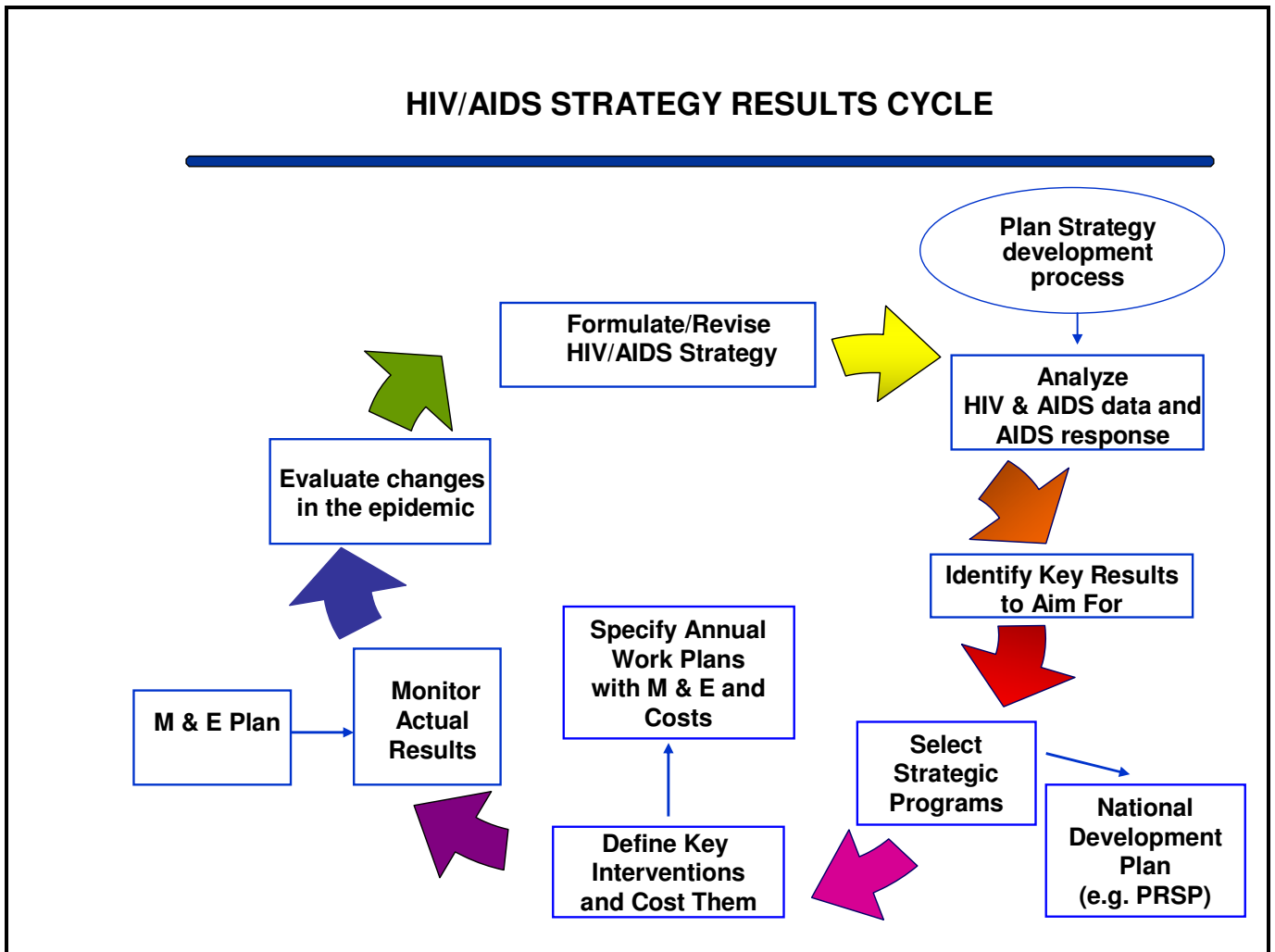


# KEY STEPS IN PREPARING A NATIONAL STRATEGY AND WORKPLAN ROADMAP/STRATEGIC PLANNING CHECKLIST (Draft Document for Discussion)

**Note:** This draft document is being circulated to elicit comments and discussion.

The objective of this guide is to help governments that wish to improve their National HIV/AIDS Strategies and to make them more results-oriented. The chart below shows the most important steps in making a strategy results-oriented. The first step is to analyze the HIV epidemic in the country (behavioral and epidemiologic data), and to use the analysis to identify the key results that the National Strategy will aim to achieve. Next, is to select the programs and activities that will help to achieve the results. Then monitor progress and evaluate the extent to which the results have actually been achieved. This document provides more details on the steps that may be required, depending on the situation of each country, to develop a strategy and work plan that follows and supports the results cycle.



Source: Gamet/ASAP, 2006

## **KEY STEPS IN DEVELOPING A NATIONAL STRATEGY and WORKPLAN / OPERATIONAL PLAN**

### Plan the process

- Step 1** Clarify the purpose of the Strategy and Workplans and how they will be used
- Step 2** Decide on the methodology/process to be used in developing the National Strategy and Workplan (NS&WP). Determine **who** will be involved and **how**. Establish **links** with other strategies and planning processes
- Step 3** Draw up a **road map with timetable** (including plans for validation of key steps)

### Analysis and Preparation

- Step 4** **Analyze the HIV and AIDS situation**
- Step 5** **Analyze the HIV and AIDS response. Do Institutional Assessment.**
- Step 6** Strengthen **capacity** for results-based planning

### Develop the Strategy and Workplan

- Step 7** Identify the **key results** the strategy will aim to achieve
- Step 8** Select **strategic programs** for attaining the desired results and indicators
- Step 9** **Specify a work plan/operational plan** with activities and cost estimates, **identify who is responsible for** implementation (Operational Plan/Workplan/Action Plan)

### Plan for Collecting, Analyzing and Using Data to Monitor and Evaluate Results – Revise (or draft) the national M&E Plan

- Step 10** Identify **data sources and data collection** procedures for each indicator
- Step 11** Indicate how the M&E data and results will **be used** for managing the AIDS response and revising the strategy in future

### Finalize and Use the National Strategy and Workplan

- Step 12** Validate and finalize the National Strategy and Workplan
- Step 13** Disseminate widely NSP, Operational Plan and revised M&E
- Step 14** Use the National Strategy and Workplan, Monitor Results

## **DEVELOPING A NATIONAL STRATEGIC PLAN FOR HIV/AIDS (Including Operational Plan/Workplan, and Revising the Monitoring and Evaluation Plan)**

**Note: National Strategic Plan: core activities are coded yellow**  
**Operational Plan: core activities are coded blue**  
**M&E Plan (assuming a plan already exists): core activities are coded green**

<b>KEY STEPS</b>	<b>Estimated Time</b>
<b>PLAN THE PROCESS</b>	<b>One month</b>
<b>1.</b>	<b>Clarify the purpose of the Strategy, Workplan and M&amp;E Plan and how they will be used</b>
<b>2.</b>	<p><b>Decide on the methodology and the process to be followed in developing the National Strategy and Workplan, and determine who will be involved and how</b></p> <ul style="list-style-type: none"> <li>○ <b>Establish who will coordinate the preparation of the Plan (National AIDS Authority or other)</b></li> <li>○ <b>Establish the role and composition of strategic planning committee and technical working groups</b> <ul style="list-style-type: none"> <li>▪ Ensure the participation of all relevant government ministries, including non-health ministries</li> <li>▪ Provide for full and effective participation of PLWHAs in all aspects of strategic planning</li> <li>▪ Provide for representation of international development partners, civil society, and private sector</li> <li>▪ Set clear roles and responsibilities of members</li> </ul> </li> <li>○ <b>Assign institutional responsibility for tasks: costing the strategy, preparation of Workplan (Operational Plan) and revision of M&amp;E Plan)</b> <ul style="list-style-type: none"> <li>▪ Identify technical assistance if needed</li> <li>▪ Identify possible sources of financing</li> <li>▪ Write TOR for consultants, hire consultants (if needed)</li> </ul> </li> <li>○ <b>Establish role and goals of participatory process</b> <ul style="list-style-type: none"> <li>▪ Agree that setting and monitoring of targets will be done with civil society and PLWHA</li> <li>▪ Establish mechanism/process for consultation with civil society, local governments, development partners etc</li> <li>▪ What results are expected from the consultation? (information, awareness, wide involvement?)</li> <li>▪ Plan for developing partnerships (especially with business coalitions)</li> <li>▪ Establish role of Partnership Forum (where it exists) or other development partners groups</li> </ul> </li> </ul> <p><b>Think about how to link the AIDS strategy with other strategies and national planning processes</b></p>

<b>KEY STEPS</b>	<b>Estimated Time</b>
	<ul style="list-style-type: none"> <li>○ How is the HIV/AIDS strategy informed by other sector plans (such as health sector plans)?</li> <li>○ How does it reflect and reinforce the national development goals of the country as reflected for example in PRSPs (such as poverty reduction, human capacity development, etc.).</li> <li>○ Indicate steps for linking the AIDS strategy with broader national planning processes such as Poverty Reduction Strategies and Medium Term Expenditure Framework</li> </ul>
<b>3.</b>	<p><b>Draw up a road map with timetable</b> (including plans for validation of key steps) that clearly describes all activities, a time table, and responsibilities. Disseminate the roadmap to all stakeholders. Estimate costs and identify funding for the process.</p>
<b>ANALYSIS AND PREPARATION</b>	<b>One to Three months</b>
<b>4.</b>	<p><b>Analyze the HIV and AIDS Situation – epidemiological data and behavioral data</b></p> <ul style="list-style-type: none"> <li>○ Analyze <b>epidemic trends and changing patterns</b>, including population groups who are driving the epidemic</li> <li>○ Review <b>quality and type of data</b> available and needed: <ul style="list-style-type: none"> <li>▪ Does the M&amp;E system generate the data needed for measuring the various indicators of the HIV/AIDS strategy? Does it include both behavioral and epidemiological data? Are estimates up to date on key target groups, especially high risk groups? Review the M&amp;E Plan.</li> </ul> </li> </ul>
<b>5.</b>	<p><b>Analyze the HIV/AIDS response</b></p> <ul style="list-style-type: none"> <li>○ Assess quality of <b>previous strategy</b> in terms of clarity of objectives, priorities and indicators</li> <li>○ Carry out detailed review of achievements and shortcomings of previous National Strategic Plan/Programs</li> <li>○ Review socio-economic factors, cultural and technological constraints, and particularly risk and vulnerability factors</li> <li>○ Provide implications and recommendations for new strategy</li>   <li>○ Estimate current HIV/AIDS spending in the country</li> </ul>
	<p><b>Carry out institutional assessment</b></p> <ul style="list-style-type: none"> <li>○ Institutional assessment of <b>National AIDS Authority</b> <ul style="list-style-type: none"> <li>▪ Is the mandate of the National AIDS Authority clear?</li> <li>▪ Can the National AIDS Authority coordinate the management of the AIDS response?</li> <li>▪ Does it have the needed human resources (especially for coordination, financial management, M&amp;E)?</li> </ul> </li> <li>○ Carry out <b>institutional assessment</b> of M&amp;E system <ul style="list-style-type: none"> <li>▪ Does the unit responsible for managing the M&amp;E system have sufficient staff and budget?</li> </ul> </li> </ul>

<b>KEY STEPS</b>	<b>Estimated Time</b>
	<ul style="list-style-type: none"> <li>▪ Do all stakeholders use the same M&amp;E system?</li> <li>▪ Are the data used to guide programming priorities?</li> <li>○ Institutional assessment of <b>other key actors</b> <ul style="list-style-type: none"> <li>▪ Do local authorities, civil society and NGOs have the capacity to implement the HIV/AIDS response?</li> </ul> </li> <li>○ Assess <b>financial and disbursement systems</b> <ul style="list-style-type: none"> <li>▪ Transparency of systems; speed of disbursements; auditing</li> </ul> </li> <li>○ Summarize institutional strengthening (including technical assistance) that may be needed</li> </ul>
	<p><b>Assess human and infrastructure constraints that affect AIDS response (need for assessment depends on country situation)</b></p> <ul style="list-style-type: none"> <li>○ Assess health sector human requirements for scaling up the AIDS response</li> <li>○ Assess infrastructure barriers to scaling up antiretroviral treatment, such as lack of health infrastructure (e.g. HIV testing sites)</li> </ul>
<b>6.</b>	<b>Orientation for stakeholders on results-based planning and implementation is highly advisable</b>
<b>DEVELOP THE STRATEGY AND WORK PLAN</b>	
<b>7.</b>	<b>Identify the key results that the strategy will aim to achieve</b> <span style="float: right;"><b>1 week</b></span>
	<ul style="list-style-type: none"> <li>○ Many strategies start by stating long-term objectives or goals for prevention, treatment and care.</li> <li>○ More difficult, and absolutely essential for a prioritized, results-based strategy, is to define clearly and quantify the selected key results that the strategy will aim to achieve within (say) 5 years.</li> <li>○ Key results should respond to the analysis of the epidemic, eg prevention efforts should target the groups where most new infections occur. It might be useful to ask technical working groups to prepare short briefs to help determine the key results that the strategy will aim to achieve.</li> <li>○ Results could be defined in terms of universal access to prevention, treatment, care and support; but they need to be adapted to the specific situation of country and the time frame for achieving them needs to be specified.</li> <li>○ Results need to be realistic as well as be consistent with goals (universal access) that could be ambitious. Reconciling the two could be done by developing alternative scenarios (for example, one based on past trends and one based on rapid scaling up of AIDS response that might be possible with increased financial support).</li> </ul>

KEY STEPS	Estimated Time
	<ul style="list-style-type: none"> <li>○ Results should be measured at the <b>program level</b> (as opposed to the level of activities, which are set in the workplan). <ul style="list-style-type: none"> <li>▪ As much as possible, results should be defined in the form of quantifiable targets, but some qualitative indicators may also have to be used.</li> <li>▪ The number of results/targets should be limited to a few key targets for each of the three major program areas (prevention, treatment, care and support).</li> <li>▪ The M&amp;E Plan should explicitly describe how progress towards the targets will be measured (ie the indicators). (So for example, the “indicator” might be the number (or %) of PLWH on ARV; the target might be 100,000 (or 50% of) PLWH on ARV by 2007; or the indicator might be the number of people tested for HIV and the target might be 200,000 people tested for HIV each year; another indicator might be the % of sex workers who always use condoms and the target might be that 90% of sex workers always use condoms by 2008. The M&amp;E plan explains how the data will be collected, how often, and by whom.)</li> </ul> </li> <li>○ All stakeholders should adopt the <b>same indicators</b>. This implies establishment of one common M&amp;E framework.</li> </ul>
8.	<p><b>Select the strategic programs for attaining the key results of the strategy</b> <span style="float: right;"><b>One week</b></span></p> <ul style="list-style-type: none"> <li>○ Identify <b>key programs</b> (in prevention, treatment, care and support)</li> <li>○ Identify <b>key target groups</b> to be reached by programs: <ul style="list-style-type: none"> <li>▪ Groups driving the epidemic i.e. where most new infections occur (applies particularly to countries with concentrated epidemics, eg. sex workers and their clients, men who have sex with men, injecting drug users, people with multiple sex partners)</li> <li>▪ Groups who are vulnerable and at risk of infection (eg, adolescent girls)</li> <li>▪ Groups in need of services: PLWH, orphans and vulnerable children, pregnant women</li> <li>▪ But keep total number of target groups to a manageable number (e.g. five or less)</li> </ul> </li> </ul>
	<p><b>Identify changes in policy and legal environment</b> that may be needed in areas such as:</p> <ul style="list-style-type: none"> <li>▪ Discrimination and stigma (is a law needed?)</li> <li>▪ HIV testing (e.g. rule for confidentiality, counseling; voluntary versus mandatory)</li> <li>▪ Access to treatment: who will pay? Who will have free access?</li> <li>▪ Equity issues: how to reduce the financial burden on the poor; ie the role of insurance and service fees</li> </ul>
	<p><b>Indicate arrangements for monitoring the implementation of strategy</b></p> <ul style="list-style-type: none"> <li>▪ Indicate role of key stakeholders, including PLWHA</li> <li>▪ Plan for joint review with development partners</li> </ul>
	<p><b>Draft the National Strategy</b></p>

KEY STEPS	Estimated Time
	<ul style="list-style-type: none"> <li>○ Assign responsibility for writing the strategy document to either one person or ad hoc committee with clear accountability</li> <li>○ Validate the draft strategy with stakeholders               <ul style="list-style-type: none"> <li>▪ Workshop with key development partners, government ministries and civil society</li> </ul> </li> </ul>
	<p><b>Feasibility analysis: analyze alternative scenarios for increasing access to services</b> <span style="float: right;"><b>One month</b></span></p> <p style="text-align: center;">(Background work that can be very helpful for the operational plan /workplan)</p> <ul style="list-style-type: none"> <li>○ <b>Project availability of services</b> <ul style="list-style-type: none"> <li>▪ Take into account likely additional investments in human resources and infrastructure (based on past trends for example), especially in health sector</li> <li>▪ Assess need for additional health professional and investment in health sector</li> <li>▪ Assess consistency with health sector plan</li> </ul> </li> <li>○ <b>Project the future demand</b> for services taking into account:               <ul style="list-style-type: none"> <li>▪ Current rate of access to services and future rate of access that could be achieved with additional investments in human resources and infrastructure</li> <li>▪ Actual demand for services and factors affecting it such as: financial cost of services, stigma, location of services (urban versus rural), income of beneficiaries, etc</li> </ul> </li> </ul> <p><b>Carry out modeling to check validity of framework (optional as it depends on availability and quality of data)</b></p> <ul style="list-style-type: none"> <li>○ Estimate the impact of interventions on epidemic</li> <li>○ Estimate unit cost of interventions</li> <li>○ Simulate results that can be achieved with different financial resources</li> </ul>
9.	<p><b>Develop Operational Plan (also called Work Plan, Action Plan) including cost estimates</b> <span style="float: right;"><b>Two months</b></span></p> <p><b>Principle:</b> Start from the draft National Strategic Plan key results and strategic programs, and expand or “fill in” the details of the activities that can best help to achieve the results.</p>
	<p><b>Clearly specify the activities within each strategic program</b>, that will help achieve the results that the strategy aims to reach. Keep the overall number of activities ambitious but manageable. Decide on the inputs that will be needed for the activities.</p>
	<p><b>Define annual (or quarterly, or semi-annual) output targets at the activity level, i.e. the products and services that will help achieve the strategy results.</b></p> <ul style="list-style-type: none"> <li>▪ Ensure that required data would be available (ensure consistency with M&amp;E Plan) to measure whether the targets are being met.</li> </ul>

	<ul style="list-style-type: none"> <li>○ <b>Specify roles and responsibilities of key actors</b> <ul style="list-style-type: none"> <li>▪ Who will do the work; how and when will it be done</li> <li>▪ Clarify role of central government versus local governments</li> <li>▪ Clarify role of private sector and civil society, especially as concerns implementation and access to funding</li> </ul> </li> </ul>
	<p><b>Estimate costs for each activity</b></p> <ul style="list-style-type: none"> <li>▪ Use unit costs collected within country; if not, international estimates</li> <li>▪ Use standardized methodologies/guidelines for costing AIDS response</li> <li>▪ Ensure that the management of the AIDS response (e.g. staffing of the National AIDS Commission) and monitoring and evaluation are adequately costed</li> <li>▪ Estimate the cost of incentives that may be needed to hire and retain skilled staff</li> </ul> <p><b>Estimate total budget</b> needed for implementing the programs (with greater specificity for the first year), and especially:</p> <ul style="list-style-type: none"> <li>○ Funding needed from government budget (domestic sources) and external contributions (including in-kind contributions)</li> <li>○ Check feasibility of aggregate spending and plans</li> <li>○ Get a sense of what level of resources it might be possible to mobilize,</li> <li>○ Consider whether activities need to be phased or scaled back, and if so, which are of the highest priority</li> </ul>
	<p><b>Identify links with other programs that affect the implementation of HIV/AIDS strategy, such as</b></p> <ul style="list-style-type: none"> <li>○ Health sector strategy: <ul style="list-style-type: none"> <li>▪ Indicate on-going programs and new programs needed for scaling up access to HIV/AIDS interventions, especially access to treatment and care</li> </ul> </li> <li>○ Civil service reform (wages, incentives)</li> <li>○ Indicate program to increase human resources for health sector and improve financial incentives (if needed)</li> </ul>
	<p><b>Plan for regular updating</b> of operational plan (either rolling plan or annual implementation plan)</p>

<b>Plan for Collecting, Analyzing and Using Data to Monitor and Evaluate Results</b>	
<b>Revise (or draft) the national Monitoring and Evaluation plan so that it meets the needs of the Operational Plan</b> <span style="float: right;"><b>(One month)</b></span>	
<b>10.</b>	<p><b>Identify data sources and data collection procedures for each indicator in the National Strategy and Operational Plan</b></p> <ul style="list-style-type: none"> <li>○ Plan for additional data collection and research if needed</li> </ul> <p><b>Ensure that the M&amp;E system meets the needs of the management information system:</b></p> <ul style="list-style-type: none"> <li>○ At the national level: are the data aggregated in a way that can inform policy decisions?</li> <li>○ At the decentralized level: does the reporting plan include providing feedback to local authorities?</li> </ul> <p><b>Identify manpower requirements, including</b></p> <ul style="list-style-type: none"> <li>○ Technical assistance needed with identified sources with financing</li> </ul> <p><b>Improve the role of the M&amp;E system in guiding programmatic priorities</b></p> <ul style="list-style-type: none"> <li>○ Plan for regular reporting and widespread distribution of reports</li> <li>○ Plan for impact analyses of interventions: <ul style="list-style-type: none"> <li>▪ What are the key questions that evidence-based analysis can try to answer?</li> </ul> </li> </ul> <p><b>Estimate cost of M&amp;E Plan and ensure that it is included in National Strategic Plan and Operational Plan Costing</b></p> <p><b>Improve coordination among stakeholders</b></p> <ul style="list-style-type: none"> <li>○ Hold workshop to improve data collection and harmonization among all stakeholders</li> <li>○ Establish working group with partners (if does not exist)</li> </ul>
<b>11.</b>	<p><b>Indicate how the M&amp;E data and results will be used for managing the AIDS response and revising the strategy and formulating future annual workplans</b></p> <ul style="list-style-type: none"> <li>○ Establish effective management information system that provides information about the implementation of programs, and progress towards achieving the results that the strategy aims for.</li> <li>○ Establish processes for using the results for revising policies, programs and workplans.</li> </ul>
<b>Finalize and Use the National Strategy and Workplan</b>	
<b>12.</b>	<p><b>Validate and finalize the Strategy and Operational Plan/Workplan</b> <span style="float: right;"><b>Three weeks</b></span></p> <ul style="list-style-type: none"> <li>○ National validation workshop among stakeholders (government ministries, civil society, PLWH, private sector, key</li> </ul>

	<p>development partners) (1-2 days)</p> <ul style="list-style-type: none"> <li>○ Finalize Strategy and Operational Plan/Workplan and M&amp;E Plan</li> <li>○ Seek formal government endorsement? (eg through Parliament?)</li> <li>○ Print the National Strategic Plan, Workplan/Operational Plan and M&amp;E Plan</li> </ul>
<b>13.</b>	<b>Disseminate the National Strategy, Operational Plan/Workplan and M&amp;E Plan widely to all Stakeholders</b>
<b>14.</b>	<p><b><u>Use</u> the National Strategy, Operational Plan/Workplan and M&amp;E Plan</b></p> <ul style="list-style-type: none"> <li>○ <b>Convene donor conference to secure funding</b></li> <li>○ <b>Monitor implementation of Operational plan and M&amp;E plan</b></li> <li>○ <b>Monitor progress towards results</b></li> </ul>