



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

DISTRICT AIDS TASK FORCE PERFORMANCE ASSESSMENT AND CERTIFICATION STANDARDS



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Zambia National HIV/AIDS/STI/TB Council
315 Independence Avenue
Lusaka, Zambia

SHARe II
Incito Office Complex
45/5/B Reedbuck Road
Lusaka, Zambia

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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 of the 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

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

DATFs are voluntary associations made up of representatives of local authorities, businesses and civil society organizations. They are led by an executive committee, which is made up of the DACA, DATF chairperson, vice chairperson, treasurer and theme group chairs.

The DATF is in an important position as both a NAC coordinating structure and a DDCC subcommittee. The DDCC is composed of local authority executive officers, district heads of government departments, district heads of quasi-government institutions, and select heads or leaders of civil society and private sector institutions. As a subcommittee, the DATF reports to the DDCC; this, in turn, reports to the local authority. Local authorities are responsible for social and economic development at the local level. Since HIV and AIDS is a developmental issue, the DATF's role is to advocate for and coordinate the decentralized HIV and AIDS response into their local authority core mandates. All local authorities in Zambia create district development plans which feed into the national development plan. This provides DATFs with an opportunity to integrate HIV and AIDS programs and services into the plans.

The DATF performance assessment standards described in this document articulate DATFs' management and coordination functions. The standards were designed to help NAC, PATFs, and the DATFs 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 DATFs.

The standards can be used by NAC or PATF representatives to conduct independent or joint assessments. DATFs 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 DATF is first assessed. DATFs 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 DACA, DATF chairperson, and as many stakeholder representatives as possible. It is typical to have 10 to 20 DATF 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 for DATF operations and procedures and is an essential resource for the evaluation of standard compliance.

Key Terms

Standard:	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.
Performance Expectation:	A measurement that defines what an organization needs to comply with to meet the standard requirements.
Category:	Defines the key function of a group of standards
Categories of PATF Management Standards:	The management performance process has eight categories of standards, each with its own code. These categories are summarized in Table 1.

Table 1: Categories of DATF management standards

GL	Governance and leadership
CDR	Coordination of district response
ADM	Administrative management
HR	Human resources management
RPM	Response performance management
CCI	Mainstreaming of cross-cutting issues
FM	Financial management
ME	Monitoring and evaluation

Standard Categories

Governance and leadership (GL)

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

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

GL.1 Standard:

The DATF utilizes nationally approved NAC operational guidelines that describe the DATF organisational 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 DATF membership composition, DATF members with terms of office and the election process to the office, the DACA role as recommended by NAC and DATF sub-committees and their roles and responsibilities.
2. _____
3. _____ The operational guidelines include the formal mandates assigned to DATFs by NAC and/or the DDCC, codes of conduct and disciplinary codes.

The DATF has a copy of the latest nationally approved operational guidelines (*District Coordination Toolkit*) and has shared or oriented the DATF stakeholders to them.
4. _____

GL.1 Score

☐

Met – all 4 expectations met

☐

Partially Met – 2 to 3 expectations met

☐

Not Met – fewer than 2 expectations met

GL.2 Standard:

There is evidence that the DATF is coordinating with the PATF and DDCC, 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 the DACA and/or at least one member of the DATF attended quarterly DDCC meetings during the two most recent quarters.
2. _____ There is written evidence that the DACA and/or at least one member of the DATF attended quarterly PATF coordination meetings during the two most recent quarters.
3. _____ The DATF can provide written evidence of an issue from the past two quarterly DDCC meetings where they provided input and assisted with decision making on an issue that impacted DATF stakeholders.
4. _____ The DATF can provide written evidence of an issue from the past two quarterly PATF coordination meetings where they provided input and assisted with decision making on an issue that impacted DATF stakeholders.
5. _____ There is evidence that the DATF has submitted narrative and financial quarterly reports to the PATF and the DDCC and has updated the NACMIS online as required.

GL.2 Score

☐

Met – all 5 expectations met

☐

Partially Met – 3 to 4 expectations met

☐

Not Met – fewer than 3 expectations met

Coordination of district response (CDR)

To build a sustainable HIV and AIDS response, the District AIDS Task Force must foster linkages and involve stakeholders from the communities where the activities are taking place. Stakeholders from the line ministries, local authority, civil society (NGOs, CBOs, PLHIV, FBOs, traditional leaders and healers), media, legal and private sectors are to be recruited as DATF 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, to participate in planning sessions and to make presentations at forums. All key stakeholders working with the district HIV and AIDS response must be involved in conceptualizing, planning, implementing, monitoring, and evaluating the HIV and AIDS response. DATF stakeholders' participation in the DATF should be fully supported by their organisations and the stakeholders should represent their organisations' voices.

CDR.1 Standard:

The District AIDS Task Force is comprised of stakeholders from key governmental and non-governmental organisations that provide district HIV and AIDS services.

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

1. _____ The master list of all district stakeholders on file and/or displayed on the wall is inclusive of all stakeholders identified in the *District Coordination Toolkit*.
2. _____ All stakeholders, targets and services are charted by geographical areas on a displayed map of the district.
3. _____ The DACA or a DATF member can describe any current gaps in stakeholder or service representation.
4. _____ The DACA or a DATF member 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.
5. _____ The *Stakeholder Identification Form* has been completed by at least 90% of stakeholders.
6. _____ The *Stakeholder Identification Form* information has been entered into the DATF stakeholder database.

CDR.1 Score

☐

Met – all 6 expectations met

☐

Partially Met – 4 to 5 expectations met

☐

Not Met – fewer than 4 expectations met

CDR.2 Standard:

The DATF coordinates a broad range of district 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 organisational/management capacity assessment, such as an OCA or the most recent DATF self-assessment.
2. _____ DATF stakeholders can describe how, or there is documented evidence that, the DATF has coordinated the district HIV and AIDS response joint strategic planning process.
3. _____ DATF stakeholders can describe, or there is documented evidence that, the DATF has coordinated the HIV and AIDS response ME planning process.
4. _____ There is evidence that the DATF is working with other local coordinating structures (e.g. NZP+, civil society, private and public sector agencies, ADC/RDCs, etc.).
5. _____ DATF stakeholders can describe how, or there is documented evidence that, the DATF is linking people and/or institutions to HIV-related referral networks in the district.

CDR.2 Score

☐

Met – all 5 expectations met

☐

Partially Met – 3 to 4 expectations met

☐

Not Met – fewer than 3 expectations met

CDR.3 Standard:

The DATF 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 DATF chairperson and the stakeholder organisation's representative.

CDR.3 Score

☐

Met – all 3 expectations met

☐

Partially Met – 2 expectations met

☐

Not Met – fewer than 2 expectations met

CDR.4 Standard:

The DATF provides technical and coordination support for the CATFs in the district.

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

1. _____ DATF members can describe how, or there is documented evidence that, the DATF has facilitated CATF formation in the district.
2. _____ DATF members can describe how, or there is documented evidence that, the DATF has facilitated or provided training for district CATFs.
3. _____ DATF members can describe how, or there is documented evidence that, the DATF is contributing to the development of information, education and communication (IEC) materials that suit local needs.

CDR.4 Score

☐

Met – all 3 expectations met

☐

Partially Met – 2 expectations met

☐

Not Met – fewer than 2 expectations met

CDR.5 Standard:

The DATF 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 DATF to evaluate the level of stakeholder participation.
3. _____ A review of the two most recent DATF 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's set of minutes that reports were made on the follow-up action.
4. _____ Quarterly meeting minutes are documented using the DATF minute template and are circulated to DATF stakeholders prior to or at the quarterly meeting.

CDR.5 Score

☐

Met – all 4 expectations met

☐

Partially Met – 2 to 3 expectations met

☐

Not Met – fewer than 2 expectations met

Administrative management (ADM)

District AIDS Task Force administrative systems and processes should ensure prudent and transparent management of resources (human, materials, time and money) and allow for efficient DATF 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 DATF day-to-day operations. At the same time, it is recognized that administrative systems and processes are dynamic. As the work of the DATF evolves, administrative systems must adapt. DATF policies, by-laws, procedures and guidelines are created by NAC or the local authority. The final documents are disseminated to stakeholders. Administrative policies and procedures should be adhered to by DATF stakeholders.

ADM.1 Standard:

The DATF 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 DATF documents including DATF member representatives/volunteers/interns personnel records; finances/other assets; programs/activities (attendance lists, minutes, reports, monitoring activities); district stakeholder databases; resource mobilization plans/proposals; other important organisational records (e.g. work plans, MOUs, committee meeting agendas/minutes).
3. _____ Computer files are saved into 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 DATF 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 to 4 expectations met

☐

Not Met – fewer than 3 expectations met

ADM.2 Standard:

The DATF assets are accounted for.

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

1. _____ Assets, such as buildings, office equipment, furniture, vehicles and others, are listed on the *DATF Asset Record Form*.
2. _____ The *DATF 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 *DATF Asset Record Form* is 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. District AIDS Task Forces have a mandate from the NAC and DDCC to build the capacity of stakeholders to achieve strategic and operational objectives. DATF stakeholders use their DATF-acquired knowledge, skills and experiences to build capacity in their own organisations and with their constituents. To be considered a DATF 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 managing and implementing HIV and AIDS prevention, treatment, care, support, and impact mitigation activities and should have influence in the organisations they represent.

The DATF 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 DATF strategic and operational objectives.

It is therefore important that the DATF 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 DATF stakeholder analysis and organisational/management assessments such as OCA or certification self-assessments as sources of information. Focus on the knowledge and skills required to build capacity to achieve DATF strategic goals and objectives.
- Ensure DATF action plans related to capacity building include prioritized growth areas and include goals and action steps with measurable targets and dates for improvement and that the action plans are monitored for progress.
- Reassess DATF capacity periodically and report progress at DATF quarterly meetings so it is clear what improvement has been made, what activities have improved capacity, and what capacity building needs still have to be addressed.

HR.1 Standard:

There is a system for developing, disseminating, monitoring and updating DACA and DATF stakeholder job and/or task descriptions to ensure that individual roles are clearly defined, understood, and relevant to DATF coordination needs.

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

1. _____ There are written job or task descriptions developed for the DACA, DATF members, subcommittees, and any volunteers or interns.
2. _____ Each job/task description defines the responsibilities of the position/committee.
3. _____ The reporting line for each job/task is clearly defined in the job/task description.
4. _____ DATF members either have copies of their job/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 DATF 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 to 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 DATF operational guidelines, DATF meeting structure, strategic, operational, quarterly plans, DATF reports, including *Strategic Activity Report Forms* (SARFs), relevant national, provincial and district policies and procedures (including HIV and AIDS mainstreaming, decentralized response and workplace policies).
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:

DATF 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 DATF facilitates learning for stakeholders to ensure stakeholders have the capacity to fulfil DATF roles and responsibilities.
2. _____ Capacity building activities are documented in DATF meeting minutes or personnel records and filed with office records.

HR.3 Score

☐

Met – all 2 expectations met

☐

Partially Met – 1 expectation met

☐

Not Met – neither expectation met

HR.4 Standard:

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

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

1. _____ The DACA receives an annual performance appraisal, which is scheduled and conducted by the PACA with input solicited from the district council.
2. _____ The DATF members complete a self-evaluation annually, share the self-evaluation findings with the registered DATF stakeholders, solicit their input and together define improvement objectives.
3. _____ There is evidence that performance appraisals and self-evaluations are based on job/task descriptions or mandates, technical skills and performance related to DATF coordination activities.
4. _____ 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 4 expectations met

☐

Partially Met – 3 expectations met

☐

Not Met – fewer than 3 expectations met

Response performance management (RPM)

The National AIDS Strategic Framework 2011-2015 (NASF) is a multi-sectoral 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, districts and communities). 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

DATFs are mandated by NAC and DDCC to work with stakeholders and to develop the district HIV and AIDS strategic plan and annual operational plans to guide coordination and allocation of resources to the HIV and AIDS programs in the district and ensure alignment and coordination of district activities with national and provincial plans. There is an established DATF 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 DATF stakeholders need to be involved in developing the district HIV and AIDS strategic plan.

RPM.1 Standard:

The DATF engages in long-term strategic planning for the district response to HIV and AIDS.

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

1. _____ There is evidence that the DATF has a copy of the nationally approved *District HIV and AIDS Strategic Planning Guidelines*.
2. _____ There is evidence that the strategic planning process was participatory and adhered to the basic outline for the district HIV and AIDS strategic plan and followed the defined steps in the strategic planning process.
3. _____ There is evidence that district HIV and AIDS strategic plan has been submitted to the DDCC and the local authority for review and approval.
4. _____ The district 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 DATF engages in operational program planning.

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

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

RPM.2 Score

☐

Met – all 5 expectations met

☐

Partially Met – 3 to 4 expectations met

☐

Not Met – fewer than 3 expectations met

RPM.3 Standard:

The district engages in short-term activity planning.

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

1. _____ The DATF develops and updates quarterly action plans based on the annual district operational plan.
2. _____ There is evidence DATF stakeholders have participated in the development of district quarterly action plans.
3. _____ District quarterly action plans have stated goals, objectives, timelines, responsibilities, output and outcome targets and indicators.
4. _____ There is documented evidence that the DATF assesses quarterly action plan progress and presents the assessment to the DATF stakeholders at district quarterly meetings where consensus is built on actions needed for improvement.
5. _____ There is evidence that the DATF presents the district quarterly report information to the DATF, the PATF and the DDCC.
6. _____ There is evidence that stakeholder information generated through the district quarterly reports is used to review and inform the district 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 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 DATF focuses on mainstreaming HIV and AIDS, gender and human rights issues in all of its activities and supports its inclusion in other development processes in which it is a stakeholder.

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

1. _____ There is a copy of the *NAC Mainstreaming Toolkit* available in the DATF 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 DATF stakeholders are able to demonstrate knowledge of, and the ability to apply, the information from the *NAC Mainstreaming Toolkit* in district planning, implementation and monitoring activities.

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

1. _____ When interviewed, DATF stakeholders can describe and provide examples of how mainstreaming issues, HIV and AIDS, gender and human rights are considered at DATF stakeholder forums.
2. _____ When interviewed, DATF 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.
3. _____ DATF 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 DATFs, prudent financial management is essential because it fosters internal and external trust, both of which are ingredients for sustainability.

DATF financial procedures must be both effective and efficient. Effectiveness means that DATF 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 DATF 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 and AIDS response program included in the national, provincial and district strategic, operational and quarterly work plans. DATFs have a responsibility to support, develop and monitor their respective budgets, assets, and resources in a manner that advances the HIV and AIDS response.

DATF 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 district.
- **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 DATF members, stakeholders and funding sources. This builds confidence and demonstrates accountability.

DATF fiscal accountability must also be verified by an independent annual audit, as required by NAC and the DDCC. An annual audit provides an opportunity for the DATF to receive feedback on strengths and way to improve their financial management processes.

FM.1 Standard:

Processes are in place for the DDCC and PATF to provide oversight of district DATF finances.

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

1. _____ There is evidence that the *District Annual Operational Plan* includes reviewed budgets.
2. _____ There is evidence the *District Annual Operational Plan* is approved by the DDCC, has been submitted to 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 DATF 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 DATF prepares and submits required financial reports to the DDCC and NAC.

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

1. _____ There is evidence that for the past two quarters the DATF has prepared and submitted financial reports by the due dates. Supporting documentation is attached to the reports.
2. _____ There is evidence that the submitted financial reports are prepared using the approved template.

FM.2 Score

☐

Met – both expectations met

☐

Partially met – 1 expectation met

☐

Not Met – neither expectation met

FM.3 Standard:

The DATF'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. _____ Fixed assets are documented on the *NAC Fixed Asset Record Form*.
2. _____ Voucher information is documented on the approved *GRZ General Voucher Form*.
3. _____ Procurement information is documented on the *NAC Stock Form*.
4. _____ The DACA or a DATF treasurer prepares financial reports and this role expectation is understood and adhered to.
5. _____ There is evidence that the DATF chairperson reviews and signs off on financial reports and this role expectation is understood and adhered to.

FM.3 Score

☐

Met – all 5 expectations met

☐

Partially Met – 3 to 4 expectations met

☐

Not Met – fewer than 3 expectations met

FM.4 Standard:

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

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

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

FM.4 Score

☐

Met – all 5 expectations met

☐

Partially Met – 3 to 4 expectations met

☐

Not Met – fewer than 3 expectations met

FM.5 Standard:

The DATF accounts are audited annually.

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

1. _____ There is evidence that a DATF audit has been conducted within the past year.
2. _____ There is evidence that the DATF 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 ME 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 ME 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 ME system enables effective monitoring and evaluation at provincial and district levels.

DATFs are mandated by NAC and DDCC to lead and coordinate district ME planning and assist stakeholders to develop their own plans. The purpose of ME is to permit DATFs and other stakeholders to use data to make informed decisions regarding the effectiveness of plans and programs and the efficient use of resources. ME should be implemented in a continuous cycle throughout the course of all HIV and AIDS activities. The system must be data-driven with regular measurement (at least quarterly), data analysis, reporting and planning actions for improvement for defined indicators.

The DATF reports ME information to the DDCC and to the PATF. The PATF synthesizes information from districts and forwards the information to NAC. DATFs are expected to participate in the selection of indicators, data collection methods and tools; data aggregation, analysis, storage and reporting; and using data interpretation in preparing the quarterly NARF.

A strengthened DATF ME system leads to an increased capacity to strengthen CATF ME systems. Applying ME standards promotes better learning and strengthens accountability to DATF stakeholders. ME systems inform decisions at the field level about progress and success of projects and programs and inform investment decisions on direction, policies and operations.

ME.1 Standard:

The DATF 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 DATF has a defined process for developing a district monitoring and evaluation plan that is based on the *District Strategic Plan 2011-2015*.
2. _____ There is evidence of a relationship between the district ME plan objectives and the district strategic plan objectives.
3. _____ The DATF monitoring and evaluation plan describes how indicators will be measured, by whom, when and how the information will be used for decision making in the district.
4. _____ There is evidence that the DATF used a participatory process with key stakeholders in designing the ME 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 DATF has put in place an ME system that ensures quality of data, which is used for decision making, and facilitates an environment for learning and stakeholder networking.

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

1. _____ The DATF has an ME technical working group in place.
2. _____ There is documented evidence that relevant members of the DATF have been trained in ME.
3. _____ There is documented evidence that relevant members of the DATF have been trained in data management and data quality assurance.
4. _____ There is documented evidence of functional data collection procedures within the district (i.e. SARF data flow plan).
5. _____ There is evidence that the DATF shares ME 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 SARFs are completed in accordance with the national guidelines.

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

1. _____ When interviewed, the ME team can describe how each section of the SARF is completed.
2. _____ When interviewed, the ME team's description of how each section of the SARF form is completed matches the completed NARF forms that are reviewed for the most recent quarter.
3. _____ There is evidence that the ME team has verified and validated data from stakeholders for the most recent quarter before compilation of the district report.
4. _____ There is evidence that the ME team tracks the submission of SARFs from individual stakeholders.

ME.3 Score

☐

Met – all 4 expectations met

☐

Partially Met – 3 expectations met

☐

Not Met – fewer than 3 expectations met

ME.4 Standard:

The DATF has put in place a quality assurance (QA) support mechanism for HIV and AIDS service delivery in the district.

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

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

ME.4 Score

☐

Met – all 5 expectations met

☐

Partially Met – 3 to 4 expectations met

☐

Not Met – fewer than 3 expectations met

ME.5 Standard:

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

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

1. _____ The DATF has been oriented to the online ME program.
2. _____ The DATF has launched the online ME program and is accurately entering information into the program.
3. _____ Person(s) responsible for entering data and generating ME online reports are clearly identified.
4. _____ There is evidence that the online report information is being analysed by the DATF 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
M	Met: Standard compliance with all performance expectations will be scored as met .
PM	Partially met: Standard compliance with several performance expectations will be scored as partially met . Examples: <ul style="list-style-type: none">• 1 of the 2 expectations are met.• 3 of the 5 expectations are met.
NM	Not met: Standard compliance with fewer than a minimum of expectations met will be scored as not met . Examples: <ul style="list-style-type: none">• None of the expectations are met.• Fewer than 3 of the expectations are met.
NA	Not applicable: The standard or performance expectation is not applicable for a particular DATF 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. The toolkit provides guidance about procedures and document completion that are the basis for assessing standard compliance.

In discussions, the assessors question the DATF 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 DATF 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. Facilities may also be reviewed 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 DATF'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

DATF 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 PATF 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	DATF Chairperson/DACA

Appendix 3: Performance Improvement Plan Framework

DATF 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. DATFs with a large number of issues may want to prioritize issues on which to focus for a 6 month period and then revise the improvement plan.

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