

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

PROVINCIAL AND DISTRICT AIDS TASK FORCE PERFORMANCE ASSESSMENT AND CERTIFICATION GUIDELINES



PROVINCIAL AND DISTRICT AIDS TASK FORCE PERFORMANCE ASSESSMENT AND CERTIFICATION GUIDELINES

March 2015

© 2015 Initiatives, Inc. and John Snow, Inc.

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

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

Acknowledgement

The National HIV/AIDS/STI/TB Council (NAC) wishes to thank the United States Agency for International Development (USAID) for providing both funding and technical support for the development of the Provincial and District AIDS Task Force Performance Assessment and Certification Guidelines, through the President's Emergency Plan for AIDS Relief (PEPFAR) and the Support to the HIV/AIDS Response in Zambia (SHARe II) Project, implemented by John Snow, Inc. and subcontractor Initiatives Inc.

Disclaimer

These Provincial and District AIDS Task Force Performance Assessment and Certification Guidelines have been supported by the President's Emergency Plan for AIDS Relief (PEPFAR) and was made possible by the support of the American people through the United States Agency for International Development (USAID) under the terms of the Support to the HIV/AIDS Response in Zambia (SHARe II) Project: GHH-1-02-07-00059-00, implemented by John Snow, Inc. and subcontractor Initiatives Inc. The contents of this document are the sole responsibility of the National HIV/AIDS/STI/TB Council (NAC) and John Snow Inc., and do not necessarily reflect the views of USAID or the United States Government.

Table of Contents

Abbreviations	i
Introduction	1
Assessment Purpose and Process	3
Overview	3
Assessment preparation	5
Assessment implementation	6
Follow-up and monitoring	7
Technical support.....	7
Special considerations for certification assessments	8
Assessing Standard Compliance.....	11
Governance and leadership (GL).....	11
Coordination of district response (DCR)	12
Administrative Management (ADM).....	13
Human resources management (HR).....	13
Response performance management (RPM).....	15
Mainstreaming of cross-cutting issues (CCI).....	15
Financial management (FM)	16
Monitoring and evaluation (ME).....	17
Scoring Standards	19
Scores	19
Process	20
Standard compliance reports.....	21
Developing Improvement Plans.....	22
Conclusion.....	23
Appendix 1: Standard Compliance Report Example	A-1
Appendix 2: Improvement Plan Example.....	A-2

Abbreviations

ADM	administrative management (category of assessment)
AIDS	acquired immune deficiency syndrome
CATF	Community AIDS Task Force
CBO	community-based organization
CCI	mainstreaming of cross-cutting issues (category of assessment)
CDR	coordination of district response (category of assessment)
DACA	District AIDS Coordination Advisor
DATF	District AIDS Task Force
DDCC	District Development Coordinating Committee
FM	financial management (category of assessment)
GL	governance and leadership (category of assessment)
GRZ	Government of the Republic of Zambia
HIV	human immunodeficiency virus
HRM	human resource management (category of assessment)
IEC	information, education and communication
M	met (assessment score)
ME	monitoring and evaluation (category of assessment)
MOU	memorandum of understanding
NA	not applicable (assessment score)
NAC	National HIV/AIDS/STI/TB Council
NACMIS	NAC monitoring and evaluation system
NASF	National AIDS Strategic Framework
NM	not met (assessment score)
PACA	Provincial AIDS Coordination Advisor
PATF	Provincial AIDS Task Force
PDCC	Province Development Coordinating Committee
PM	partially met (assessment score)
RPM	response performance management (category of assessment)
SARF	stakeholder's activity report form
SHARe II	Support to the HIV/AIDS Response Project II
USAID	United States Agency for International Development

Introduction

These guidelines provide information on how to conduct assessments of Provincial AIDS Task Forces (PATFs) and District AIDS Task Forces (DATF) using the *Provincial AIDS Task Force and District AIDS Task Force Performance Assessment and Certification Standards* (hereafter referred to as the *Performance Assessment and Certification Standards*). They include information on assessment processes, standard evaluation and scoring. The guidelines and standards are intended to be used either by assessors. Assessors may be advisors from National HIV/AIDS/STI/TB Council (NAC), PATFs, a support agency, or external assessors who have been trained to conduct certification assessments.

The standards and assessment processes were developed, tested and implemented by NAC and the United States Agency for International Development (USAID)-funded Support to the HIV/AIDS Response Project II (SHARE II) from 2011 through 2014. They were developed following the creation of the DATF management guidelines in 2011, which were later compiled into the *District Coordination Toolkit* (2012). SHARE II worked with NAC to develop the *District Coordination Toolkit* to provide DATFs with clear guidance on their roles, responsibilities, and key operational procedures. To reinforce the guidelines and enable NAC to measure compliance with them, NAC and SHARE II developed the *Performance Assessment and Certification Standards*.

Between 2012 and 2014, SHARE II and NAC successfully used the assessment process to foster performance improvement among DATFs and PATFs across the country. The certification process, including the orientation of external assessors, was piloted from March to October 2012. Following the pilot process, the standards and these guidelines were revised to reflect the experience and feedback from assessors, DATF members, PATF members, and NAC.

The guidelines provide information for assessors about how to use the standards to guide performance assessments and certification evaluations. The tools used for performance assessments and certification are the same; the processes are differentiated by who conducts them and how the results are used.

Facilitated self-assessments are useful for improving performance and are led by the PATF or DATF chairperson alone or with technical support from NAC or another supporting partner. Used in this manner, the standards contribute to the identification of performance gaps and the development of targeted improvement plans, whether simply for performance improvement or for certification preparation. Assessment findings can be used to guide technical support from NAC or a technical assistance partner, drive the DATF leadership to make changes in DATF operations or processes, and enable performance improvement to be measured over time. When used as evaluation tools, the standards provide objective measures of performance achievement for certification purposes.

Because certification requires a degree of objectivity, external assessors need to conduct certification evaluations. It is also advantageous to have two assessors, one from the government and one from civil society, carry out each evaluation. Results of certification assessments can be used by NAC to formally certify PATFs and DATFs. Figure 1 compares the different types of assessments and their key components.

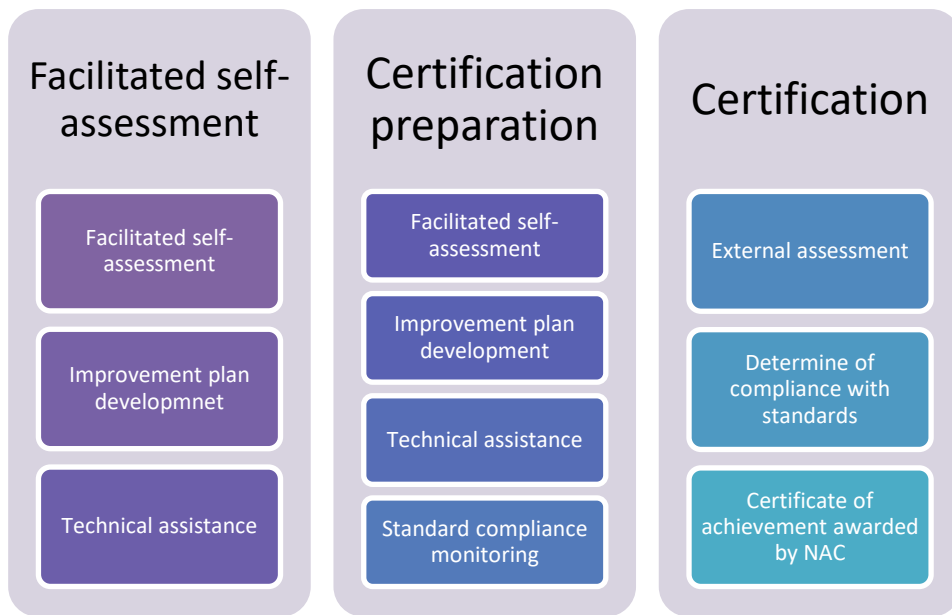


Figure 1: Performance assessment components

Assessment Purpose and Process

Overview

Purpose

These guidelines explain how use the standards and conduct assessments. This includes information on the steps for preparation, implementation, scoring, developing improvement plans and reporting. The guidelines are intended to be used together with the *Performance Assessment and Certification Standards* and *District Coordination Toolkit*.¹

Objectives

The two principal objectives of these guidelines are to provide:

1. A common and consistent approach to conducting assessments
2. A basis for assessor orientation or training

Audience

Developed to provide instructions on how to carry out assessments, the guidelines may be used by NAC or PATF staff responsible for assessing or supporting PATFs and DATFs, technical advisors from a support agency coordinating with NAC to strengthen PATF and DATF performance, and external assessors engaged by NAC to conduct certification assessments.

Tools

The *Performance Assessment and Certification Standards* guides assessments and scoring while these guidelines frame the assessment process. Both tools should be used alongside the *District Coordination Toolkit*. When used together, these tools are designed to:

- Provide guidelines for PATF and DATF performance
- Provide a capacity strengthening and performance improvement framework and process for multi-sectoral HIV and AIDS response coordination
- Provide a framework for appraisal and certification of compliance with standards
- Motivate DATFs and PATFs to strengthen their management systems and coordination of the decentralized multi-sectoral response

Roles and responsibilities

NAC, PATFs and implementing partners play different roles in the performance assessment and certification process. The actors and their roles are summarized in Table 1. Not all actors will participate in every assessment process. As examples, there may not be a technical partner to assist a PATF or DATF, or the focus of the assessment may be on preparation for certification and improvement and so no external assessors may be involved at that time.

Table 1: Assessment and certification roles and responsibilities

Actor	Role
NAC	<ul style="list-style-type: none">• Supports capacity strengthening activities• Distributes standards and orients PATFs and DATFs to the standards and performance assessment processes

¹ Although designed initially with DATFs in mind, the information contained in the District Coordination Toolkit can be easily adapted and applied to PATFs.

Actor	Role
	<ul style="list-style-type: none"> • Provides funds and facilitates process implementation • Informs PATFs of assessment dates • Identifies and engages external assessors • Informs PATFs and DATFs in writing of their status • Publicly recognizes performance and provides certificates to PATFs and DATFs that have achieved certification • Monitors performance assessment results and provides technical support to PATFs and DATFs to improve performance as required
Technical partners	<ul style="list-style-type: none"> • Participates in performance assessments • As required, assists NAC to orient assessors • Co-facilitates assessments with NAC and PATF staff as needed • Supports capacity strengthening activities, assists PATFs and DATFs to identify and implement improvement actions • Provides resources and tools to PATFs and DATFs to help them address specific issues, as required • Assists NAC, PATFs and DATFs to encourage successful practices
PATF	<p>For PATF assessments</p> <ul style="list-style-type: none"> • Organizes and prepares the venue for the assessment and ensures all attendees are notified in advance • Chairs PATF self-assessments and certification preparation assessments • Leads the improvement process by implementing the performance improvement plan • Reports to stakeholders and NAC on actions taken and challenges encountered since the last assessment <p>For DATF assessments</p> <ul style="list-style-type: none"> • Informs DATFs about assessment dates • Conducts or facilitates assessments • Explains the objectives of the assessment to DATFs • Conducts follow-up visits or provides remote support to DATFs to review improvement plan progress and troubleshoot issues • Facilitates information sharing and dissemination of successful practices among DATFs
DATF	<ul style="list-style-type: none"> • Organizes and prepares the venue for the assessment • Chairs the DATF self-assessments and certification preparation assessments • Reports on action taken and challenges encountered since the last assessment • Participates in DATF assessment and provides information as needed • Reports on capacity strengthening activities since last assessment
External Assessors	<ul style="list-style-type: none"> • Conducts the assessments • Scores and reports on assessment findings • Debriefs the PATF or DATF about the result of the assessment • Prepares and submits and assessment report to NAC or further action

Assessment preparation

Facilitated self-assessment and certification preparation processes follow a set procedure: orientation of assessors, dissemination of standards and a summary of the assessment process, scheduling, and conducting an assessor meeting. Facilitators should prepare for each of these steps.

- **Assessor orientation:** Individuals who have never conducted an assessment should receive an orientation to the tools and process. This orientation should include a detailed review of the tools and the evidence that is sought to validate whether a performance expectation is met or not met; procedures for scoring standards as met, partially met or not met; guidance on how to facilitate discussion; instruction and practice on how to complete the compliance report form and on how to lead and guide PATFs or DATFs to create an effective improvement plan.
- **Scheduling:** At least two weeks in advance, the lead assessor should contact the Provincial AIDS Coordination Advisor (PACA), District AIDS Coordination Advisor (DACA) and/or the chairperson and agree on a date for the assessment. PATFs and DATFs should be informed that the process will be carried out over a single day (or a two days if this is a first assessment) and that they should arrange to have as many stakeholder representatives as possible present for the process. Logistical arrangements should be discussed and clarified in advance, including refreshments, lunches or allowances. In most cases, the PATF or DATF should make these arrangements, although it may be possible for NAC or another organization to share or support costs.
- **Document dissemination:** Shortly after an assessment is scheduled, the PATF or DATF should be provided with the appropriate standards document to allow stakeholders time to review the standards and assemble documents in advance. This is particularly important for first assessments; for subsequent assessments stakeholders will be familiar with tools and should have copies of them.
- **Assessor meeting:** Assessors should meet one to two weeks prior to the assessment to review the tools, agree on the evidence being sought, to ensure consistency in how standards are reviewed and scored, and obtain consensus on the role that will be played by each assessor. This may include assigning leadership responsibilities for guiding the review of specific standard categories, deciding who will complete the compliance report, and agreeing on who will lead the action planning process and who will complete the action plan form. Timing and logistics should also be discussed and agreed upon, including when the group will assemble and start the meeting and how breaks and meals will be handled.

Assessment implementation

PATF and DATF performance assessments are typically carried out in a single day, though first assessments may be conducted over a period of two days so that facilitators can provide on-site support to help address issues. The main steps of the assessment include reviewing and scoring the performance standards and expectations, compiling the compliance report, and developing a performance improvement plan.

Implementation Steps

1. **Review and score standards:** Assessors visit the PATF or DATF and lead a one-day assessment process using the performance standards; this process is participatory for facilitated self-assessments and certification preparation, but not for certification assessments.
2. **Compile results:** Assessors compile the compliance report. This is done in partnership with the PATF or DATF members for both facilitated self-assessments and certification preparation.
3. **Develop an improvement plan:** For both facilitated self-assessments and certification preparation, assessors assist the PATF or DATF to develop an improvement plan. The plan identifies specific activities and also areas in which technical support is required to address issues.

Assessments are best facilitated by two assessors; this allows for simultaneous performance assessment of two standard categories at a time. A sample performance assessment schedule is provided in Table 2.

Table 2: Sample performance assessment schedule

	Group 1			Group 2		
Time	Standard Category	Responsible	DATF	Standard Category	Responsible	DATF
10:00-12:00	GL FM	Assessor 1	Chair, P/DACA, member	PRM, CCI	Assessor 2	2 P/DATF members, secretary
12:00-13:00	LUNCH BREAK					
13:00-15:00	ADM, HR	Assessor 1	Chair, member, secretary	ME, CDR	Assessor 2	P/DACA, 2 members
	All					
15:30-17:30	Reporting and improvement planning	All	All			

Assessors need to be flexible in their timing. If one member of the assessment team finds that he or she is not completing the assigned sections during the allotted time, other team members may take on additional sections to ensure that the process is completed. Assessors will need to be mindful of time, but also communicate among themselves to ensure smooth implementation.

Follow-up and monitoring

The *Performance Assessment and Certification Standards* are designed to support and foster performance improvement. They are intended to be used periodically to measure performance change over time. In between formal assessments PATFs and DATFs should carry out their improvement plans with support from NAC, the PATF or other support agency as needed. Even after a PATF or DATF achieves certification, they should continue doing internal assessments every 12 to 18 months to ensure they are maintaining systems and practices. The main steps in performance assessment follow-up include improvement plan implementation, improvement reviews, experience sharing, and reporting of progress to all PATF or DATF stakeholders.

- **Improvement plan implementation:** The PATF or DATF should implement the actions identified in the improvement plan. It helps to have one person responsible for overseeing the implementation of the plan. This person is not responsible for doing all the work or implementing all the actions, but he/she is responsible for checking with those leading actions, keeping track of the status of actions, bringing stakeholders together to review progress and, overall, making sure that issues are addressed.
- **Improvement reviews:** Internal reviews of the status of improvement actions should be conducted by the PATF or DATF every one or two months. This will ensure that the improvement plan is carried out, but it also provides an opportunity for stakeholders to troubleshoot and readjust actions or approaches as needed.
- **Experience sharing:** Frequently, PATFs and DATFs have the same or similar issues they need to address. It can be helpful for PATFs and DATFs to share experiences, tools, resources or even approaches, so they can learn from one another. Wherever possible, PACAs and DACAs should look for opportunities to share information, but it may also be helpful if the province, NAC, or a partner can support experience sharing opportunities.
- **Reporting progress:** Progress on action plan implementation, internal standards reviews, facilitated self-assessments or certification results should be routinely reported in PATF or DATF quarterly meetings.

Technical support

The assessments raise awareness about performance expectations, and the action plans provide a road map to help PATFs and DATFs address specific issues and improve their performance. However, DATFs and PATFs frequently need technical support to address problems. Technical support can be provided by PATFs, NAC, or a collaborating partner. Regardless of the source, there are a number of ways that technical support can be provided; the methods used will depend on the issues the PATF or DATF faces, its technical support needs, and the availability of resources.

- **On-site technical assistance:** On-site technical assistance can be helpful when multiple DATF stakeholders need to be involved in a process, such as the development of a strategic or operational plan, or when physical interaction with PATF or DATF resources is required, such as organizing files or entering data into the computer. In addition, PATFs and DATFs may benefit from on-site follow-up or monitoring visits in between more formal assessments. Such visits can provide an important opportunity for the PATF or DATF leadership to review progress on the action plan with a technical advisor and to jointly review documents or materials that serve as evidence of achievement. These follow-up visits can help PATFs or DATFs get validation of their progress, identify any remaining issues, and get useful tips or tap into expert advice to troubleshoot problems.

- **Exchange visits:** PATFs and DATFs are excellent resources for one another. For example, many provinces contain one or more very strong DATFs alongside weaker DATFs. Because DATF membership changes and new DACAs need to learn from experience, it can be very helpful for one DATF to visit another to learn, for example, how the DATF produced a comprehensive stakeholder service map, organizes its files, or completed the online NAC monitoring and evaluation system (NACMIS). Site visits are also useful for DATFs to exchange copies of document templates, observe how other DATFs organize systems, and discuss and troubleshoot problems or challenges.
- **Remote support:** In some circumstances, remote support may be required or desirable; resources are not always available for site visits and some issues do not require on-site support. Remote technical assistance can be provided to DATFs in a number of ways. This may include monthly calls to discuss issues and review action plans over the phone or the exchange of documents and example resources via email. The provision of newsletters, checklists and “quick tips” guides to help PATFs and DATFs address common issues can also be helpful.

Regardless of the method used for technical support, providers need to be skilled. They should be well-versed in NAC policies and procedures. Preferably, they should have experience working in a PATF or DATF. Qualifications in organizational and program management are also desired, as is a solid understanding of HIV and AIDS interventions.

Special considerations for certification assessments

While facilitated self-assessments and certification preparation may be conducted by PATF and DATF representatives with the support of a supervisor from NAC or the PATF, certification assessments should be done by an external assessor. In addition, to ensure transparency, two assessors are recommended for certification assessments.

Team composition

Certification assessments are conducted by a team of two assessors, who may be accompanied by staff from NAC or the PATF.

Each assessor is recruited based on specific criteria, which includes:

- Representation of a national HIV and AIDS stakeholder or NAC supporting institution
- Familiarity with the mandates of the PATF, PDCC, DATF, DDCC and NAC, as well as priorities of the national HIV and AIDS response
- Strong knowledge and experience related to one or more of certification standards
- Strong interpersonal communication skills
- Ability to work as an effective team member
- Reliability and dependability
- Perceptiveness and analytical capability
- Support from employer to participate
- Availability of time, including overnights in simple accommodations
- Possession of a computer for use in action planning and writing assessment reports

Certification assessors are assigned to teams based on when they are available and their areas of expertise. Whenever possible, each team will be comprised of one civil society representative and one government representative. It is also important to balance the assessors’ areas of expertise by pairing those with strong administrative and financial management experience with those with capability in coordination, cross-cutting issues or strategic management.

External assessor training

Assessors should be trained to conduct certification assessments. Training should include:

- A review of these *Performance Assessment and Certification Guidelines*
- Discussion of steps for preparation of assessments
- A detailed review of the standards along with the Assessing Standard Compliance section of this document and the *District Coordination Toolkit*
- Review of scoring guidelines and practice scoring select sections
- Practice completing Standard Compliance Reports (Appendix 1)
- Guidance on submitting certification reports to NAC

Where possible, it is desirable to have certification assessors participate in facilitated self-assessments or certification preparation assessments prior to leading assessments as a certification assessor. However, to ensure an adequate degree of objectivity, care should be taken to ensure that assessors are not asked to conduct assessments in provinces or districts where they have previously worked as a DATF or PATF member or as a technical support provider to the DATF or PATF.

External assessors preliminary on-site activities

To facilitate an enabling environment for this process the external assessors should:

- Report to the DACA's office on the day of the assessment
- Together with the PATF or DATF chairperson and P/DACA, pay a courtesy call on the district commissioner/town clerk/council secretary or provincial authorities, whichever is applicable
- Meet DATF members in a meeting chaired by the respective PATF or DATF chairperson

Management of the assessment

During the assessment, the external assessors are expected to:

- Present certification assessment objectives and processes
- Lead DATF or PATF in completing the Standard Compliance Report
- Summarize the compliance report: number of standards met, partially met, not met and not applicable
- Share a copy of the compliance report with the PATF or DATF
- Ensure that both the original and copy of the compliance report are signed by the DATF chair, the DACA and the assessor for validation purposes
- Conclude the assessment process and ask the chair to provide closing remarks

Once the assessment session is concluded, the external assessors should review the results with the PATF or DATF leaders and make recommendations for next steps. They should also debrief the provincial or district Commissioner.

Certification assessment reporting requirements

Within three weeks of completing a certification assessment, external assessors submit an assessment report to the NAC decentralized multi-sectoral unit. This report should state the name of PATF or DATF, the date of assessment, and results in terms of number of the 28 standards met, partially met, or not met. The reports should conclude with the assessors' recommendation for whether the PATF or DATF qualified for certification or not and, if not, what priority issues should be addressed to strengthen performance.

Certification criteria

Criteria for certification will be defined by NAC when a certification process is implemented. NAC may start out with a lower benchmark of standard achievement for certification and then increase

the criteria over time as DATFs develop and become more skilled. As long as changes in certification criteria are planned and transparent, they can be effective, recognizing different stages of organizational development. This model was initiated by NAC, with support from the SHARe II project, in the certification pilot conducted in 2012. In the pilot, a set of 20 out of the 28 standards were used to determine certification. Ideally, when DATFs have had more time to address issues and have become more skilled, achievement of all 28 standards will be used as the criterion for certification.

Report processing at NAC

Once the assessment reports are handed over to the NAC multi-sectoral unit, staff will review all reports and verify results as required. The unit then prepares a summary of results and recommendations and presents it to the NAC Director General who sends a formal communication to PATFs or DATFs that have achieved certification. NAC will also send a communication to PATFs or DATFs that did not achieve certification to acknowledge their strengths and encourage them to work to address challenges.

Certification ceremony

Where resources allow, NAC will recognize PATFs and DATFs that have achieved certification at a formal award ceremony. A written certificate will be presented to each PATF or DATF with the certification date. If resources do not permit the hosting of a formal ceremony, certificates may be mailed to PATFs/DATFs or to another provincial or district authority to present to the PATF/DATF on behalf of NAC.

Assessing Standard Compliance

This section provides an overview of the standards and how to review and assess performance against the standards during an assessment. Performance standards provide a standardized and transparent framework for assessing PATF and DATF performance. The standards are aligned with the *District Coordination Toolkit*, which provides guidance to DATFs (and PATFs) on how to carry out their key functions and responsibilities. The 28 performance standards are grouped into eight categories:

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

In addition to falling under a particular category, each standard contains performance expectations against which the capacity of the DATF or PATF is assessed.

The *Performance Assessment and Certification Standards* contain a full list of standards and performance expectations. To be effective, assessors need to understand the underlying context and have a clear understanding of what to expect, look for and ask when conducting performance assessments. This section provides guidance for each standard on what is expected of DATFs and where information can be found. Although the standards noted in this section reflect the *DATF Performance Assessment and Certification Standards*, the guidance is applicable to the associated PATF standards and should be adapted by those assessing PATFs.

Governance and leadership (GL)

Standard GL1: The DATF utilizes nationally approved NAC operational guidelines that describe the DATF organizational structure and functions.

Performance expectation overview: The DATF is expected to have a copy of the *District Coordination Toolkit* and to have developed localized operational guidelines. Most of the information in the DATF guidelines is adapted from the *District Coordination Toolkit* and should include a vision, mission, mandates, codes of conduct, DATF composition, members, roles and responsibilities, tenure of office, election process, and sub-committees as recommended by NAC.

What to look for: A DATF operational guideline document that defines vision, mission, mandates membership composition, terms of office, and election process to the office, roles and responsibilities of the sub-committees, disciplinary procedures, and whether they have a copy of the *District Coordination Toolkit*.

Standard GL2: The DATF is coordinating with DDCC and PATF as defined in its coordinating structure mandates, functions and responsibilities.

Performance expectation overview: The DATF should attend and actively participate in quarterly DDCC and PATF coordination meetings, have DDCC and PATF minutes, and submit

narrative stakeholder's activity report forms (SARFs) and financial quarterly reports to DDCC and PATF.

What to look for: Minutes from the most recent DDCC and PATF coordination quarterly meetings for the past two quarters. Evidence of report submission such as acknowledgements or cover notes stamped on the day of dispatch for that narrative, SARF and financial quarterly reports submitted to PATF and DDCC.

Coordination of district response (DCR)

Standard CDR.1: The DATF is comprised of stakeholders from key governmental and non-governmental organizations that provide district HIV and AIDS services.

Performance expectation overview: The DATF should have a list of stakeholders completed, mapped and displayed or in files indicating targets and services provided in various geographical areas, current gaps, and mobilization process for stakeholders.

What to look for: The DATF should have a list of all district stakeholders on file or displayed on the wall. In addition, stakeholders' targets and services should be mapped by geographical area and displayed. DATF members can describe service gaps and explain how stakeholders have been mobilized to address gaps. The stakeholder identification forms should be completed and entered into the DATF database. Assessors should view some sections of the database to verify.

Standard CDR.2: The DATF coordinates a broad range of district HIV and AIDS response programs.

Performance expectation overview: The DATF conducts regular performance assessments and monitors improvement actions. The DATF brings stakeholders together in joint strategic planning and monitoring and evaluation activities. The DATF is linking individuals or institutions to improve referrals for HIV-related services in the district.

What to look for: If the DATF has conducted a previous performance assessment, there is a copy of the improvement plan and the DATF can provide clear information on the status of action implementation. The DATF has minutes or other documentation of a joint strategic planning process and monitoring and evaluation process. DATF members can clearly describe or provide documented evidence, such as referral forms, that it is actively linking institutions to HIV-related referral networks.

Standard CDR.3: The DATF and 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.

Performance expectation overview: The DATF should facilitate signing of MOUs with stakeholders working with them indicating who, what, when, where, how and for what period of time they will work with them. The time period may include "for as long as the stakeholder works in the district," or something similar.

What to look for: The DATF has formalized agreements (MOUs) with stakeholders and these are on file. Assessors should view copies to verify. The MOUs contain names of the two parties, information on operational relationships and obligations, and are signed by both parties.

Standard CDR.4: The DATF provides technical and coordination support for the Community AIDS Task Forces (CATFs) in the district.

Performance expectation overview: The DATF facilitates the formation and training of CATF stakeholders and contributes to the development of local information, education and communication (IEC) materials.

What to look for: The DATF has curricula, plans or reports from CATF orientation or training sessions it has conducted. The DATF has copies or drafts of IEC materials it has helped develop.

Standard CDR.5: The DATF conducts quarterly stakeholder meetings.

Performance expectation overview: The DATF conducts quarterly stakeholder meetings, notifies stakeholders at least seven days in advance that a meeting will take place, and documents minutes of these meetings including attendance, notes on stakeholders discussions, information sharing, decisions and next steps.

What to look for: Review quarterly meeting minutes for attendance, issues, discussions, decisions and next steps. Check for meeting agendas and invitation letters or notices.

Administrative Management (ADM)

Standard ADM.1: The DATF uses standard national procedures for managing administrative operations which are known and understood by stakeholders.

Performance expectation overview: The DATF should have office procedures that include a communication policy, computer and office filing system, computer files that are backed up and secured, roles and responsibilities of person(s) assigned to recordkeeping.

What to look for: Review filing systems for soft and hard copies of documents. The DACA or DATF chairperson should be able to explain the roles and responsibilities of individuals assigned for maintaining DATF records. Review written office procedures and check for communication, transport, and procurement policies. Verify that responsibility for managing files and policy implementation is documented in at least one office bearer's task description includes this role.

Standard ADM.2: The DATF assets are accounted for.

Performance expectation overview: The DATF should have an Asset Record Form; asset management system linked to the accounting system; and have indicated a person responsible for the maintenance of the DATF Asset Record Form.

What to look for: Review the Asset Record Form and ensure it complies with the guidelines in the *District Coordination Toolkit*. Check job descriptions to ensure that at least one office bearer has clear responsibility for the management of DATF assets and the Asset Record Form.

Human resources management (HR)

Standard HR.1: 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.

Performance expectation overview: The DATF has written task descriptions for all sub-committees and sub-committee positions. Individuals holding posts have copies of their task descriptions and/or have signed a copy, which the DATF keeps on file.

What to look for: Check for written task descriptions for the DACA and other DATF members, including sub-committee positions. Check to see that reporting lines are articulated in the task descriptions, that they are signed and that copies are filed.

Standard HR. 2: Orientation of the new stakeholders provides initial training and involves assessment of stakeholder capacity to perform the job/task.

Performance expectation overview: The DATF orients all stakeholder representatives, especially those holding a position on the DATF executive committee or thematic groups, on DATF operational guidelines, procedures, HIV and AIDS mainstreaming, member task description and role expectations, and documentation of capacity building activities.

What to look for: Check for the DATF operational guidelines, district policies and procedures. Ask the stakeholders present about when and how they were oriented to their roles, the role of the DATF, policies and procedures, and coordination and mainstreaming. A report of the orientation can also serve as evidence.

Standard HR.3: DATF provides ongoing stakeholder education and training to strengthen stakeholder capacity that is based on assessment/re-assessment of stakeholder learning needs.

Performance expectation overview: The DATF provides or arranges for learning opportunities (orientations, workshops, trainings, site visits) for stakeholders to ensure they are able to fulfil their roles and responsibilities. The DATF keeps records on learning opportunities provided.

What to look for: Check for reports of DATF members attending HIV- and AIDS-related trainings and workshops or internal records of orientations or trainings conducted for DATF stakeholders.

Standard HR.4: The capacity of individuals to carry out their DATF stakeholder or DACA roles and responsibilities is annually assessed, demonstrated, maintained and improved.

Performance expectation overview: Formal individual performance assessments should be completed for the DACA and other DATF leaders on an annual basis following the guidelines provided in the *District Coordination Toolkit*. Performance assessments should be participatory and based on the individual's responsibilities.

What to look for: Review a written copy of the DACA's annual performance appraisal. Check for copies of self-evaluations using a standardized office bearer's form in the *District Coordination Toolkit*. Question DATF representatives to learn how performance assessments are being conducted and verify that they are participatory and that objectives are being set for continued capacity development.

Response performance management (RPM)

Standard RPM.1: The DATF engages in long-term strategic planning for the district response to HIV and AIDS.

Performance expectation overview: DATF has a standardized process for HIV and AIDS strategic planning that is participatory and adheres to the outline for the district HIV and AIDS strategic plan provided in the *District Coordination Toolkit*. The strategic plan has been completed, presented to the DDCC for approval, and launched in the district.

What to look for: Review a copy of the DATF strategic plan. Check to see that it is current and that it follows the outline provided in the *District Coordination Toolkit*. Check for documented evidence that the plan is endorsed by the DDCC; this might be a letter of endorsement or minutes from a DDCC meeting that notes the approval of the plan. Question DATF stakeholders to learn about how the plan was developed to determine whether it was participatory.

Standard RPM.2: The DATF engages in operational planning.

Performance expectation overview: The DATF has an annual operational plan that reflects the strategic plan. Stakeholders participate in the development of the plan. The plan has stated goals, objectives, timelines, responsibilities, output and outcome targets and indicators. The operational plan is submitted to and approved by the DDCC and formally launched.

What to look for: Review the operational plan. Verify that it is based on the strategic plan. It has been submitted to DDCC for approval and launched and shared with stakeholders. Check for documented evidence that the plan is endorsed by the DDCC; this might be a letter of endorsement or minutes from a DDCC meeting that notes the approval of the plan.

Standard RPM.3: The district engages in short-term activity planning.

Performance expectation overview: The DATF has quarterly action plans that are drawn from the annual operational plan. Plans have goals, objectives, timelines, responsibilities, output and outcome targets and indicators. They are developed with the active participation and inputs of DATF stakeholders. Quarterly reports are generated, submitted to the DDCC and PATF and used for decision making.

What to look for: The DATF has quarterly action plans that are drawn from the annual operational plan. Check to see that the plan has goals, objectives, timelines, responsibilities, output and outcome targets and indicators. Question DATF stakeholders to confirm that the plan was developed through a participatory process. Review meeting minutes or reports to confirm that quarterly reports are submitted to the DDCC and PATF.

Mainstreaming of cross-cutting issues (CCI)

Standard CCI.1: 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.

Performance expectation overview: The DATF has the *NAC Mainstreaming Toolkit* and strategic and operational plans contain mainstreaming activities.

What to look for: Check to verify that the DATF has the mainstreaming toolkit. Review the strategic and operational plans for mainstreaming objectives and activities.

Standard CCI.2: The DATF stakeholders are able to demonstrate knowledge of, and the ability to apply the information from, the mainstreaming toolkit in district planning, implementation, and monitoring activities.

Performance expectation overview: DATF stakeholders regularly discuss gender, HIV and AIDS, and human rights during meetings and are familiar with the *NAC Mainstreaming Toolkit*. Action plans include activities related to improving the mainstreaming of crosscutting issues.

What to look for: Check DATF meeting minutes for evidence that crosscutting issues are being discussed on a regular basis. Question stakeholders about mainstreaming issues to assess their familiarity with the toolkit and the issues it covers. Review action plans to confirm that crosscutting issues are addressed.

Financial management (FM)

Standard FM.1: Financial processes are in place for the DDCC and PATF to provide oversight of DATF finances.

Performance expectation overview: The DATF annual operational plan has a budget that has been approved by the DDCC and submitted to the PATF. Unforeseen expenses are discussed in DATF stakeholder meetings, agreed upon, and documented in meeting minutes.

What to look for: Review the operational plan for a budget. Check for documentation indicating that the budget was approved, along with or separate from the operational plan, and that it was formally submitted to the PATF. Question stakeholders about any unforeseen expenses and check meeting minutes to confirm that they are discussed and approval is documented.

Standard FM.2: The DATF prepares and submits required financial reports to the DDCC and NAC.

Performance expectation overview: The DATF prepares and submits quarterly financial reports to the DDCC and NAC in accordance with the guidelines provided in the *District Coordination Toolkit*.

What to look for: Review financial reports and confirm that they comply with guidelines. Look for documentation, emails or receipts as proof of submission.

Standard FM.3: The DATF's financial documentation is complete and in accordance with the procedures and regulations of the Government of the Republic of Zambia (GRZ) and with the *NAC Financial Procedure Manual* guidelines for PATFs and DATFs.

Performance expectation overview: The DATF records all fixed assets on the NAC Fixed Asset Record form. Voucher and procurement information is documented on appropriate forms following NAC guidelines. The DACA or DATF treasurer prepares financial reports and this role is recorded in the task description. The DATF chairperson reviews and signs financial reports and this responsibility is documented in the job/task description.

What to look for: Review Fixed Asset Record form, the GRZ General Voucher, and the NAC Stock Form. Check task descriptions to verify that financial management responsibilities are adequately documented.

Standard FM.4: 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.

Performance expectation overview: The DATF has a plan for resource mobilization and actively identifies and mobilizes funds to support district program expenses. The DATF submits proposals and/or assists stakeholders to do so. The DATF assists local community-based organizations (CBOs) to mobilize resources.

What to look for: Review copies of proposals, either draft or finalized. Review any grants or contracts the DATF has received. Question stakeholders about how the DATF is supporting their efforts to mobilize resources.

Standard FM.5: The DATF accounts are audited annually.

Performance expectation overview: DATFs are audited on an annual basis and actively work to address any audit findings.

What to look for: Review audit reports and question DATF representatives about any findings and how they have been addressed. Verify appropriate documentation as required.

Monitoring and evaluation (ME)

Standard ME.1: The DATF has put in place a process to track and evaluate the implementation of its strategic plan.

Performance expectation overview: DATFs have a monitoring and evaluation plan that was developed with the participation of stakeholders and reflects the strategic plan. The plan clearly described how indicators will be measured, by whom, when and how information will be used for decision making in the district.

What to look for: Review the monitoring and evaluation plan for the necessary information including clear goals and objectives, statements of expected outcomes, a description of how the PATF or DATF will collect data, how it will work with other partners, and who is responsible for monitoring and evaluation in the DATF. The plan should also contain an indication of the monitoring and evaluation capacities needed and how the DATF will ensure that staff have the capabilities required to oversee the system. Finally, the plan should include a detailed costed workplan. Question stakeholders to learn about how the plan was developed and who was involved.

Standard ME.2: The DATF has put in place a monitoring and evaluation system that ensures quality of data which is used for decision making and facilitates an environment for learning and stakeholder networking.

Performance expectation overview: DATFs have a monitoring and evaluation technical working group and the members of the working group understand their roles and responsibilities and have been trained in data management and data quality assurance. The DATF collects data, compiles reports and shares data with stakeholders. The DATF identifies, documents and communicates best practices.

What to look for: Review the monitoring and evaluation technical working group terms of reference and list of members. Review documents related to monitoring and evaluation training or question stakeholders about the training and experience of working group members. Review quarterly reports for data and results. If possible, review online databases to see how data are entered and kept. Review best practice documents and question stakeholders to learn more about how they are used or disseminated.

Standard ME.3: The SARFs are completed in accordance with the national guidelines.

Performance expectation overview: DATFs stakeholders are aware of the requirements for completing the SARFs and DATFs track SARF submissions by stakeholders.

What to look for: Question stakeholders to learn more about their understanding of SARFs and how they are completed. Review records of SARF submissions.

Standard ME.4: The DATF has put in place a quality assurance support mechanism for HIV and AIDS service delivery in the district.

Performance expectation overview: The DATF has a quality assurance thematic working group in place and DATF stakeholders have been oriented to the use of the support supervision tool in the *District Coordination Toolkit*. Supervision visits are made to partners implementing HIV and AIDS programs in the district and supervision is used to assess performance, identify gaps and make recommendations for strengthening programs. Program and service quality are assessed during supervision visits.

What to look for: Review the terms of reference or task description for the quality assurance technical working group. Question stakeholders on their familiarity with the supportive supervision tool. Review completed supportive supervision reports or summaries. Question stakeholders on quality issues identified and how they have been addressed.

Standard ME.5: The DATF has launched and is implementing the NAC monitoring and evaluation online program, which automates the process for DATF data collection and PATF/NAC reporting.

Performance expectation overview: The DATF regularly collects and enters data into the NACMIS. A DATF stakeholder has clear responsibility for data entry and management. The DATF uses the data entered in the system to identify issues or problems and develop actions to address them.

What to look for: Ask DATF representatives or check records to verify that DATF members have been trained to correctly use the NAC monitoring and evaluation system. Check the NAC monitoring and evaluation system to ensure that DATF data are up-to-date. Check task descriptions to ensure data entry and management responsibilities are clearly assigned. Question DATF stakeholders about how they analyse and use the data they enter into the NAC monitoring and evaluation system.

Scoring Standards

Scores

Standards are scored as met, partially met or not met based on the number of performance expectations met. Performance expectations are scored as either met or not met. The *Performance Assessment and Certification Standards* provide clear guidance on how to score each standard. Table 3 presents a summary of scores and scoring criteria.

Table 3: Scoring criteria

<u>Score</u>	<u>Abbreviation</u>	<u>Definition</u>
Met	M	Standard compliance with all performance expectations.
Partially met	PM	Standard compliance with several, but not all performance expectations. <i>Example: 1 of the 2 expectations are met.</i> This will be defined for each standard with multiple performance expectations.
Not met	NM	Standard compliance with less than the minimum of expectations.
Not applicable	NA	This score should only be used when a specific standard is not applicable for a particular DATF and therefore compliance is not required. <i>These standards are not counted during scoring.</i>

Process

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 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 consistently applied.

Process example

Consider an assessor who is sitting with the DACA, DATF Chairman and two other DATF members to work through the *Response Performance Management* category presented above. She begins with Standard 1, reading out to the group: “The standard says: ‘The DATF engages in long-term strategic planning for the district response to HIV/AIDS.’”

The DACA replies immediately “Yes we do!” and the others nod “Yes” as well.

The Assessor goes on, “Ok, well let’s review the performance expectations for this standard. These say: ‘DATF has evidence that it has a standardized process for HIV and AIDS strategic planning that is participatory and adheres to the outline for the District HIV and AIDS strategic plan. The DATF has also presented the plan to DDCC for approval and launched it in the district.’ So let’s start by reviewing your Strategic Plan. Can you please show it to me?”

The DATF Chairman pulls a document from the stack in front of him and hands it to her, saying, “Here’s a copy for you.”

The assessor skims through it, noting that it looks:

- **Current:** the date on the front is from about six months before
- **Structured:** according to NAC’s standard template
- **Complete:** Sections are appropriately comprehensive, based on the guidance in the *District Coordination Toolkit*

She looks up after a few minutes, and the DATF Chairman hands her another piece of paper. “Here is the letter we received from the DDCC after they had reviewed the plan.” The letter, signed by the DDCC Chairperson and dated about four months before, clearly shows that the document is signed by both the DDCC chair and Mayor of Council Chairperson with an accompanying official stamp.

The assessor thanks him and then looks around the table and says to one of the DATF members, “So tell me a little bit about how you developed the plan.”

They describing how the different members of the DATF took responsibility for drafting different sections and presenting them at the meetings; the DACA then helped to compile it all. It took about five months, they tell the assessors, but “we pulled it together and then presented it to the DDCC and ultimately the local authority, which reviewed and approved it a few months later.”

The assessor thanks them for the description, makes some notes and completes the appropriate section of the compliance report.

Standard compliance reports

When the assessment is complete and all the standards have been scored, scores are entered into the Standards Compliance Report included in Appendix 1. This report provides a summary of results. It is a useful reference for action planning and can be used by the DATF to compare progress from one assessment to another. Several copies of this report should be produced: one for the PATF or DATF; a second for the PATF, NAC or other supporting agency; and a third to be submitted to NAC for data entry. NAC can enter data from the reports into a database, which will enable it to identify high-performing PATFs and DATFs as well as those that need additional assistance to improve. Analysis of these data can also help NAC identify common areas of weakness among PATFs and DATFs and prepare trainings or resource materials to address these issues.

Developing Improvement Plans

Developing performance improvement plans is an essential step in the assessment process for facilitated self-assessments and certification preparation. Once the standards have been reviewed and scored and the compliance report is completed, the PATF or DATF, with support from the assessor, should work to develop an improvement plan that details specific compliance issues, actions to address issues, and a person responsible for ensuring the action is completed with a timeframe for completion. An example of a partially completed action plan framework is included in Appendix 2.

When PATFs and DATFs first use the standards, they may find so many issues that it may not be possible to include all of them in the improvement plan. This is normal; the plan can be made manageable by focusing on 10 to 20 priority issues, and the PATF or DATF can meet again in three to six months to update the action plan to address other issues. An alternative is to record all issues, establishing an action for each, but prioritise just a few to focus on at first and go back to the others after six months. Either approach can work. What is crucial is that PATFs and DATFs develop realistic actions that are very specific and relate directly to the issues. It is also important that PATFs and DATFs understand that improvement takes time. They should be ambitious and work hard, but they will not be able to address every issue in a single quarter, or even in six months, though they can make substantial progress if they have support.

Improvement plan development usually takes two hours when it is led by an experienced facilitator. If there are many issues, it can be helpful to break the group into smaller sub-groups and assign each a category (governance and leadership, for example), to review and draft issues and actions. The groups can then reconvene and share issues and actions among the larger group to gain overall consensus. Each group's action plan can then be compiled into a single improvement plan.

It is helpful to draft improvement plans directly on a computer. If an overhead projector is available, the group can work together to develop the improvement plan. If several groups are working on parts of the improvement plan simultaneously, each can draft their plan directly into a computer file and they can be compiled later into a single plan. However, not all PATFs or DATFs have consistent access to electricity. In such cases, the action plan can be drafted on paper to start and then entered into electronic format. In either case, at least two copies of the improvement plans should be made, one to stay with the PATF or DATF and the second to be retained by the PACA, NAC or other supporting agency who will be providing technical assistance or follow-up.

Improvement plans provide a road map for PATFs, DATFs and technical assistance providers. During the development of the improvement plan, assessors can ask PATFs and DATFs for what actions they need assistance. For example, the DATF may need an operational plan, but they don't know how to go about creating one and have no experience developing a budget. The PACA, who is hopefully participating in the assessment, should be able to help with this by providing examples and expert advice. The PACA can even arrange to work hand-in-hand with the DATF to coach the DACA, DATF Chairperson and other members in how to create and finalize an operational plan and budget.

Conclusion

These guidelines provide instructions and information to guide a standardized approach to DATF and PATF performance assessments. The *Performance Assessment and Certification Standards* frame a performance improvement process. Whether used for facilitated self-assessments, certification preparation, or actual certification assessments, the assessment tools provide a set of clear standards to help DATFs and PATFs identify their management and coordination strengths and weaknesses. Assessment results are valuable for NAC and other stakeholders, enabling them to identify and recognize high-performing DATFs and to find common areas of weakness that should be addressed.

Scores enable monitoring of performance change over time, comparisons of performance, and identification of potential linkages or support among PATFs and DATFs by highlighting strong PATFs or DATFs that might be able to mentor or support weaker ones. Action plans help guide PATFs and DATFs to address issues and assist NAC or another support agency to target technical assistance and help PATFs and DATFs improve. Strong PATFs and DATFs are able to lead the local multi-sectoral response and ensure that HIV and AIDS services are responsive to the needs of the local community.

Appendix 1: Standard Compliance Report Example

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			X			1,2	
	2.	GL.2			X			1,2,3,4,5	
Coordination of the district response	3.	CDR.1	X				1,2,3,4,5		
	4.	CDR.2			X			1,2,3,4,5	
	5.	CDR.3		X			1,2	3	
	6.	CDR.4	X				1,2,3		
	7.	CDR.5	X				1,2,3,4		
Administrative management	8.	ADM.1		X			1,2,4	3,5	
	9.	ADM.2		X			1,2	3,4	
Human resources management	10.	HR.1			X		1	2,3,4,5	
	11.	HR.2	X				1,2,3,4		
	12.	HR.3	X				1,2		
	13.	HR.4	X				1,2,3,4		
Response performance management	14.	RPM.1			X		1	2,3,4	
	15.	RPM.2			X		1	2,3,4,5	
	16.	RPM.3			X		1,2	3,4,5,6	
Mainstreaming cross-cutting issues	17.	CCI.1	X				1,2		
	18.	CCI.2	X				1,2,3		
Financial management	19.	FM.1		X			2,3	1	
	20.	FM.2			X			1,2	
	21.	FM.3		X			1,2,3	4,5	
	22.	FM.4	X				1,2,3,4,5		
	23.	FM.5	X				1,2		
Monitoring and evaluation	24.	ME.1			X		1	2,3,4	
	25.	ME.2		X			2,3,4	1,5,6	
	26.	ME.3			X			1,2,3,4	
	27.	ME.4	X				1,2,3,4,5		
	28.	ME.5	X				1,2,3,4		
Total Standards met, partially met and not met			12	6	10	0			

Signature:			
Name:			
	Assessor 1	Assessor 2	DATF chairperson/DACA

Appendix 2: Improvement Plan Example

DATF name: Ku

Person responsible: Kondwizi, B

Date: 20th June, 2012

Directions: In the appropriate columns, document the standard, 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. 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 six-month period and then revise the improvement plan.

Standard	Performance Expectation	PE Score	Standard Compliance Issue	Improvement Actions	Person Responsible	Target Date	Status (completed at follow-up)
GL.1	PE.4	NM	<i>District Coordination Toolkit</i> not shared with stakeholders	Present contents of toolkit to stakeholders at next stakeholder meeting	DACA	31 st May 2012	Done
GL.2	PE.1	NM	No evidence that the DACA or any member of DATF is attending quarterly DDCC meetings	Attend DDCC meetings and submit meeting notes or the official meeting minutes for DATF records	Secretary	On going	Done
	PE.2	NM	No evidence of DACA and or any DATF member attending PATF coordination meetings	Attend PATF meetings and submit meeting notes or the official meeting minutes for DATF records.	Secretary	30 th June 2012	Not done; obtain minutes of last PATF meeting
	PE.3, PE.4	NM	No evidence of issues presented to DDCC and PATF coordination meetings	Create a summary list of issues to be presented at DDCC and PATF meetings and save the list in the DATF files	Secretary	30 th June 2012	Done for the DDCC but not for PATF
	PE.5	NM	No evidence that DATF has submitted narrative, financial and SARF reports to PATF and DDCC	Print and copy emails or cover letters drafted for submissions and record them in DATF files.	Secretary	31 st May 2012	Done; but need to obtain acknowledgement from the PACA