

Monitoring and Evaluation Framework

2008

October 2008

PNG-Australia HIV and AIDS Program Monitoring & Evaluation Framework

Table of Contents

ACRONYMS.....	4
1. Introduction	6
2. PNG Government HIV AND AIDS Policies	7
3. PNG-Australia HIV and AIDS Program Monitoring & Evaluation activities: Overview	8
4. Reporting Requirements	12
5. Monitoring & Evaluating HIV activities across the aid program	12
6. Learning and feedback mechanisms	14
7. Monitoring Methods	14
8. Evaluation Methods.....	15
9. Risk Management	15

Tables

1. PNG-Australia HIV and AIDS Program Monitoring & Evaluation relationships	8
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Annexes

- A. Monitoring against Program Outcome Areas 2008
- B. Implementation Plan
- C. Quality at Implementation guidance: reports and ratings
- E. PNG-Australia HIV AND AIDS Program Evaluation Plan 2008

Reference:

- A. PNG – Australia Development Corporation Strategy (DCS)
- B. 2008 HIV AND AIDS Sector Performance Report (SPR)
- C. NSP Monitoring and Evaluation Framework 2006-2010

ACRONYMS

ADB	Asian Development Bank
AIDS	Acquired Immunodeficiency Syndrome
ART	Anti-Retroviral Treatment
AusAID	Australian Agency for International Development
BBS	Bio-Behavioural Survey
BAHA	Business Coalition Against HIV and AIDS
CACC	Central Agency Coordination Committee
CDDAW	Convention on the Elimination of all forms of Discrimination Against Women
CSO	Civil Society Organisations
CUSO	Canadian Universities Services Overseas
DCS	Development Co-operation Strategy
FBO	Faith Based Organisations
GoPNG	Government of Papua New Guinea
HIV	Human Immunodeficiency Virus
IEA	International Education Agency
IMRG	Independent Monitoring and Review Group
IRG	Independent Review Group on HIV and AIDS
JOA	Joint Organisational Assessment
L&J	Law and Justice Sector
M&E	Monitoring and Evaluation
MDG	Millennium Development Goal
MTDS	Medium Term Development Strategy
NAC	National AIDS Council
NEC	National Executive Council
NDOH	National Department of Health
NGP	National Gender Policy on HIV and AIDS
NGO	Non-Government Organisation
NSP	National Strategic Plan
ODE	Office of Development Effectiveness
PAC	Provincial AIDS Committees
PASHIP	PNG-Australia Sexual Health Improvement Program
PLHIV	People Living with HIV
PNGIMR	Papua New Guinea Institute of Medical Research
QAI	Quality At Implementation
RAC	Research Advisory Committee on HIV and AIDS
SNS	Sub-national Strategy
SPR	Sector Performance Report
STI	Sexually Transmitted Infection

TL	Tingim Laip
SW	Sanap Wantaim Program Office
UNGASS	United Nations Special Session on HIV and AIDS
VCT	Volunteer Counselling and Testing

1. Introduction

- 1.1 This Framework provides an overview of PNG-Australia HIV and AIDS Program's monitoring and evaluation systems, in the context of AusAID's support for the national response to HIV in PNG and AusAID's own performance assessment requirements.
- 1.2 AusAID supports the UNAIDS principle of a single agreed plan and monitoring and evaluation framework for HIV AND AIDS responses.¹ PNG-Australia HIV and AIDS Program therefore takes the 2006-2010 National Strategic Plans on HIV AND AIDS (NSP) as the central element of its own monitoring. Its contribution to the national response will be primarily assessed through national reporting against NSP and other development indicators collected through GoPNG agencies.
- 1.3 A strengthened, coordinated and effective response to the HIV and AIDS epidemic is one of the four pillars of the PNG-Australia Development Cooperation Strategy. In line with its reporting responsibilities as the leading bilateral donor in PNG and with AusAID's performance assessment requirements, PNG-Australia HIV and AIDS Program will also conduct its own monitoring and evaluation of program activities. These will not duplicate GoPNG M&E systems but will track Australia's contribution to the response in terms of the scope of activities funded, quality of implementation, progress in building local capacity, and effectiveness of partnerships.
- 1.4 In addition to its obligations to report on performance to key stakeholders, the purpose of PNG-Australia HIV and AIDS Program's monitoring and evaluation activities is to provide the information necessary for effective, targeted, high quality Program management and learning.
- 1.5 The specific objectives of Australia's assistance are supportive of the NSP and the AusAID strategy and are based around three components:²

¹ In 2007 the National AIDS Council (NAC) established an annual joint planning exercise bringing all stakeholders together into one planning cycle. The NSP and its Monitoring and Evaluation Framework are the primary national documents guiding the response. The National AIDS Council Secretariat (NACS) and the National Department of Health (NDOH) are the key PNG Government agencies monitoring HIV and AIDS.

² The Program goal is "To contribute to the achievement of the overall goals of the *National Strategic Plan HIV AND AIDS 2006-2010*:

- stabilise the spread of HIV AND AIDS infections by 2020
- improve care for those infected
- minimize the social and economic impact of the epidemic on individuals, families and communities, and
- strengthen the national capacity to respond to the epidemic."

- Outcome 1.** Support for activities within agreed priority focus areas contributing to the achievement of the PNG National Strategic Plan.
- Outcome 2.** Enhanced individual, institutional and sector Papua New Guinean capacity to lead and manage a national response to HIV and AIDS.
- Outcome 3.** AusAID's PNG Country HIV AND AIDS response managed effectively.

2. PNG Government HIV AND AIDS Policies

- 2.1 *Medium Term Development Strategy 2005-2010.* PNG recognises the threat posed by the HIV epidemic to its development and economic growth prospects and has placed HIV and AIDS as one of five priorities in its Medium Term Development Strategy. The MTDS has drafted a number of HIV indicators to include in its Performance Monitoring Framework.
- 2.2 *2006-2010 National Strategic Plan on HIV AND AIDS:* The current phase of the response is now guided by the National Strategic Plan on HIV AND AIDS 2006-2010 that identifies seven focus areas for the national response to the epidemic.
 - 1. Treatment, Counselling, Care and Support
 - 2. Education and Prevention
 - 3. Surveillance and Epidemiology
 - 4. Social and Behaviour Change Research
 - 5. Leadership, Partnership and Coordination
 - 6. Family and Community Support; and
 - 7. Monitoring and Evaluation.
- 2.3 *Independent Review Group:* NACS and leading donors have agreed to establish an Independent Review Group to provide independent technical advice on and periodic review of the national response. The IRG will complement internal monitoring and performance activities of NACS by providing a high level view of performance across sectors. It will also complement donor and civil society evaluations of specific activities and programs.
- 2.4 *Other Policies:* Other key GoPNG Policy frameworks which provide guidance for the national HIV and AIDS implementation plan to support the NSP include:

The medium term Purpose of the Program is: "to support the development of leadership and capacity across Papua New Guinea to promote, design, implement, monitor and review interventions to target agreed HIV and AIDS priorities."

- PNG National Health Plan, 2001- 2010 (NHP)
- National HIV and AIDS Gender Policy
- National Research Agenda for HIV and AIDS in PNG, 2008 - 2013
- Government of PNG is also party to a number of international conventions and agreements which highlight HIV and AIDS. These include the United National Special Session on HIV and AIDS (UNGASS) under which PNG has agreed to targets for ART treatment (10,000 people by 2010).

3. PNG-Australia HIV and AIDS Program Monitoring & Evaluation activities: Overview

- 3.1. PNG-Australia HIV and AIDS Program is a flexible program supporting a broad range of interventions focussing both on rapid response to critical gaps in the present PNG response and also the development of long term, sustainable interventions. In particular it will focus on building the capacity of public sector, policy makers, service providers, the private sector, research bodies, communities and civil society to deliver the HIV and AIDS response.
- 3.2. Each activity funded under the program has its own Monitoring and Evaluation framework containing an intervention logic that links it firmly to NSP goals. Activity output data will be collected and reported through NACS and NDOH Monitoring and Evaluation systems. The Program will focus on strengthening implementing partners' capacity to monitor and evaluate the response in support of the NSP. Indeed, a guiding principle to the Program's monitoring and evaluation approach is that any investment in in-depth analysis of the impact on HIV and AIDS will be better directed over the life of the Program to bolstering NACS and other PNG agencies in their monitoring responsibility rather than developing sophisticated systems within AusAID's own program management.
- 3.3. As the leading bilateral donor to the national response, national level indicators will provide a strong guide to the effectiveness of Australia's support. At the same time PNG-Australia HIV and AIDS Program is one among a number of significant government and donor-funded HIV programs in PNG. The Program needs to track and assess its own contribution and performance and report back to key stakeholders. PNG-Australia HIV and AIDS Program also has corporate responsibilities to monitor the effectiveness of its activities and contribution to the national response. While not duplicating PNG Monitoring and Evaluation systems, the focus of the Program's monitoring and evaluation activities is therefore on:

- AusAID's contribution to NSP goals, particularly in terms of the scope and quality of activities funded;
- Progress in building local capacity, in both government and civil society;
- Effectiveness of program management and ways of working, particularly strength of relationships with key stakeholders.

3.4. PNG-Australia HIV and AIDS Program activities vary in the degree to which they directly contribute to the national response, and as a whole do not lend themselves to strict cause-effect development logic. In the absence of strict lines of attribution between activities and overall outcomes, the Program will seek to demonstrate the connections between its activities and program and country-level objectives.

Evidence will be collected through case studies, IRG reports to demonstrate outcome of the program.

3.5. A variety of methods of performance assessment will be used:

1. Quantitative approaches: What are results from the national Monitoring and Evaluation framework telling us about the effectiveness of the national response? Are funded activities delivered as planned against agreed objectives?
2. Qualitative methods: Do partners feel their capacity is increasing?

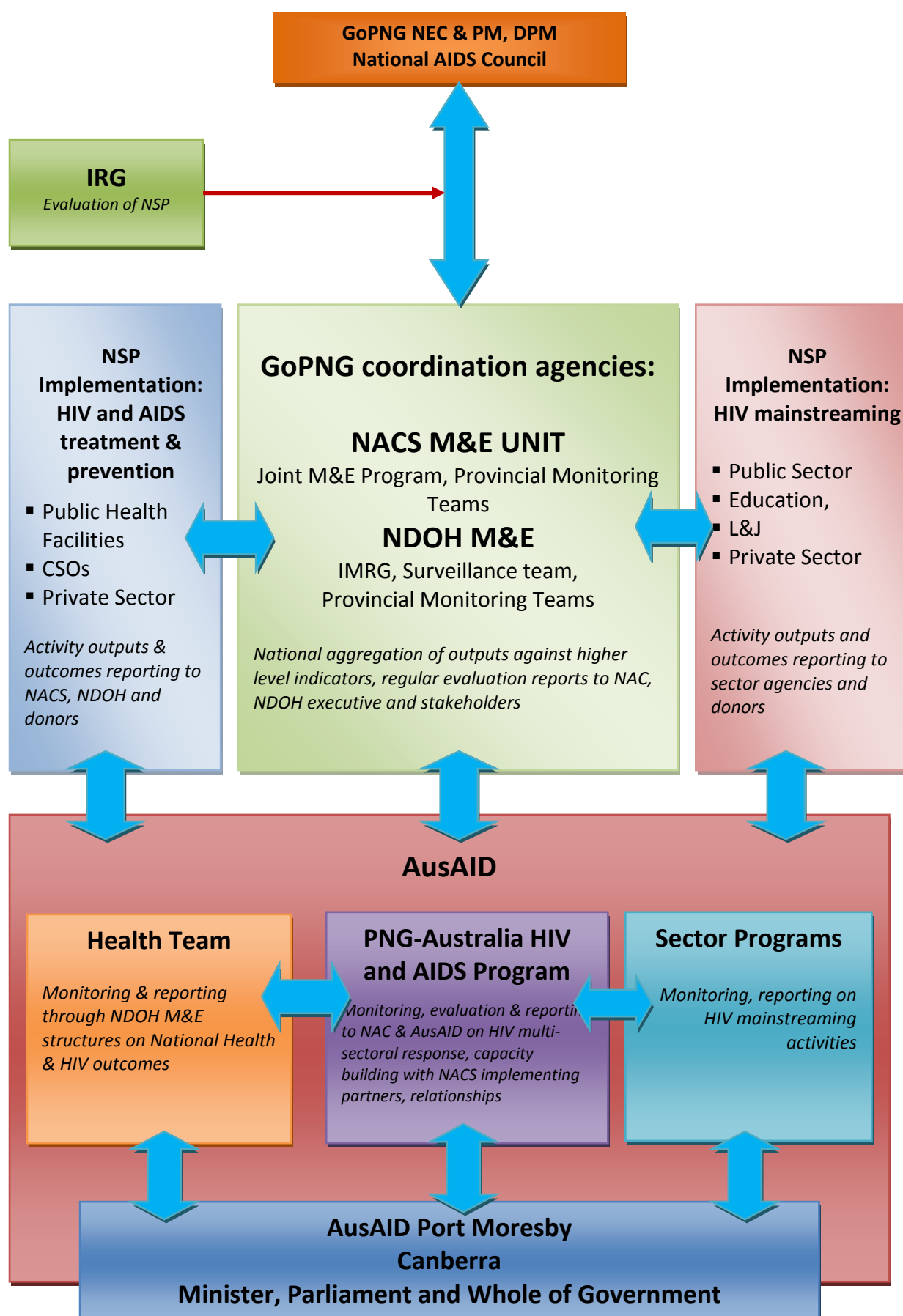
The Program will identify key research questions or lines of inquiry according to different program activities and develop methodologies to answer them. Program performance will be measured by answering questions such as:

- What have been the changes in capacity in targeted institutions?
- What is the extent and quality of outputs delivered by the Program?
- Is the Program working with agencies likely to make a significant contribution to national objectives, and what is the quality of those relationships?
- Are relationships with other external funders allowing them to provide financing from their comparative advantage?
- What is the volume, composition and direction of Australian assistance and are they compatible with the NSP and Australian policy? Is the Program responding flexibly to new areas of concern?
- How is HIV and AIDS being mainstreamed across Government through Australian support?

3.6. Methods of collecting this information will vary according to the nature of the question asked and will be an evolving process, responding to emerging needs and the results of action-based research. M&E activities for each year will be set out in annual Program Monitoring and Evaluation Plans (annex A and B).

3.7. Given the flexible nature of the Program's support for the PNG response, PNG-Australia HIV and AIDS Program's M&E systems will need to adapt to changing circumstances and activities. Robust learning and feedback mechanisms will be needed to ensure that information collected supports the Program's responsiveness, continuous improvement and quality. Learning and feedback need to occur on an ongoing basis, through both formal and informal structures.

Table 1: PNG-Australia HIV and AIDS Program Monitoring & Evaluation relationships



4. Reporting Requirements

4.1 PNG-Australia HIV and AIDS Program is required to monitor and evaluate the performance of its program as part of AusAID's corporate responsibilities. These include:

- annual Quality at Implementation Reports on program activities;
- annual Sector Performance Report, providing an overview of the program's contribution of the HIV and AIDS response, and progress against objectives.
- regular updates on program progress through cables and briefing.

As the leading bilateral donor to the HIV and AIDS response in PNG, the Program also provides a progress report to the NAC on a quarterly basis, and provides regular updates to the HIV Development Partners Forum.

Key reporting areas and required formats of these reports has been incorporated into routine monitoring and periodic evaluation processes to facilitate annual reporting processes. (See Annex B)

5. Monitoring & Evaluating HIV activities across the aid program

Mainstreaming: A strengthened, coordinated and effective response to the HIV and AIDS epidemic is one of the four pillars of the PNG-Australia Development Cooperation Strategy. All PNG programs have a responsibility to monitor and evaluate their contribution to this pillar: since sector HIV activities implemented according to mainstreaming principles will largely be in line with particular sectors' core business, the majority of monitoring and evaluation of mainstreamed activities will occur through sectors' own performance assessment processes. PNG-Australia HIV and AIDS Program has overarching responsibility for coherence and quality control of HIV and AIDS activities across the PNG aid program. Its monitoring and evaluation of mainstreaming will therefore focus on the level and quality of technical support it provides to sectors, and the effective management of coordination processes.

Activities that have potential to overlap with PNG-Australia HIV and AIDS Program support in certain sectors (e.g. Democratic Governance section's Church Partnership Program, grants and capacity building to NGOs and the Health program's PASHIP) will require specific coordination of monitoring and evaluation processes. Regular AusAID management meetings will be held to ensure that no duplication of funding, activities or activity monitoring occurs, and that reporting is streamlined and harmonised as far as practicable.

Health: A significant proportion of AusAID's support for PNG's HIV and AIDS response is delivered through the health sector, with some two-thirds of NSP indicators are health-sector related. Strengthening surveillance of the HIV epidemic is a health sector priority, and will directly improve capacity to monitor the response. PNG-Australia HIV and AIDS Program and the AusAID's Health team will work closely together to support NACS and NDOH align their monitoring and evaluation systems.

- The Independent Monitoring and Review Group (IMRG) is the peak evaluation mechanism for the national health sector. Findings from both the IMRG and the IRG will be used to track high level performance of Australia's contribution to the HIV and AIDS response.
- In regard to activity monitoring, government and non-government health facilities providing HIV services will report to NACS and NDOH through the national output monitoring reporting templates. This data will be aggregated at the national level and will be used to inform key stakeholders of progress and to shape program management decisions.

Gender: strengthened support for gender equality in PNG is a priority for PNG-Australia HIV and AIDS Program and the aid program as a whole. PNG-Australia HIV and AIDS Program will build the capacity of key partners to design and implement gender activities, to conduct gender analysis and collect basic sex-disaggregated qualitative and quantitative data, in line with the National Gender Policy and Plan on HIV and AIDS (NGP) and the Implementers Guide. The Program will also work closely with the other AusAID sectors, particularly Democratic Governance, Health and Law and Justice to improve coordination and strengthen synergies of gender activities across the aid program. Recruitment of a gender adviser in NACS in second half of 2007 has further strengthened work in this area.

Sub-National Program: Given the central role of provincial administrations and sub-national systems in service delivery, coordination between the PNG-Australia HIV and AIDS Program and SNS teams will be of vital importance. Regular meetings between relevant Program staff, the SNS team, NACS, Provincial AIDS Committees and CUSO (volunteer program) will be held to strengthen engagement and ensure program support is effectively targeted. The Program will work closely with the SNS program through technical support and coordination of activities at the sub-national level. SNS monitoring & evaluation processes and SNS support for monitoring at the provincial level will be a key coordination area.

6. Learning and feedback mechanisms

A key objective of Program monitoring and evaluation is to establish robust information collection and feedback mechanisms to support ongoing quality control and improvement in program management. Given the Program's flexible and diverse nature, learning by doing will be a key feature of program planning, implementation and monitoring mechanisms and will require careful planning and documentation. Regular (at least quarterly) feedback meetings will be held with Program staff to ensure that information collected through routine monitoring and activity management is captured and used in a timely way. Documentation of this process will reflect key reporting requirements against Program Outcome Three: HIVAIDS response managed effectively (Strategic Direction, Program management and quality and Program Governance).

National level monitoring and evaluation information, particularly IRG reports, will be key sources of information on Program performance to feed back into Program management.

7. Monitoring Methods

PNG-Australia HIV and AIDS Program will establish a practical and simple monitoring approach that collects information from its implementing partners to assess performance across all three program objectives (see Annex A).

Key monitoring methods of program activities include:

- conducting initial Joint Organisational Assessment or capacity mapping to establish baseline data on capacity of the organisation;
- identifying capacity building needs, setting annual targets or objectives, and agreeing on methods of support;
- assessment of quarterly reports (e.g. NGO reports documenting activity progress against planned outputs, NSP indicators and emerging issues)
- quarterly meetings with NACS and implementing partners
- adviser reports (e.g. on performance of grants scheme, financial systems in NACS, provincial programs)
- meeting notes from donor forums.
- NGO monitoring visits and analysis

Monitoring responsibility within the Program will be shared between the advisory team and AusAID staff, as needs and skills determine. PNG-Australia HIV and AIDS Program's Implementing Service Provider (JTAI) may also be tasked to assist with monitoring and evaluation activities as required.

8. Evaluation Methods

Evaluation of the national response will be managed by NACS in conjunction with the Independent Review Group. Individual donors such as AusAID will also conduct evaluations of particular activities (for instance, Tingim Laip in 2007, Catholic HIV and AIDS activities and Anglicare StopAIDS in 2009). The focus of PNG-Australia HIV and AIDS Program's evaluations will be on assessing the appropriateness and quality of program activities, identifying gaps in the response and areas of core strength where the program is best place to respond, and ensuring the alignment of program activities with other donors under PNG frameworks.

Evaluations and reviews of the national response will occur on a number of levels, including:

- IRG evaluations
- NACS program evaluations and reviews e.g. joint ODE program of impact evaluation.
- IMRG reports (Health sector)
- National reporting against the Medium Term Development Plan, UNGASS, Millennium Development Goals, CEDAW.

PNG-Australia HIV and AIDS Program evaluations will include:

- Joint participatory evaluations conducted with implementing partners (eg. Catholics and Anglicare StopAIDS in 2009)
- Discrete activity evaluations, e.g. review of Tingim Laip
- Aggregate assessment of activity information
- PNG-Australia HIV and AIDS Program Mid-Term Review

9. Risk Management

The shift from a project to a program mode of support brings with it a number of heightened risks in terms of program monitoring and evaluation. Program activities are more diffuse and work through other partners rather than through discrete projects with pre-determined targets. Program performance assessment is increasingly dependent on PNG Government systems and processes; the focus of program activities shifts from activity implementation to capacity building processes - including systems and skills development - the outcomes of which become correspondingly harder to measure; qualitative issues such as the strength and effectiveness of relationships and partnerships come to the fore. The program's challenge is to effectively track its own contribution to the response while boosting capacity for stakeholders to undertake their own monitoring and evaluation.

Assessment of quality at entry and implementation of funded activities will also require closer attention when these activities are mostly designed outside of AusAID design

and quality processes. Mechanisms to monitor quality of these activities will need to be developed.

The Program Monitoring Plan identifies relative risks of activities and provides for appropriate monitoring of these risks. A Risk Management Matrix has been developed for the program as a whole which assesses the relative risks and monitoring and evaluation, and is subject to ongoing review.

The key risks in terms of monitoring and evaluation of Program activities lies in the currently low capacity of the NACS to implement its Monitoring and Evaluation framework plans and analyse the data collected. Establishing and building the capacity of provincial teams to implement the plan will also be slow. While these systems are still under development, it is expected that national data and reporting will not be robust, and reporting at the national level will occur through aggregation of individual activity level data, through donor evaluations and the IRG.

Monitoring against Program Outcome Areas

- 1.1 The aim of PNG-Australia HIV and AIDS Program 's monitoring is to track the program's contributions to the national response in terms of
- 1) quality and scope of implementation,
 - 2) capacity of our key partners, and
 - 3) Strategic direction of program and effective program management.

Key monitoring areas and relevant indicators have been identified against each of the three outcome areas, reflecting the Program's priority reporting areas.

1.2 **Outcome 1:** Support for activities within agreed priority focus areas contributing to the achievement of the PNG National Strategic Plan

Key questions:

- What are national monitoring and evaluation processes telling us about how the PNG response is tracking?
- What is the scope of activities funded by the Program?
- What is the volume, composition and direction of Australian assistance (i.e. is the Program supporting agencies likely to make a significant contribution to national objectives?
- How is HIV and AIDS being mainstreamed across Government through Australian support?

Outcome Areas	Ref	Indicators	Tools	Source	Data Collection	
					Frequency	Responsible
Outcome 1: Support for activities within agreed priority focus areas contributing to the achievement of the PNG National Strategic Plan	NDOH	% of eligible people receiving ART treatment	Surveillance Forms	ARV Site records	Annually	Terry
	NSP	% of people reporting correct and consistent use of condoms	General pop. Based surveys, records of routine data from clinics and health centres	Research Institutes, NDOH, RAC (through NACS), Sample of general population	Twice in NSP period	Terry

	NSP	% of people correctly identifies different modes of HIV transmissions and preventions	Behavioural Surveys	Research Institutes, studies conducted by NGOs, NDOH, RAC through NACS)	Annually	Evelyn
	NSP	% of people reporting reduction in number of sexual partners	Behavioural Surveys	Research Institutes, NDOH, RAC (through NACS)	Annually	Evelyn
	NSP	% of provinces with at least one facility providing ART	Surveillance Forms	ARV Sites, NDOH, PACS	Annually	Terry
	NSP	Level of advocacy of HIV response from political leaders (e.g., reference in media, CACC)	Media Clips	Media / Parliamentary resolutions / NACS Media Unit	Annually	Nidia
	NSP	% of people remaining on treatment at 6, 12 and 24 months	Clinical Records, NDOH reports	ART Sites, NDOH	Bi-annually	Terry
	NSP	% of people aged 15-49 who have voluntarily requested an HIV test, received the test and received their results	Records of routine data, General pop. survey	VCT Sites, Hospitals, Behavioural Survey, sample of general pop.	Twice NSP period	Terry
	NSP	% of patients with STIs at STI clinics (including STI clinics in provincial and selected district hospitals) who are appropriately tested diagnosed, treated and counselled increases by at least 5% between NSP's baseline survey and end-of-strategy survey.	Survey	STI Sites, PNGIMR (through PASHIP study and M&E components)	Bi-annually	Evelyn
	NSP	Percentage of young people aged 15-24 report the use of a condom during last sexual intercourse with a non-regular partner	Pop. Based Survey	Research Institutes / NDOH, RAC (through ANCS)	Twice NSP Period	Evelyn
	NSP	Percentage of people expressing accepting attitudes towards people with HIV	Pop. Based Survey, Research studies	Research Institutes / NDOH, RAC (through NACS)	Annually	Evelyn
	DCS	Number of health facilities that report receipt of adequate and regular supply of essential HIV and STI drugs.	Surveillance Forms	ART / STI Sites	Annually	Terry

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Outcome 2: Enhanced individual, institutional and sector Papua New Guinean capacity to lead and manage a national response to HIV and AIDS

Key questions:

- What have been the changes in capacity in targeted institutions, including NACS/NAC, NDOH and NGOs/FBOs?
- What have been the changes in PNG leadership capacity in government and civil society?
- What have been the changes in PNG's capacity to lead and implement a multi-sector response to HIV?
- Have partners been supported to develop monitoring, evaluation and reporting mechanisms?

Outcome Areas	Ref	Indicators	Tool	Source of Data	Data Collection	
					Frequency	Responsible
Outcome 2: Enhanced individual, institutional and sector Papua New Guinean capacity to lead and manage a national response to HIV and AIDS	NSP	Number of public workplaces and large enterprises/companies that have HIV workplace policies and program	BAHA Database / Meeting notes	Workplace Based Survey	Annually	Moiya
	NSP	Percent of increase in PNG Budget commitment to HIV response	Annual Planning Process	NACS Planning	Annually	Donna-Jean
	DCS	NACS providing regular financial reports to NAC and GoPNG	Financial Acquittals	NACS Annual Reports	Annually	Peter
	DCS	NACS able to develop and update national policies required to guide an effective HIV response	NSP Steering Committee Agenda	NACS Planning / Annual Reports	Annually	Moiya
	DCS	NACS has established a robust national M&E system that provides data on the status of the response	Technical Working Group Meeting Agenda	Quarterly Reports / IRG / Advisor Reports / Independent Evaluation	Annually	Terry
	DCS	Number of PACS with M&E systems and databases providing information HIV and AIDS response in the Provinces	Quarterly PACS reports	NACS Desk Review	Annually	Terry
	DCS	NACS providing coordination and reporting of research activities to NAC and key stakeholders	Annual reports	Advisor Report / IRG /NAC Report	Annually	Donna-Jean
	DCS	Evidence of strengthened political, government and civil society leadership and advocacy	LSI activities / trainings / Media scans	Meeting reports / Advisor reports	Annually	Moiya

	DCS	Number of PACS adopting and applying PAC guidelines in their work	PAC Quarterly Reports	Reports	Annually	Abraham
	DCS	Performance & workforce management systems in place at NACS	Reviews	Meeting reports / ASF Reports	Annually	Peter
	DCS	Number of NGOs delivering NDOH accredited training in the areas of ART, VCT and HBC	NDOH Accreditation Criteria	NGO Quarterly Reports / NACS	Annually	Terry
	DCS	Number of NGOs providing regular reports to NACS/NDOH	NACS / NDOH Forms	Monthly / Quarterly Reports	Annually	Peter
	DCS	Number of PACS getting increased support from Provincial Governments	NSP Planning	Meeting Reports	Annually	Abraham
	DCS	Number of NGOs with core business management systems in place : finance, audit, monitoring and evaluation, knowledge management	NGO Templates /TOR for JOAs	NGO reports / Audit Reports / M&E reports / JOAs	Annually	Peter
GIPA	PRG	Number of PLHIV organisations receiving GIPA training	Training materials / reporting templates	NGO reports / GIPA officer field reports	Annually	Maura
	PRG	Number of NGO partners including GIPA principles in the Annual planning	Annual planning guide	Annual reports	Annually	Maura
	PRG	Number of PLHIV organisations providing quality reports to Igat Hope	Reporting templates / training materials	NGO reports / GIPA officer field trip reports	Annually	Maura
2.1 Quality of activities supported under NSP : Support Gender initiatives under NGO	DCS	Increased capacity for NGOs to include Gender into their activities and evidence of understanding relevance of gender issues in HIV	Survey Questionnaires / Annual Plan templates	Survey reports / Annual Plan	Annually	Lina
	DCS	Number of NGOs using the NGP and measuring against it	Reporting templates	Quarterly Reports	Annually	Lina

Outcome 3: AusAID's PNG Country HIV and AIDS response managed effectively.

Key questions:

1. Strategic Direction

- Is Australian assistance compatible with PNG development objectives (i.e. NSP, MTDS etc) and Australian policy?
- Is the Program responding flexibly to new areas of concern?
- Are relationships with other external funders allowing them to provide financing from their comparative advantage?
- What is the quality of those relationships?

2. Program management and quality

- Does the Program have an effective monitoring and evaluation system in place?
- Does the Program have effective knowledge management systems in place?
- How has the Program supported coherence of the aid program's response to HIV in PNG?
- Does the Program have effective quality assurance mechanisms in place?
- Does the Program have effective communication systems in place?

3. Program governance

- Are Program systems meeting corporate financial requirements?
- Are Program procurement, recruitment and sub-contracting practices in line with GoPNG and AusAID policies?
- Are Program systems adequately addressing risk?

Outcome Areas	Ref	Indicators	Tool	Source of Data	Data Collection	
					Frequency	Responsible
Outcome 3: AusAID’s PNG Country HIV AND AIDS response managed effectively						
3.1 Quality of activities supported under NSP: technical assistance to implementing partners	DCS	Evidence that research / monitoring informs program planning and delivery	Meeting schedules	Program reports / SPR / IMRG / QAI	Annually	Donna-Jean
	DCS	Percent of NSP indicators reported against in program-funded activities	NSP indicators	NSP activity reports	Annually	Terry
	DCS	Evidence of regular review processes undertaken that inform planning and delivery of programs	NGO templates	NGO Reports / NHATU reports	Quarterly	Donna-Jean
3.2 Quality assurance processes (internal): - Strengthening implementation of AusAID’s gender policy - Strengthening implementation of HIV mainstreaming	DCS	Evidence of active linkage with other program sectors on gender and planning for implementation across agency	Meeting minutes	Meeting reports / Advisor reports / Sector SPR	Quarterly	Donna-Jean
	DCS	Evidence that HIV strategies are being implemented, monitored and refined based on implementation experience	AusAID Gender and Mainstreaming guidelines	Meeting reports / SPR / QAI / Sector reports	Annually	Donna-Jean
3.3 Knowledge Management and Communication (A report to this indicator should reflect lessons learnt and use of evidence)	PRG	Evidence of information used for briefings and reviews	Team meeting templates	Team meetings reports / Advisor reports	Quarterly	Nidia
	PRG	Evidence of processes promoting learning and innovation	Team meeting template	Team meeting minutes	Quarterly	Nidia
3.4 Program Governance	PRG	Financial management systems in place and able to provide AusAID with routine and ad hoc requests for financial information	Internal controls	Audit / reviews on IC	Annually	Peter

	PRG	Key risks identified and measures in place to address them to be appropriate.	Audit / Reviews	Report with weaknesses and recommendations	Annually	Peter
³ Mainstreaming across AusAID programs						
HIV workplace policy integrate sexual violence – external or Program	DCS	Policies (programs) have implementation budget, workplan, dedicated staff and appropriate technical assistance	Meeting Notes	Reports on Work place policies	Annually	Moiya
Design / Planning / Review / Management of program activities	DCS	Policies are consistent with HIV mainstreaming principles	Policy Guidelines	Meeting reports / SPR / Annual reports	Annually	Abraham
	DCS	Program designs and reviews taking to account the implications of HIV and AIDS and identifies measures to mitigate possible effects on the program during implementation	Design TORs / Guidelines on Assessment	Design and program review documents	Annually	Abraham
	DCS	Annual program planning (e.g. annual plans) clearly identify measures to mitigate against negative impacts on HIV and related factors	Key document templates / Reviews	SPR / QAI reports / Advisor reports / Design documents	Annually	Abraham
	DCS	A situation analysis which addresses the links between HIV and relevant sector is current.	Sector reviews	SPR / IRG / QAI / Sector reports	Annually	Abraham
	DCS	Program documents and contracts describe how they will contribute to national response to HIV according to their comparative advantages (e.g. through leadership, social research, education and prevention).	Program and Contract guidelines / Reviews	SPR / IRG / QAI / Sector reports	Annually	Abraham

³ Develop a mainstreaming strategy in 2009 for PNG – Australia HIV/AIDS program before monitoring and evaluating mainstreaming.

Implementation Plan

2009		First Quarter												Who is responsible	Completion (Yes / No)
	Activities	January				February				March					
1	NGO Partners														
1.1	NGO Monitoring Visits													Peter	
1.2	Quarterly analysis of Monitoring visits													NGO Team	
1.3	Analysis of NGO Quarterly Reports													Terry	
1.4	Analysis NGO Annual Report													Terry	
1.5	Joint Organizational Assessment													Peter	
1.6	Independent Reviews (Catholic)													Peter	
1.7	Independent Review (Anglicare StopAIDS)													Peter	
1.8															
2	Support to NACS														
2.1	NSP Annual Planning													Moiya / Abraham	
2.2	Quarterly Advisor Reports													Advisors	
2.3	Independent Review Group Report													Anne	
2.4	PAC Manual Rollout													Abraham	
2.5															
2.7															

2.8																
3	Research / Mainstreaming / Gender															
3.1	IBBS														Evelyn	
3.2																
3.3																
3.4																

Sanap Wantaim Implementation Plan

2009															
4	PNG-Australia HIV and AIDS Program	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sept	Oct	Nov	Dec	Who is responsible	Completion (Yes / No)
4.1	Quarterly team reviews / management meetings														
4.2	Quarterly reports to Executives														
4.3	Cables - update 6 monthly														
4.4	QAI annual														
4.5	SPR annual														
4.6	Annual Planning - M&E review and feedback														
4.7	Independent Monitoring Review Group														
4.8	Team building workshop														
4.9															

Key Reporting Requirements

- 1) *Reporting on the indicators* – It is a requirement that you report on each indicator you are responsible. Each indicator should have two parts to it :
 - a) Quantitative data on each indicator
 - i) An analysis of your activities on each indicator should produce a quantitative data. Please report against each indicator at the end of each monitoring period (i.e. frequency of each indicator). If for obvious reasons you are unable to provide data on an indicator, please qualify with half page on why you are unable to provide data.
 - b) Qualitative narrative on each indicator
 - i) This section should include half page narrative on each indicator. It could be a significant change story / case studies or any qualitative analysis of the indicator.
- 2) *Submission of quarterly NGO reports* – The NGO management team will work with NGOs to make sure quarterly reports are submitted end of every quarter. Analysis and aggregation of data by Advisors and Management team will be provided to NGOs during quarterly NGO partners' forum.
- 3) *Monitoring visits to NGO activity sites and reporting* – All monitoring visits will be required to provide comprehensive report against objectives. The report will indicate progress against NGO Annual activity plan.
- 4) *Joint Organisational Assessment* – Assessment of NGOs and their activities
- 5) *Independent Reviews* – Report from an Independent Review of NGO partners
- 6) *Advisors' Reports (ASF/SW)* – quarterly report (about 1-2 pages)by advisors on:
 - a) Key results / achievements for the quarter

- b) Implementation progress against workplan / Individual portfolios (TOR)
 - c) Achieving objectives??
 - d) Key issues / risks
 - e) Next steps / recommendations
- 7) *Research*
 - 8) *Gender*
 - 9) *Mainstreaming*
 - 10) *Quarterly team reviews / management meetings* – report progress against milestones.
 - 11) *Quarterly reports to Executives* – provide quarterly report to Executives (including Minister Counsellor)

Quality at Implementation Guidance: reports and ratings

The Quality at Implementation report will be completed at least once a year, typically for a quality review before the Annual Program Performance Update. In addition, updates will normally be prepared after independent reviews such as Technical Advisory Groups, Project Coordinating Committees and Mid-Term Reviews. The ratings will be “owned” by the program team, but can be contested by comments from independent reviews, OPMU, Thematic Groups, ODE and others. A new Quality at Implementation report should be prepared as needed to reflect the outcomes of such reviews, or when there is significant change which warrants a change of rating. More frequent reviews may be called for on initiatives with marginal or unsatisfactory ratings, or with significant risks. All ratings are entered by the initiative manager and approved by the line manager. The following specific guidance is provided for responses in the 16 boxes included in the attached form.

All answers should be brief, and provide key information to provide a coherent story of initiative progress, achievements and challenges.

- 1. Key Results:** This box should tell the story of the main achievements arising from the initiative to date, and especially in the past year. It should include both outputs and outcomes. Where relevant, this section should also make the link between initiative results and higher-level country or thematic strategy performance indicators. It should provide the primary source of information for summing contributions to annual country program performance updates and state of the sector reports.
- 2. Summary of Objectives (or Purpose):** Briefly (in not more than eight lines) summarize the stated objectives. For many AusAID initiatives, this information might be listed under the “Purpose” section of the initiative design or monitoring and evaluation framework. Where this is not the case, briefly explain what the initiative is supposed to achieve overall.
- 3. Ratings:** To be based on the following scale.

Definition of Rating Scale

Satisfactory (4, 5 and 6, above the line)

- 6 Very high quality : needs ongoing management and monitoring only
- 5 Good quality initiative : needs minor work to improve in some areas
- 4 Adequate quality initiative : needs some work to improve

Less than satisfactory (1, 2 and 3, below the line)

- 3 Less than adequate quality initiative : needs work to improve in core areas
- 2 Poor quality initiative : needs major work to improve
- 1 Very poor quality initiative : needs major overhaul

- 4. Implementation Progress Text:** Should primarily focus on time and money, and report on whether the specific actions needed to deliver the initiative outcomes are on schedule, relative to what was expected at design. Depending on the stage of implementation, this should take account of spending, contracting, staffing, policy decisions, meetings, and setting up of institutional arrangements necessary for implementation. If implementation plans were substantially revised after early delays, and implementation is now on track relative to a new plan, the text should note this. For designs which rely substantially on annual plans, the assessment may need to consider both the original intent and the annual detailed program.
- 5. Implementation Progress, Action to Improve:** The text should briefly identify actions needed to raise the rating to the next level. If specific actions are planned or suggested, these could be noted here.
- 6. Achievement of Objectives Text:** Explain the rating based on the objective(s) identified above, to answer the question: *Is the initiative achieving the outcomes expected at this stage?* The response should briefly explain progress towards achieving the outcomes described in the initiative design and provide evidence to support this assessment, drawing where possible on initiative performance framework & indicators. This is the most important item in the Quality Reporting System, and should be enable productive discussion between initiative teams, managers, and other stakeholders.
- 7. Achievement of Objectives, Action to Improve:** The text should briefly identify actions needed to raise the rating to the next level. If specific actions are planned or suggested, these could be noted here.
- 8. Monitoring & Evaluation Text:** Explain the rating of initiative monitoring & evaluation, based on whether the objectives are clearly defined, and whether indicators are able to be used as evidence to support the “Achieving objectives” rating. This could include discussion of whether indicators are sufficiently quantifiable, have baseline data, have current values, and capture the key achievements of the initiative.
- 9. Monitoring & Evaluation, Action to Improve:** Identify steps required to improve the rating.
- 10. Sustainability Text:** Even at early stages of implementation, this section should take note of whether arrangements and ownership are in place to ensure sustainability after completion. This could take note of sustainability issues raised at design. In more fragile states dependant on external funds, it may be useful to separately consider financial sustainability and the depth of ownership and participation by local institutions and individuals, before providing an overall rating for this category.
- 11. Sustainability, Action to Improve:** The text should briefly identify actions needed to raise the rating to the next level. If specific actions are planned or suggested, these could be noted here.

- 12. Gender, Partnerships, and Anti-Corruption:** Note specific outputs, outcomes or activities which contribute significantly to AusAID's policy commitments on gender, partnerships, anti-corruption or other cross-cutting thematic issues such as HIV AND AIDS, use of government systems or other important White Paper commitments.
- 13. Gender, Partnerships, and Anti-Corruption, Action to Improve:** The text should briefly identify actions needed to improve progress in addressing gender, partnerships anticorruption and other White Paper commitments. If specific actions are planned or suggested, these could be noted here.
- 14. Risk Management Text:** This section should identify significant risks which management might not otherwise be aware of, especially reputational risks related to environment, social, corruption or political concerns related to the initiative. It should not be used to update initiative risk matrices, unless there are current issues which need higher-level attention. It would not usually cover country-level risks, unless they have direct impacts on initiative outcomes.
- 15. Risk Management, Action to Improve:** The text should briefly identify actions planned or suggested, to mitigate the risks identified.
- 16. Current issues:** This section is for internal use, to capture any relevant information not identified above. It could highlight issues related to contract performance, partner and stakeholder issues, AusAID management and remedial actions being taken.
- 17. Rating Approved by:** Usually the immediate supervisor of the initiative Manager.

PNG-Australia HIV and AIDS Program Proposed Quality of implementation checklist (for individual activities)

Summary report of key issues and outcomes:

Key result areas	Date of Assessment	Rating	Comment / Analysis of change	Action to Improve
Implementation progress				
Achieving objectives				
Monitoring & evaluation				
Sustainability				
Gender				
Partnerships				
Risk management & anti-corruption				
Current issues				

** Partnerships have been separated out from Gender to acknowledge importance of these two categories for HIV program; anti-corruption has been joined with Risk Management.*

PNG-Australia HIV and AIDS Program Evaluation Plan

1. Evaluation overview

The NSP Monitoring and Evaluation Framework focuses on descriptive, outputs indicators tracking implementation against NSP objectives. Evaluation of the response is needed to answer broader questions, including: why goals are or are not being achieved, whether those goals are still relevant, whether the intervention represents the most cost-effective and sustainable strategy for addressing the issue.

Evaluation of the PNG-Australia HIV and AIDS Program will be conducted through two avenues:

- a) National and Government of PNG evaluation mechanisms, including
 - Independent Review Group (IRG) reports
 - Joint NACS-led evaluations (eg with ODE), and
 - IMRG and other health sector evaluations of the national response against the NSP, National Health Plan and other PNG development goals
 - National reporting against the Medium Term Development Plan, UNGASS, Millennium Development Goals, CEDAW.
- b) Program-initiated evaluations of discrete activities (e.g. Tingim Laip, NGO activities) and analysis of data collected through monitoring processes.
 - Joint participatory evaluations conducted with implementing partners
 - Discrete activity evaluations e.g. review of Tingim Laip
 - Aggregate assessment and reporting of activity information.

2. National mechanisms

In August and September 2007 and early March of 2008, the IRG conducted a review of NSP implementation and the role of donors in supporting the national response. This has been an important source of information for PNG-Australia HIV and AIDS Program to assess its contribution to the national response.

In 2007 the Office of Development Effectiveness and NACS has developed a program of impact evaluations of the national response. This was closely coordinated with the Tingim Laip review and the ADB's M&E planning and baseline monitoring for its Rural Economic Enclaves project. Initial impact evaluation activities planned include:

- Assessment studies on the impact of the national response
- Resolving the debate on drivers of the PNG epidemic
- Scaling up interventions in high risk sites and for high risk groups
- Deepening community engagement
- Rural Enclaves.

3. Program-initiated evaluations

A review of implementing partners will be conducted to assess outcomes of activities since it started, and the appropriateness of management structure and ways to scale up the activity.

The annual Sector Performance Report requirements will be a key opportunity for the Program to evaluate its annual performance. The SPR will assess performance against program outcome areas as well as the aid program's higher level development goals. It will address a range of questions pertaining to the effectiveness, efficiency, relevance, sustainability and impact of program support and management. They will include:

Program Outcome 1: Support for activities within agreed priority focus areas contributing to the achievement of the PNG National Strategic Plan.

1. What is the extent and quality of outputs delivered by the Program?
2. How is the activity contributing to the NSP and other PNG development goals?
3. What are results from the national NSP M&E Framework telling us about the effectiveness of the national response?
4. Is there evidence of behaviour/attitude change amongst partner clients?
5. What is the quality of our relationship and how might it be improved?
6. Is our intervention still appropriate for i) national response ii) organisation concerned?
7. Is our intervention effective? What changes, if any, is it causing or contributing to?
8. What are the external constraints to success?
7. Is the Program responding flexibly to emerging and new areas of concern?

Program Outcome 2: Enhanced individual, institutional and sector Papua New Guinean capacity to lead and manage a national response to HIV and AIDS.

1. Does partner believe capacity is being strengthened?
2. What is the quality of our relationship and how might it be improved?
3. Is our intervention still appropriate for i) national response ii) organisation concerned? *E.g. are we focusing sufficiently on context and external factors affecting NACS performance? E.g. sector/network level and enabling environment?*
4. Is our intervention effective? What changes, if any, is it causing or contributing to?
5. What are the external constraints to success?
6. What has been the change in capacity in targeted institutions?

Program Outcome 3: AusAID's PNG Country HIV and AIDS response managed effectively.

1. Are Program communication systems keeping stakeholders updated on Program's role and activities?
2. Is the Program responding flexibly to emerging and new areas of concern?

3. How is mainstreaming being managed across Australian Government?
4. What is the quality of our relationships?
5. Is the Program supporting agencies likely to make a significant contribution to the national response?
6. What is the extent and quality of strategies engaged with GoPNG and the development partners?

