

# THE UGANDA AIDS COMMISSION

## Leaders Accountability Framework

June 2015





# Foreword

The leaders in the Partnership Mechanism (PM) play a vital role in ensuring that efforts towards an effective HIV/AIDS response in Uganda are realized. The organization of the PM is such that leaders at various levels must have interactive meaningful relationships as they all serve to effectively and efficiently contribute to the national response.

As a concept, Leadership Accountability has often either not been clearly understood or has been taken for granted. It does not surface as an evident need until stakeholders start questioning the effectiveness of efforts such as those in the HIV/AIDS response. Uganda has over the years adopted a multi-stakeholder approach to the HIV/AIDS response but had not necessarily brought to the fore the need to track and link accountability by leaders to the success or failure of the response. With the HIV /AIDS prevalence stagnating since (year--), and the emerging questions regarding what is not being done right, leaders and their actual roles in the PM have increasingly come to be questioned and leaders put on the spot.

With the PM as the main structure delegated by the Uganda AIDS Commission (UAC) to provide advisory roles and ensure coordination of the HIV/AIDS response in the country, the PM Leaders Accountability Framework has become a felt need and inevitable requirement. This need was further confirmed when UAC undertook the review of the PM in 2012 and the findings and recommendations pointed to the need to institute a leaders framework that would guide and ensure that leaders within the PM exercise accountability in all their undertakings. This LAF has been developed and tailored to meet this need. It is a critical tool that shall enable leaders to work as one team and be individually as well as collectively responsible for their actions for a common good working towards an HIV free Uganda.

It is imperative that all leaders in the PM read and comprehend the LAF in its entirety to appreciate the concept of holding leaders accountable and the associated benefits. I urge all the leaders to utilize the LAF for the sake of improving the HIV/AIDS response and the good of all Ugandans.

I would like to acknowledge and extend sincere appreciation to all the stakeholders who individually and collectively made valuable contributions and participated in the development of this document.

For God and my Country.

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**Prof. Vinand Nantulya**

Chairman of the Commission



# Acknowledgements

I hereby extend my sincere appreciation to all the different stakeholders of the Uganda AIDS Commission (UAC) Partnership Mechanism who individually and collectively made valuable contributions and participated in developing the Partnership Mechanism’s Leaders Accountability Framework (LAF).

The LAF shall ensure that leadership accountability is exercised within the PM to effectively realize the joint contributions and attributions to the national HIV/AIDS response. The Framework serves to ensure that leaders within the PM exercise individual and collective accountability in all their undertakings.

I highly recommend that this Framework is used in tandem with the UAC’s Partnership Manual to support the achievement of the effective management, coordination and accountability of the multiple stakeholders in the Partnership Mechanism.

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**Dr. Christine J. D. Ondo**

Director General, Uganda AIDS Commission

# Approval of the Leaders Accountabilty Framework

This Leaders Accountabilty Framework was approved by the Commission of UAC on

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The Leaders Accountabilty Framework shall come into force with immediate effect and  
continue to be in force until specific revocation and/or revision by the Commission of UAC.

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**Prof. Vinand Nantulya**  
Chairman of the Commission



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# List of Acronyms

<b>AIDS</b>	Acquired Immuno Deficiency Syndrome
<b>DACS</b>	District AIDS Committees
<b>DPFM</b>	District Partnership Forum
<b>HIV</b>	Human Immunodeficiency Virus
<b>LAF</b>	Leaders Accountability Framework
<b>LM&amp;E</b>	Learning Monitoring & Evaluation
<b>MoH</b>	Ministry Of Health
<b>NSF</b>	National Strategic Framework
<b>PC</b>	Partnership Committee
<b>PFD</b>	Partnership Fund
<b>PFM</b>	Partnership Forum
<b>PM</b>	Partnership Manual
<b>RBLM&amp;E</b>	Results Based Learning Monitoring & Evaluation
<b>UAC</b>	Uganda AIDS Commission
<b>SC</b>	Steering Committee
<b>SCES</b>	Self Coordinating Entities



# About the Manual

The LAF is a reference document that is meant to guide the leaders in the PM to exercise accountability in all their undertakings. It provides information including principles and benefits accruing from leadership accountability and offers handy tools for regular reference and use in assessing individual and team progress in contributing to the national response. The framework derives its relevance from the needs and expected performance of leaders that is contained in the PM Manual. As such, all leaders under the PM need to use both the manual and the framework as two complementary hand books that will enable them exercise and realize effective leadership and contribution to the national response.



CHAPTER 1

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Introduction



## 1.1 Background

The Uganda AIDS Commission (UAC) was established in 1992 by an act of Parliament of the Republic of Uganda as the central coordinating authority for the multi-sectoral HIV/AIDS response and placed under the Office of the President. The stated mission is “To provide overall Coordination in the Prevention and Management of HIV/AIDS in Uganda”. The vision is “A model Agency for Leading Uganda’s National HIV/AIDS Response”. The Commission of UAC and the Secretariat facilitate its functionality at policy and technical levels.

The multiplicity of actors in the national AIDS response, and the need for their mobilization and coordination underpinned the rationale for the establishment and institutionalization of the Partnership Mechanism (PM). The PM was established by the UAC as a strategy of bringing together the different actors to meaningfully participate in the national HIV/AIDS response. It is a structure through which UAC performs its coordination task, by rallying all constituencies around one National Strategic Framework (NSF), one National M&E Framework and one coordinating entity in line with the global “Three Ones” principle of coordinating the multi-sectoral HIV/AIDS response. The PM has four main structures namely; the Self-Coordinating Entities (SCE); the Partnership Committee (PC); the Partnership Forum (PFm) and the Partnership Fund (PFd).

A review of the PM was conducted in 2012/2013 to comprehensively assess the HIV AIDS partnership and its structures in order to establish relevance, suitability for the response, and appropriateness for coordination and accountability. The findings of this review revealed that there was no formal mechanism or framework defining roles, responsibilities of each partner as well as their leaders, for registering commitment and holding them accountable. It was to this effect that the review recommended that a Leaders Accountability Framework (LAF) be developed to enable stakeholder hold the different leaders in the national HIV/AIDS response accountable. This framework shall enable leaders within the PM to communicate, implement, monitor and improve on commitments that they make.

The framework shall have clearly defined outputs and outcomes with core performance indicators for each of the partnership structures.

## 1.2 The Objectives of the Leaders Accountability Framework

The LAF aims to:-

- a) Provide PM leaders with accountability knowledge and skills as a holistic concept;

- b) Provide minimum accountability standards as reference points for leaders in the PM to adhere to;
- c) Provide systematic guidance on application of leadership accountability through use of tools and peer support and;
- d) Promote individual and collective responsibility as a key value for strengthening the national HIV/AIDS response.

### 1.3 Benefits of the Leaders Accountability Framework

The LAF constitutes information on categories of leaders in the PM, their expected responsibilities and standards to adhere to as individuals and collectively as teams. In effect, the institutionalization of the LAF will have the following benefits: -

- a) The tailored LAF shall promote accountability by each leader within the PM;
- b) By design, the LAF shall promote collective responsibility that warrants all leaders to engage their stakeholders in participatory decision making and action;
- c) As a pro-active guide, the LAF shall assist leaders to consciously engage in processes and practices that yield tangible results that are appreciated and shared by all actors and;
- d) The LAF shall provide a framework to ease the measurement of the contribution of the PM leaders to the national HIV/AIDS response

### 1.4 Intended Users

The LAF is intended to be used by the following leaders in the PM:-

#### 1.4.1 Uganda AIDS Commission

- a) Chairman of the Commission
- b) Commissioners
- c) Director General
- d) Heads of Directorates
- e) Heads of UAC Zonal Coordination Units

#### 1.4.2 Partnership Mechanism

- a) Chairperson of the PC
- b) Chairpersons of PC Sub-Committees
- c) The Permanent Members to the PC
- d) Head of the Steering Committee of each SCE
- e) SCE PC Representatives



### 1.4.3 Decentralized Response Leadership

- a) Chairperson-District AIDS Committee (DAC)

## 1.5 How to Use the LAF

The LAF shall be used as a self-help guide that provides leaders and stakeholders with specific information on clearly defined outputs and outcomes with core performance indicators for each of the PM structures. Leaders shall use the LAF as a checklist to guide their planning, implementation, management of individual and collective performance. The LAF shall be used in tandem with the Partnership Manual, UAC policies, standards and guidelines as well as the latest approved national HIV/AIDS policies and program guidance documents.

CHAPTER 2

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Conceptualization of  
Leadership Accountability



## 2.1 The Concept of Leadership in the Partnership Mechanism Context

Since the early 2000, there has been a paradigm shift in how leadership is understood from the traditional individual leader to focusing on collective leadership. Collective leadership occurs when people come together and mobilize human, cultural, and technological resources in ways that improve their communities for the common good. It is an inherently inclusive approach to leadership because it asks individuals to commit to directional learning, joint action, shared responsibility and mutual accountability.

A leader is defined as someone who motivates, inspires others to work towards achievement of a common goal. This leader ensures that the common vision is understood by all at all times, (s)he creates an environment that challenges others to take leaderships in their various roles, models the way and keeps the team encouraged through constant two way communication on progress, achievements, challenges. (S)he seeks for creative insights for practical solutions to emerging problems. Leaders are at all level of society and organizations. Key leaders for the HIV/AIDS response at the national level include His Excellency the President, the Honorable Prime Minister; cabinet ministers and the judiciary and many of those listed under the SCE categories.

Similarly leaders under the PM comprise of a wide range of categories as outline in Section 1.4. The diverse composition of the leadership in the PM context offers a challenge on how leadership can be defined. However the key elements of collective and team leadership offer useful insights of how leadership can be defined in this context. Thus, the operational definition of leadership in the LAF is one's ability to influence others to achieve a common goal. This ability is possible with individual leaders' possession of specific qualities such as integrity, flexibility, good communication, respect, enthusiasm, resourcefulness, interest, knowledge, being open to change, confident and consistent.

## 2.2 The Concept of Accountability in the Partnership Mechanism Context

The concept of accountability is one that is seen both as a principle and a practice. Accountability is the means through which power is used responsibly. It is a process of taking account of, and being held accountable by different stakeholders and primarily those who are affected by the exercise of power<sup>2</sup>.



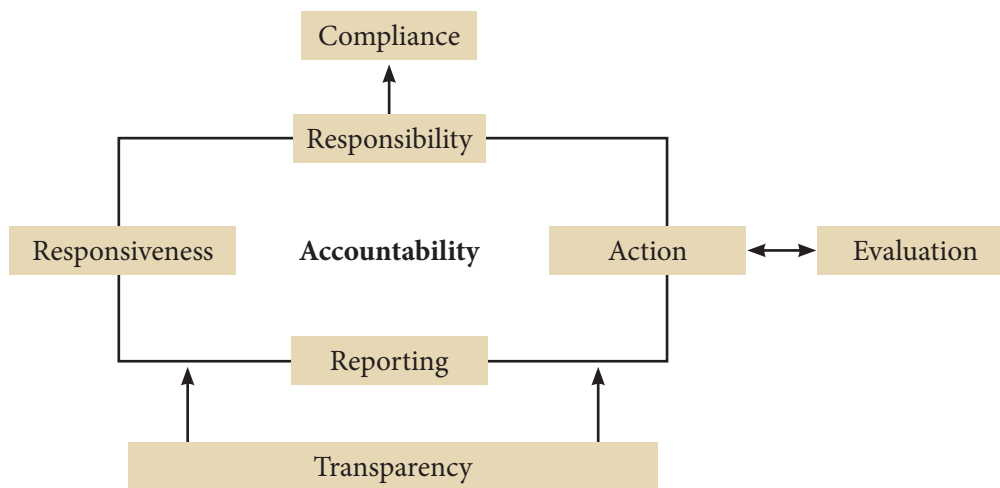
Accountability in the context of the PM shall consider the principles and values of the PM, as well as those contained in the definition of leadership in the context of the HIV/AIDS response. Thus, leadership accountability in this framework is defined as:

An obligation by each leader to continuously mobilize, inform, inspire and empower others, act, share and provide an account on progress of their expected individual and collective contribution to the common HIV/AIDS response goal.

### 2.3 The Accountability Cycle in the Partnership Mechanism Context

Figure 1 below shows the elements of an effective accountability cycle that the PM shall emulate using the LAF.

Figure 1: Elements of an Effective Accountability Cycle<sup>3</sup>



The key features of the various elements of the cycle of accountability are provided below:

- a) **Compliance**
- There needs to be clarity and understanding of standards by the leaders of the PM;
  - Adherence to agreed standards is central to accountability relationships within the PM and;
  - Rewards and/or sanctions are prerequisites of promoting the legitimacy of accountability.



**b) Responsibility**

- There needs to be clarity of roles and responsibilities that shall indicate who is responsible to whom, and for what;
- Appropriate action must be taken if responsibilities are not fulfilled;
- Memoranda of Understanding or joint protocols can be used between the different stakeholders within the PM. However over-bureaucratization should be avoided and;
- The institutionalization of accountability standards can only be equitably achieved if there is true participation in the national HIV/AIDS response by all stakeholders and a genuine partnership between them.

**c) Action and Evaluation**

- Accountability needs to be systematically embedded in the governance and management of the PM;
- Any policy, commitment or code of conduct is only as good as the ability and willingness of the stakeholders to put it into practice;
- Impact should be measured as objectively as possible;
- The function of evaluation shall be used to enhance both accountability and learning and;
- Financial accountability is important but should not overshadow accounting for outcomes.

**d) Reporting**

- There is great importance attached to the responsibility to provide an account of one's actions which shall be evidence based and;
- There is need to develop a two-way communication system based on the needs and circumstances of specific situations. This system shall lead to greater transparency and commitment by all stakeholders

**e) Responsiveness**

- Responsiveness concerns the leaders readiness to take responsibility for their acts and omissions including the processes and results of decisions made;
- Leaders need to be both transparent and open to change, but also members of their constituencies must be interested and empowered to respond;
- There needs to be concerted effort to seek and hear the views, particularly those of the identified primary stakeholders. This highlights the need for greater participation by primary stakeholders in all forums relating to the planning, implementation and evaluation of the PM and;
- Feedback on responses enacted is very important.

**f) Transparency**

- Transparency concerns the openness and accessibility through which leaders account to the different stakeholders within the PM;
- Transparency depends on what information is sought, by whom, and for what purpose and;
- It is important to note that transparency does not lead automatically to accountability; it serves as a tool to open leaders up to wider scrutiny.

CHAPTER 3

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Institutionalizing  
Leaders Accountability



### 3.1 Guiding Principles of Institutionalizing Leadership Accountability

All leaders shall take on leadership responsibility with the value of servitude at the back of their mind. They shall therefore commit time to mobilize action and account for results on behalf of their stakeholders.

Each PM leader must seek to create greater accountability from three fronts namely:-

- a) Embracing their own accountability for achieving the expected results.
- b) Promoting a culture that helps to accelerate the change in the desired direction to produce the results needed to improve the effectiveness of the PM.
- c) Holding others accountable for results in a positive, principled way so that they effectively deliver on expectations

Leaders shall adhere to the principles contained in the National HIV & AIDS Strategic Plan, and shall at all times reflect them in their PM leadership accountability roles. The principles include:-

- a) Accountability as well as personal and collective responsibility;
- b) Advancement of best practice;
- c) Greater Involvement of People Living with HIV;
- d) Protecting Human Rights;
- e) Evidence-based planning and implementation;
- f) Adherence to the “Three Ones”;
- g) Effective mutual integration and mainstreaming of HIV/AIDS, and;
- h) Beneficiary involvement and accountability for results.

### 3.2 Systems and Processes for Institutionalizing Leadership Accountability

Institutionalization refers to the process which integrates fundamental values and objectives into the PM’s culture and structure. The process entails translating policies and strategic plans into the day to day activities of the different PM structures<sup>4</sup> Figure 2<sup>5</sup> illustrates the institutionalization model which depicts the essential elements necessary to support and ensure sustainable implementation of leadership accountability in the PM.

Figure 2: The Leadership Accountability Institutionalization Model



The model has three pertinent building blocks that shall require strengthening in order for UAC to effectively and efficiently institutionalize and sustain leadership accountability. These building blocks include an internal enabling environment, organizing for accountability and support functions.

### 3.2.1 Internal Enabling Environment

Holding PM leaders continuously accountable over time requires a facilitating and enabling environment with the PM, which is conducive to initiating, expanding and sustaining leadership accountability. The four essential elements that make up such an environment include: policy, leadership, core values and resources.



Sustaining effective accountability by the PM leaders requires the UAC policy environment to explicitly recognize the benefits that accrue towards the achievement of the national HIV/AIDS response. UAC shall provide support, guidance, and reinforcement for the implementation of all policies and guidelines that impact the effectiveness and efficiency of the PM. All individuals who take on leadership within the PM shall be required to commit to the leadership accountability principles and guidelines in the LAF as well as account to the various stakeholders as required. This commitment shall be expressed in writing through acceptance of their appointment. Copies of such letters shall be filed by the UAC Secretariat under the Directorate of Partnerships.

In addition, it is important for UAC to create a learning environment where the desired core values as related to leadership accountability are promoted. The creation and acculturation of these core values throughout the PM structures are critical to ensuring that all stakeholders see their contributions and attributions to the national HIV/AIDS response as important and desire to be part of these efforts.

Finally, leadership accountability cannot be sustained if there are not adequate resources allocated for it, particularly time to be involved in leadership accountability efforts as well as resources for capacity building, communication, and other key support functions. Each of these four essential elements (policy, leadership, core values and resources) is important in its own right, but the full effect depends on the synergy created amongst them.

### 3.2.2 Organizing for Accountability

Organizing for accountability refers to the delineation of responsibilities for oversight, coordination, and implementation of leadership accountability. In addition to the essential elements that comprise the enabling environment, sustaining leadership accountability requires the PM structures to have robust operations and governance systems that compliment and reinforce each other.

For instance, at the national level, the PM shall conduct coordination and planning as well as monitoring and evaluation activities as outlined in UAC's integrated annual work plans. This shall ensure that HIV/AIDS programming in Uganda is harmonized, streamlined and effectively coordinated in support of the GoU's National Strategic Plan, National Priority Action Plan, and other national plans and policies. All leaders shall be required to ensure that members of their respective constituents meaningfully participate in the mentioned activities.

Leaders in the HIV/AIDS decentralized response shall engage in coordination and planning as well as monitoring and evaluation processes with the full participation

of stakeholders. The District Forum (DFm) shall inform the priorities that will be used to develop district HIV/AIDS annual plans. This will be done under the stewardship of the DAC chairperson supported by the DAC and the UAC zonal coordination team members. In keeping with the Decentralization Act, these plans shall be shared with the District Technical Planning Committee to ensure the plans are fully integrated into the District Development Plans.

The different stakeholders of the DAC supported by staff from the zonal coordination units shall meet quarterly to review the past quarter's activities and agree on the next quarter's activities. Activities which are not implemented in the past quarter should be given priority in the new quarter.

### 3.2.3 Support Functions

The four essential elements the PM needs to support sustained implementation of LAF are detailed below.

**Performance management** under the PM shall be guided by a well-defined process and tools to be applied in a proactive and informative way by all leaders. The PC shall spearhead process on an ongoing basis.

**Capacity building** interventions shall aim at ensuring the PM leaders have the necessary technical, managerial, and leadership knowledge and skills to carry out their mandated roles and responsibilities. These shall be done through a variety of methodologies such as formal training, coaching and mentoring, self and peer appraisals, performance improvement, and supportive supervision activities.

**Communication and information** sharing reinforces the notion that leadership accountability is everyone's business. All leaders shall be required to communicate to their constituents regularly on final decisions and results /outcomes reached on in all meetings and other experience sharing fora. The PM structures shall utilize high level consultation and consensus building to arrive at decisions affecting their respective structures. All decision making processes shall be informed by the principles mentioned in 3.1 above. The self and team assessment mechanisms shall provide guidance to leaders on the key considerations to make while engaging in decision making processes. To avoid conflict of interest in decision making processes, the PM leaders shall refer to **Section 6.1** in the PM Manual. All leaders are required to document and share successes and lessons learned even when things do not go as well as planned.

**Rewarding effective accountability** fosters a commitment by leaders to be accountable and motivates them to strive for excellence. Providing individual and constituency recognition or rewards reinforces interest in leadership accountability and facilitates



alignment of stakeholders with the PM principles. This therefore requires the PM to regularly identify and remove disincentives or barriers that hinder leaders to be proactively accountable. In addition the PM shall develop a guiding framework to recognize and reward behaviors, efforts, and achievements that promote leaders to be individually and collectively accountable.



CHAPTER 4

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Monitoring, Evaluating and Learning



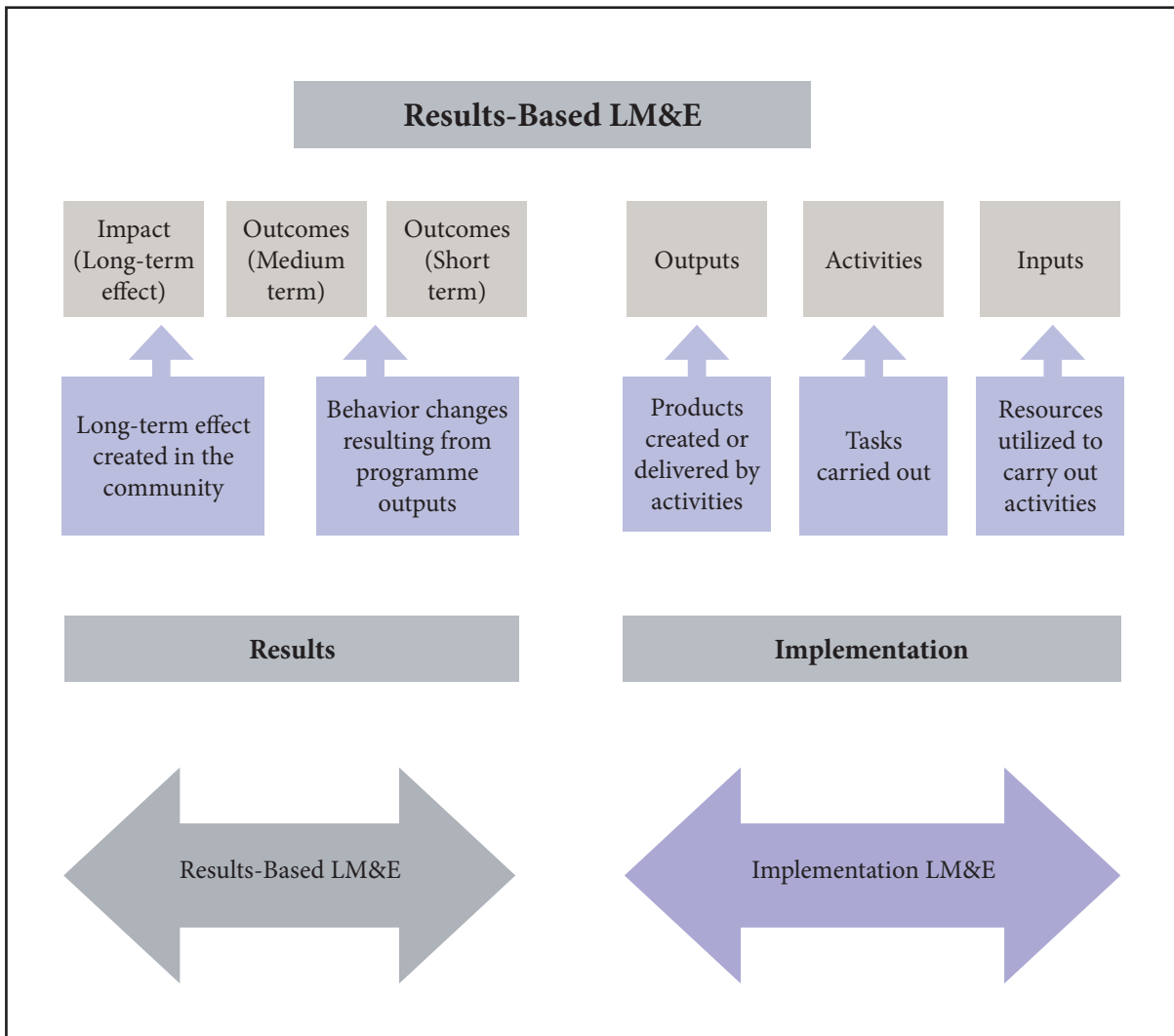
## 4.0 Introduction

The growing recognition and importance of monitoring, evaluating and learning (LM&E) in ensuring effective development and implementation of policies and programs warrants an M&E framework to guide the tracking and effectively measuring of PM leaders' performance. The M&E framework will additionally stipulate indicators that will be followed in monitoring processes, outputs, outcomes and impact created by the PM. This section therefore details the different LM&E approaches that shall be utilized by the PM leaders and their stakeholders in ensuring they are accountable for achieving the expected results of their stipulated mandates.

### 4.1 The LM&E Approaches

The implementation of the LAF will be monitored and evaluated using the Results-Based Learning Monitoring and Evaluation (RBLM&E) framework. The RBLM&E framework outlines in detail how and when the performance of the PM leaders will be monitored and evaluated. It further details the key performance indicators, approaches and tools that will be used to collect data for measuring success across the different PM structures. The RBME framework will support continuous tracking and reporting on the outputs in a proactive manner through the collection and analysis of information to compare the implementation of the LAF against the expected results. As opposed to processes which are the major focus of traditional M&E approaches, this RBLM&E framework focuses more on results and outputs as illustrated in Figure 3.

Figure 3: LM&E Results Chain Logic Model



Monitoring of the different PM structures shall be done through the periodic meetings as appropriate for purposes of ensuring routine PM activities are going on as scheduled. As stipulated in the Partnership Manual, the meetings shall be planned to ensure that LM&E is high on the agenda. Each PM structure shall be required to develop a clear periodic meeting schedule that should be included in the UAC integrated work plan to avoid overlaps and duplication of effort. These meetings shall be the major platform for monitoring, sharing and learning the progress of the different PM activities being implemented.



In addition to the periodic meetings, each PM structure shall conduct detailed bi-annual performance reviews that compare achieved outputs against planned outputs in the last 6 months. These progress review meetings shall include analyzing lessons learnt, best practices and challenges. The process shall also include making recommendations to address identified emerging issues and trends.

## 4.2 The LAF Performance Measures

The performance of the different PM structures shall be measured using *Annexes I – VII* as follows:

- a) On a biennial basis, the PFm shall evaluate the implementation of the NSF as guided by their mandate in the Partnership Manual;
- b) The Commission of UAC shall evaluate the performance of the PC on annual basis;
- c) The PC shall evaluate the performance of the SCEs annually;
- d) Each lower level structure will evaluate the level of support obtained from the higher level structure (supervising authority) and;
- e) The PC, SCEs and the PFm shall evaluate the supportive role provided by the PFd.

In addition to PM structure specific performance measurement, all leaders shall be measured against the achievement of the following results: -

- a) Increased adoption and practice of minimum accountability standards for the PM leaders and;
- b) Correct and consistent use of the LAF procedures and tools individually and collectively.

### 4.2.1 Performance Measures for the PFm

The PFm shall convene once every two (2) years and shall have its performance measured using the following indicator: -

- a) Number of reviews held for the implementation of the NSF against agreed work plan and indicators;
- b) Number of National Priority Action Plans approved within the stipulated time frame to respond to emerging policy and programme issues;
- c) An approved resource mobilization plan in place to fund the NSF activities;
- d) Periodic action plans developed on the NSF HIV/AIDS budget expenditures as per the financial reports;
- e) A forum for holding leaders in the national HIV/AIDS response accountable is functional and;
- f) Performance based recognition and reward plan developed and implemented for outstanding individuals, groups and organizations in Uganda.

#### 4.2.2 Performance Measures for the PC

The performance of the PC shall be measured using the following indicators: -

- a) An approved operational plan for the periodic review, implementation and monitoring of the NSF for HIV/AIDS response in place;
- b) Number of HIV/AIDS sectoral and thematic policy harmonization meetings supported;
- c) Annual action plans and indicators reviewed and updated to include priority areas;
- d) Resource mobilization strategies for the implementation of the NSF developed;
- e) Number of constituencies and actors whose budgets and financial reports were reviewed and given feedback;
- f) Number of Joint AIDS Review meetings organized with documented support from the Partnership Committee;
- g) Number of periodic performance assessments held with the PFd;
- h) Number of approved periodic budgets and activities of the PFd and;
- i) Performance based recognition and reward plan developed and implemented for outstanding individuals, groups and organizations in the PM.

#### 4.2.3 Performance Measures for the SCE

Each SCE performance shall be measured using the following performance results:

- a) Number of coordination meetings conducted and minuted;
- b) Number of PC decisions implemented;
- c) Number of agenda items included in PC meetings;
- d) Number of advocacy and networking interventions conducted;
- e) Number of national policies, bills and programmes influenced by strategic information from the constituency and the general public;
- f) A functional system in place to enable strategic and programmatic information exchange between the leaders and their members;
- g) Number of approved operational plans and funding proposal and;
- h) Number of performance based recognition rewards received.

#### 4.2.4 Performance Measures for the PFd

The performance of the PFd shall be measured using the following indicators: -

- a) Number of approved PM structures plans and budgets funded on a timely basis;
- b) Number of interventions in the UAC's external technical assistance plan funded on a timely basis;
- c) Number of national task force activities, reviews and consultations funded
- d) Number of key national and international HIV&AIDS advocacy and related campaigns/initiatives among the PM structures funded and;
- e) Number of functional UAC zonal coordination and other decentralized structures funded.



#### 4.2.5 The National Composite Policy Index

In line the National Performance and Management Plan of the NSP, the national composite policy index which shall be measured by UAC on a biennial basis, will assess the national commitment and action as well as policy development and implementation status. The aforementioned LAF performance measures are intended to contribute to the achievement national composite policy index which aims at effectively coordinating and managing the response at various levels.

### 4.3 The Performance Measurement Plan for the Leaders Accountability Framework

The performance measurement plan below guides the data collection and analysis on key performance indicators of each of the PM structures.

Performance Measurement Indicators	Baselines	Annual Targets	Source of data [MoV]	Frequency of data collection	Responsibility
<b>Cross Cutting Performance Measures</b>					
Increased adoption and practice of minimum accountability standards for the PM leaders	NA	>90% of PM leaders	- Evaluations of each PM structure - 360 degree evaluations	Annually	- Chairpersons of all PM structures - UAC Board
Correct and consistent use of LAF procedures and tools individually and collectively.	NA	100% of PM leaders	- PM leaders self-evaluations - 360 degree evaluations	Annually	- Chairpersons of all PM structures - UAC Board
<b>Partnership Forum</b>					
Number of reviews held for the implementation of the NSF against agreed work plan and indicators	TBD	2	Meeting minutes	Semi annually	UAC Directorate Planning and Strategic Information
Number of National Action Priority Plans (NPAP) approved within the stipulated time frame to respond to emerging policy and programme issues	1	1	Signed NPAP	Annually	UAC Directorate Planning and Strategic Information

Performance Measurement Indicators	Baselines	Annual Targets	Source of data [MoV]	Frequency of data collection	Responsibility
An approved resource mobilization plan in place to fund the NSF activities.	TBD	1	Resource mobilization strategy documents	Annually	UAC Board
Periodic action plans developed on the NSF budget expenditures guided by the financial reports	TBD	2	Approved action plans	Semi annually	UAC Directorate Finance and Administration
A forum for holding leaders in the national HIV/AIDS response accountable is functional	1	1	Forum meeting documents	Biennial	UAC Director General
Performance based recognition and reward plan developed and implemented for outstanding individuals, groups and organizations in Uganda	1	1	- Approved recognition and award plan - Awards	Biennial	- Chairman of the Commission - UAC Director General
<b>Partnership Committee</b>					
An approved operational plan for the periodic review, implementation and monitoring of the NSF for HIV/AIDS response in place.	1	1	Approved operational plan	Annually	- PC Chairperson - Chairperson HIV/AIDS Prevention sub-committee - UAC Director General - UAC Directorate Partnerships
Number of HIV/AIDS sectoral and thematic policy harmonization meetings supported	TBD	2	Policy development/ review meeting minutes	Semi-annually	- PC Chairperson - Chairperson HIV/AIDS Prevention sub-committee - UAC Director General



Performance Measurement Indicators	Baselines	Annual Targets	Source of data [MoV]	Frequency of data collection	Responsibility
Integrated annual action plans and indicators reviewed and updated to include priority areas	TBD	1	Approved annual action plan and indicators document	Annually	- PC Chairperson - Chairperson HIV/AIDS Prevention sub-committee
Resource mobilization strategies for the implementation of the NSF developed	TBD	1	NSF implementation resource mobilization strategy document	Annually	- PC Chairperson - Chairperson Resource management sub-committee
Number of constituencies and actors whose budgets and financial reports were reviewed and given feedback	12	10	Budget review meeting minutes and or reports	Annually	- PC Chairperson - Chairperson Resource management sub-committee
Number of Joint AIDS Review meetings organized with documented support from the Partnership Committee	TBD	3	JAR preparation meeting	Quarterly	- PC Chairperson - Chairpersons all PC sub-committees - UAC Directorate Planning and Strategic Information
Number of periodic performance assessments held with the PFd;	TBD	4	Performance review meeting minutes and or progress reports	Quarterly	- PC Chairperson - Chairperson Resource management sub-committee - UAC Directorate Finance and Administration - Management Agent rep
Number of approved periodic budgets and activities of the PFd	TBD	4	Budget review meeting minutes	Quarterly	- PC Chairperson - Chairperson Resource management sub-committee - UAC Directorate Finance and Administration - Management Agent rep



Performance Measurement Indicators	Baselines	Annual Targets	Source of data [MoV]	Frequency of data collection	Responsibility
Performance based recognition and reward plan developed and implemented for outstanding individuals, groups and organizations in the PM	TBD	1	<ul style="list-style-type: none"> <li>- Approved recognition and award plan</li> <li>- Awards</li> </ul>	Annually	<ul style="list-style-type: none"> <li>- UAC Board</li> <li>- PC Chairperson</li> <li>- Chairpersons of all PC subcommittees</li> <li>- UAC Director General</li> </ul>
<b>Self-Coordinating Entity</b>					
Number of coordination meetings conducted and minuted	TBD	4	<ul style="list-style-type: none"> <li>- SCE coordination meeting minutes and reports</li> </ul>	Quarterly	<ul style="list-style-type: none"> <li>- SCE Steering Committee Chairperson</li> <li>- SCE Secretariat</li> </ul>
Number of PC decisions implemented	TBD-	>75% of PC decisions	<ul style="list-style-type: none"> <li>- PC decision log</li> <li>- SCE meeting minutes</li> <li>- SCE Progress reports</li> </ul>	Quarterly	<ul style="list-style-type: none"> <li>- SCE Steering Committee Chairperson</li> <li>- SCE PC representative</li> <li>- SCE Secretariat</li> </ul>
Number of agenda items included in PC meetings	TBD	>25% of PC meeting agenda	<ul style="list-style-type: none"> <li>- PC agenda</li> <li>- PC meeting minutes</li> <li>- SCE meeting minutes</li> </ul>	Quarterly	<ul style="list-style-type: none"> <li>- SCE Steering Committee Chairperson</li> <li>- SCE PC representative</li> <li>- SCE Secretariat</li> </ul>
Number of advocacy and networking interventions conducted	TBD	4 (1 national and 3 lower level)	Meeting minutes (National and lower level)	Quarterly	<ul style="list-style-type: none"> <li>- SCE Steering Committee Chairperson</li> <li>- SCE Secretariat</li> </ul>
Number of into national policies, bills and programmes influence by strategic information from the constituency and the general public	TBD	1 (policy or bill or programme)	<ul style="list-style-type: none"> <li>- SCE progress reports</li> <li>- SCE quality assurance reports</li> </ul>	Quarterly	<ul style="list-style-type: none"> <li>- SCE Steering Committee Chairperson</li> <li>- SCE Secretariat</li> </ul>
A functional system in place to enable strategic and programmatic information exchange between leaders and their members	TBD	1	<ul style="list-style-type: none"> <li>- Functional system</li> <li>- SCE progress &amp; quality assurance reports</li> </ul>	Quarterly	<ul style="list-style-type: none"> <li>- SCE Steering Committee Chairperson</li> <li>- SCE Secretariat</li> </ul>



Performance Measurement Indicators	Baselines	Annual Targets	Source of data [MoV]	Frequency of data collection	Responsibility
Number of approved operational plans and funding proposals	TBD	- 1 operational plan - 1 funding proposal	- Approved operational plan - Approved proposal	Annually	- SCE Steering Committee Chairperson - SCE Secretariat - SCE PC representative
Number of performance based recognition rewards received	TBD-	1	Award	Annually	- SCE Steering Committee Chairperson
<b>Partnership Fund</b>					
Number (%) of approved PM structures plans and budgets funded on a timely basis	TBD	100%	- Funds transfer records - Financial reports	Quarterly	- PC Resource Management Sub-committee Chairperson - UAC Directorate Finance and Administration - Management Agent
Number (percentage) of interventions in the UAC external technical assistance plan funded on a timely basis	TBD	>90%	- Funds transfer records - Financial reports - UAC progress reports	Quarterly	- PC Resource Management Sub-committee Chairperson - UAC Director General - Management Agent
Number (percentage) of national task force activities, reviews and consultations funded	TBD	>90%	- Funds transfer records - Financial reports - UAC progress reports	Quarterly	- PC Resource Management Sub-committee Chairperson - UAC Director General - Management Agent
Number (percentage) of key national and international HIV&AIDS advocacy and related campaigns/initiatives among the PM structures funded	TBD	>90%	- Funds transfer records - Financial reports - UAC progress reports - PM structures progress reports	Quarterly	- PC Resource Management Sub-committee Chairperson - UAC Director General - SCE SC Chairpersons - Management Agent
Number (percentage) of UAC zonal coordination and other decentralized structures funded	TBD	100%	- Funds transfer records - Financial reports - UAC zonal coordination offices progress reports	Quarterly	- UAC Director Partnerships - Management Agent

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Annexes



# ANNEX I:

## PARTNERSHIP FORUM TEAM SELF PERFORMANCE ASSESSMENT SCORECARD

Date ..... / ..... / ..... Period of Assessment (Bi-annual) .....

Number	Performance Assessment Minimum Standards	Scoreboard			If 0 or NA, briefly explain/comment on the challenges faced in realizing the result.
		1 = Yes	0 = No	NA	
1	PFm team convened at least once in two years				
2	PFm team made recommendations for improving the implementation of the NSF				
3	PFm team identified and took action on emerging policy and programme issues and agreed on national priority areas				
4	PFm team agreed on resource mobilization plan and confirmed existing or new resources for implementation of the NSF activities				
5	PFm team reviewed and made recommendations on financial reports on expenditure on budget resources for HIV/AIDS				
6	PFm team set up an active forum for holding leaders in the national HIV/AIDS response accountable				
7	PFm team set up a platform and rewarded implementing partners with outstanding achievements in HIV/AIDS work in Uganda				
8	PFm team actively coordinated Regional Partnership Forums meetings in the UAC designated zones				

<b>Total Score</b>					
<b>% score realized [Actual score (x) /total expected score (8)] *100</b>					
<b>The team should develop a clear Performance Improvement Plan for under achieved performance minimum standards</b>					
<b>Standard</b>	<b>Plan of action</b>	<b>Responsibility</b>			<b>Timeline</b>
<b>What key lessons did you learn during this performance assessment period?</b>					
<b>Feedback assessment on the Partnership Fund support role to the PFM</b>					
<b>Number</b>	<b>Performance assessment minimum standards</b>	<b>1 = Yes</b>	<b>0 = No</b>	<b>NA</b>	<b>If 0 or NA, briefly explain/comment on the challenges faced in realizing the result</b>
1	Met all your coordination operating costs				
2	Funded all your technical assistance requests submitted				
3	Funded your task force activities, reviews and consultations as per identified and agreed upon needs related to evaluating the national response				
<b>Total</b>					
<b>Total % Score (Actual Score xxx/3)*100</b>					
<b>Attach attendance list of PFM members involved in the assessment and required quorum should not be less than 65%</b>					



# ANNEX II:

## PARTNERSHIP COMMITTEE TEAM SELF PERFORMANCE ASSESSMENT SCORECARD

Date ..... / ..... / ..... Period of Assessment (Bi-annual) .....

Number	Performance Assessment Minimum Standards	Scoreboard			If 0 or NA, briefly explain/comment on the challenges faced in realizing the result.
		1 = Yes	0 = No	NA	
1	Set the agenda for updating, implementing and monitoring the national strategic framework for the HIV/AIDS response				
2	Facilitated the harmonization of the HIV/AIDS sectoral and thematic policies				
3	Reviewed annual action plans and indicators to ensure national priority areas are adequately addressed				
4	Developed resource mobilization strategies for implementation of NSF				
5	Reviewed budgets and financial reports from various constituencies and actors				
6	Supported the Directorate Planning and Strategic Information to prepare and organize the JAR				
7	Monitored and evaluated the outputs of the PFd				
8	Discussed and approved the budgets and activities of the PFd				

9	Identified and rewarded outstanding achievements in HIV/AIDS work in Uganda for special recognition				
10	Monitored, evaluated and shared reports on the operational effectiveness and accountability of the Directorate for Partnerships				
<b>Total Score</b>					
<b>% score realized [Actual score (x) /total expected score (8)] *100</b>					
<b>The team should develop a clear Performance Improvement Plan for under achieved performance standards</b>					
<b>Standard</b>	<b>Plan of action</b>	<b>Responsibility</b>		<b>Timeline</b>	
<b>What key lessons did you learn during this performance assessment period?</b>					
<b>Feedback assessment on the Partnership Fund support role to the Pfm</b>					
<b>Number</b>	<b>Performance assessment minimum standards</b>	<b>1 = Yes</b>	<b>0 = No</b>	<b>NA</b>	<b>If 0 or NA, briefly explain/comment on the challenges faced in realizing the result</b>
1	Met all your coordination operating costs				
2	Funded your task force activities, reviews and consultations as per identified and agreed upon needs related to evaluating the national response				
<b>Total</b>					
<b>Total % Score (Actual Score xxx/2)*100</b>					
<b>Attach attendance list of PC members involved in the assessment and required quorum should not be less than 65%</b>					



# ANNEX III:

## SELF COORDINATING ENTITY TEAM SELF PERFORMANCE ASSESSMENT SCORECARD

Date ..... / ..... / ..... Period of Assessment (Bi-annual) .....

Number	Performance Assessment Minimum Standards	Scoreboard			If 0 or NA, briefly explain/comment on the challenges faced in realizing the result.
		1 = Yes	0 = No	NA	
1	Coordinated input and followed up on issues raised in the PC meetings with SCE membership				
2	Made recommendations for inclusion in the PC meeting agenda				
3	Mobilized constituents to benefit from AIDS response resources available at national and lower levels				
4	Generated and collected strategic information from the constituency and general public for input into national policies, bills and programmes				
5	Set up a functional system for the efficient exchange of strategic and programmatic information between SCE secretariat and members;				
6	Supported the development of SCE operational plans and funding proposals				
7	Supported the mainstreaming of HIV/AIDS within SCE member organizations and relevant sectors				
8	Documented and disseminated the results attributable to implementation of the NSP/NPAP by the SCE				



9	Advocated for the effective mobilization, efficient utilization and proper accountability of resources for coordination activities of the SCE and implementation of HIV/AIDS programs by the SCE				
10	Adhered to accountability standards as stipulated in the LAF				
<b>Total Score</b>					
<b>% score realized [Actual score (x) /total expected score (8)] *100</b>					
<b>The team should develop a clear Performance Improvement Plan for under achieved performance standards</b>					
<b>Standard</b>	<b>Plan of action</b>	<b>Responsibility</b>		<b>Timeline</b>	
<b>What key lessons did you learn during this performance assessment period?</b>					
<b>Feedback assessment on the Partnership Fund support role to the Pfm</b>					
<b>Number</b>	<b>Performance assessment minimum standards</b>	<b>1 = Yes</b>	<b>0 = No</b>	<b>NA</b>	<b>If 0 or NA, briefly explain/comment on the challenges faced in realizing the result</b>
1	Met all your coordination operating costs				
2	Funded your task force activities, reviews and consultations as per identified and agreed upon needs related to evaluating the national response				
<b>Total</b>					
<b>Total % Score ( Actual Score xxx/1)*100</b>					
<b>Attach attendance list of SCE Steering Committee members involved in the assessment and required quorum should not be less than 65%</b>					



# ANNEX IV:

## PARTNERSHIP FUND TEAM SELF PERFORMANCE ASSESSMENT SCORECARD

Date ..... / ..... / ..... Period of Assessment (Bi-annual) .....

Number	Performance Assessment Minimum Standards	Scoreboard (1 = Yes, 0 = No, NA = Not Applicable)												If 0 or NA, briefly explain/comment on the challenges faced in realizing the result.
		PC			PFm			SCEs			Other Actors <small>(Please specify &amp; add extra columns for each actor)</small>			
		1	0	NA	1	0	NA	1	0	NA	1	0	NA	
1	Met all coordination operating costs of the PM structures													
2	Funded all technical assistance request submissions made by relevant PM structures													
3	Funded task force activities, reviews and consultations as per identified needs related to evaluating the national response													
4	Funded PM national & international advocacy initiatives such as the International World AIDS campaign													

5	Funded UAC zonal coordination offices other decentralized coordination structures to increase their functionality													
	<b>Total Score</b>													
	<b>% score realized [Actual total score (x) /total expected score (xx)]* 100</b>													
	<b>The PFd team should develop a clear Performance Improvement Plan for under achieved performance standards</b>													
<b>Standard</b>	<b>Plan of action</b>	<b>Responsibility</b>										<b>Timeline</b>		
<b>What key lessons did you learn during this performance assessment period?</b>														
<b>Attach attendance list of PFd members involved in the assessment required quorum should not be less than 65%</b>														



# ANNEX V:

## 360 DEGREE ASSESSMENT SCORE CARD FOR PM STRUCTURES' LEADERS

Date ..... / ..... / ..... Name of PM structure .....

Title and Name of leader being assessed .....

Number	Leaders' performance assessment areas	<i>Objectively rate the leaders' performance on a scale of 1-10 (where 1 - poorest performance &amp; 10 excellent performance) – circle as appropriate</i>									
		1	2	3	4	5	6	7	8	9	10
1	My leader engages in strategic thinking & objective decision making										
2	My leader exhibits accountability and transparency including being open minded and effectively reporting to the team										
3	My leader is trustworthy										
4	My leader engages in consultative meetings with the team										
5	My leader implements agreed upon team plans at all times										
6	My leader offers necessary strategic solutions when obstacles arise										
7	My leader is open to feedback including constructive feedback										
8	My leader is open to sharing new ideas and learning from the team										

9	My leader demonstrates necessary leadership experience including drawing lessons from past management experience	1	2	3	4	5	6	7	8	9	10
10	My leader provides vision to the team; always anticipating the right direction for the team to take	1	2	3	4	5	6	7	8	9	10
11	My leader demonstrates shared responsibility and ownership of team successes and failures	1	2	3	4	5	6	7	8	9	10
12	My leader demonstrates strong advocacy and networking abilities required for leading this team	1	2	3	4	5	6	7	8	9	10
13	My leader maintains focus on ensuring the team performs well	1	2	3	4	5	6	7	8	9	10
14	My leader is a team player; relates well with the team	1	2	3	4	5	6	7	8	9	10
<b>% Score (Total score/140*100)</b>											
<b>Total Score</b>											
<b>Identify one good thing your leader must keep doing</b>				<b>Identify one work behavior your leader should stop doing</b>							



# ANNEX VI:

## PARTNERSHIP COMMITTEE PERFORMANCE ASSESSMENT SCORECARD BY THE UAC BOARD OF COMMISSION

Date ..... / ..... / ..... Period of Assessment (Annual) .....

Number	Performance Assessment Minimum Standards	Scoreboard			If 0 or NA, briefly explain/comment on the challenges faced in realizing the result.
		1 = Yes	0 = No	NA	
1	PC set the agenda for updating, implementing and monitoring the national strategic framework for the HIV/AIDS response				
2	PC facilitated the harmonization of the HIV/AIDS sectoral and thematic policies				
3	PC reviewed annual action plans and indicators to ensure national priority areas are adequately addressed				
4	PC developed resource mobilization strategies for implementation of NSF				
5	PC reviewed budgets and financial reports from various constituencies and actors				
6	PC supported the Directorate Planning and Strategic Information to prepare and organize the JAR				
7	PC monitored and evaluated the outputs of the PFd				
8	PC discussed and approved the budgets and activities of the PFd				
9	PC identified and rewarded outstanding achievers in HIV/AIDS work in Uganda for special recognition				

10	PC monitored, evaluated and shared reports on the operational effectiveness and accountability of the Directorate for Partnerships				
<b>Total Score</b>					
% score realized [Actual score (x) /total expected score (10)]					
<b>Commission of UAC's overall comment on the performance of the PC – Also compare with previous performance (Acceptable performance is =75%+, unacceptable/poor is &lt;75%, Excellent is =80%+ and should be rewarded)</b>					
<b>What key lessons did the Commission of UAC learn during this performance assessment period?</b>					
<b>Commission of UAC jointly with the PC develop a Performance Improvement Plan for under achieved performance standards</b>					
<b>Standard</b>	<b>Commission of UAC recommendations for future improvement (agreed upon with the PC)</b>	<b>Responsibility</b>	<b>Timeline</b>		
<b>What key activities and deliverables is the PC planning to accomplish by the next performance assessment period? (As reflected from the PC's approved annual work plan)</b>					
<b>Required support by the PC from the Commission of UAC in achieving results for the coming performance period</b>					
<b>Commission of UAC comment on PC progress against previously agreed on recommendations during most recent performance appraisal (satisfactory or not and explain in either cases)</b>					
<b>Attach attendance list of Commission of UAC and PC members engaged in the assessment and required quorum should not be less than 65%</b>					



# ANNEX VII:

## SCE PERFORMANCE ASSESSMENT SCORECARD BY THE PC

Date ..... / ..... / ..... Period of Assessment (Annual) .....

Name of SCE being assessed .....

Number	Performance Assessment Minimum Standards	Scoreboard			If 0 or NA, briefly explain/comment on the challenges faced in realizing the result.
		1 = Yes	0 = No	NA	
1	SCE conducted coordination meetings and shared minutes with the PC and UAC Directorate of Partnerships				
2	SCE effectively contributed to PC meeting agenda				
3	SCE implemented all relevant PC decisions				
4	SCE conducted advocacy and networking interventions relevant to their mandate				
5	SCE influenced national policies, bills and programmes with information garnered from their constituency and the general public				
6	There is evidence of the existence of a functional information exchange system between SCE leaders and their members				
7	SCE annual operational budget and funding proposal was approved with in the stipulated time frame				
8	SCE recognized and rewarded for outstanding performance				



9	PC identified and rewarded outstanding achievers in HIV/AIDS work in Uganda for special recognition				
10	PC monitored, evaluated and shared reports on the operational effectiveness and accountability of the Directorate for Partnerships				
<b>Total Score</b>					
<b>% score realized [Actual score (x) /total expected score (8)]*100</b>					
<b>PC overall comment on the performance of the SCE - Also compare with previous performance (Acceptable performance is =75%+, unacceptable/poor is &lt;75%, Excellent is =80+ and should be rewarded)</b>					
<b>What key lessons did the SCE learn in this performance assessment period</b>					
<b>PC jointly with the SCE develop a Performance Improvement Plan for under achieved performance aspects (KRAs)</b>					
<b>Standard</b>	<b>PC recommendations for future improvement (agreed upon with the SCE)</b>	<b>Responsibility</b>	<b>Timeline</b>		
<b>What key activities and deliverables is the SCE planning to accomplish by the next performance assessment period? (As reflected from the SCE's approved annual work plan)</b>					
<b>Required support by the SCE from the PC in achieving results for the coming performance period</b>					
<b>PC's comment on SCE progress against previously agreed on recommendations made during most recent performance appraisal (satisfactory or not and explain in either cases)</b>					
<b>Attach attendance list of PC &amp; SCE SC members involved in the assessment and with a required quorum of not less than 65%</b>					



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