	17.	CCI.1							
	18.	CCI.2							
Financial management	19.	FM.1							
	20.	FM.2							
	21.	FM.3							
	22.	FM.4							
	23.	FM.5							
Monitoring and evaluation	24.	ME.1							
	25.	ME.2							
	26.	ME.3							
	27.	ME.4							
	28.	ME.5							
Total standards met, partially met and not met									

Signature:			
Name:			
	Assessor 1	Assessor 2	PATF Chairperson/PACA

## Appendix 3: Performance Improvement Plan Framework

**DATE/PATF name** \_\_\_\_\_ **Person responsible** \_\_\_\_\_ **Date** \_\_\_\_\_

**Directions:** In the appropriate columns, document the standard number, the performance expectation (PE) number, and the PE score (note, not the standard score as improvement planning is based on addressing specific performance expectations). Note the compliance issue. Document the improvement actions that will resolve the issue and bring the standard into compliance, or closer to compliance. Identify the person(s) responsible for implementing the action. Identify the target date for completion. The status column is used only for follow-up reviews and action plan monitoring. In this column, reviewers can note progress on the action or whether the action is completed or delayed. Note: additional rows may need to be added to accommodate all issues improvement actions. PATFs with a large number of issues may want to prioritize issues on which to focus for a six-month period and then revise the improvement plan.

Standard	Performance Expectation	PE Score	Standard Compliance Issue	Improvement Actions	Person Responsible	Target Date	Status