

Checklist for the Evaluation HIV/AIDS Strategies and Action Plans

The following checklist is from ASAP: HIV/AIDS Strategic Self-Assessment Tool (SAT). The checklist will help consultants to have a quick reference for where they can find information on the internet (Guideposts) about each of the statements. *Please note that some of the checklist statements do not have guideposts.*

The key target populations are identified in the strategic plan (e.g., CSWs, IDUs, truck drivers, etc.)?

Guidepost: none

Country has up-to-date estimates regarding the size of the key target populations?

Guideposts:

- FHI/UNAIDS/WHO. "Estimating the Size of Populations at Risk for HIV: Issues and Methods" July 2003, Geneva Switzerland.
- Futures Group. "Coverage of Selected Services for HIV/AIDS Prevention, Care and Support in Low and Middle Income Countries in 2003," 2004, Washington DC.

Country has a reliable estimate regarding the number of people living with HIV?

Guideposts:

- UNAIDS. "2006 Report on the Global AIDS Epidemic," May 2006, Geneva Switzerland.

Country has reliable and up-to-date estimates of the number of people requiring ART and has developed projections regarding future needs?

Guideposts:

- WHO. "Monitoring the Scale-Up of Antiretroviral Therapy Programmes: Methods to Estimate Coverage," Bulletin of the World Health Organization; 84: 145-150.

Country has recently completed a report which includes an assessment of barriers to ART scale-up?

Guideposts:

- South African Ministry of Health. "Operational Plan for Comprehensive HIV and AIDS Care, Management and Treatment for South Africa," November 2003, Pretoria South Africa.
- WHO. "Monitoring the Scale-Up of Antiretroviral Therapy Programmes: Methods to Estimate Coverage," Bulletin of the World Health Organization; 84: 145-150.
- WHO. "A Public Health Approach for Scaling Up Antiretroviral (ARV) Treatment: A Toolkit for Programme Managers," October 2003, Geneva Switzerland.

WHO. "Human Capacity-Building Plan for Scaling Up HIV/AIDS Treatment," 2003.

Country has reliable estimates and projections of the number of orphans and vulnerable children?

Guideposts:

- UNAIDS/UNICEF/USAID. "Children on the Brink. 2004: A Joint Report of New Orphan Estimates and a Framework for Action," July 2004, Washington DC.
- Grassly NC, Timæus IM (2005) "Methods to Estimate the Number of Orphans as a Result of AIDS and Other Causes in Sub-Saharan Africa", Journal of Acquired Immune Deficiency Syndrome, 39(3): 365-375.

People living with HIV/AIDS were fully represented on the strategic planning committee?

Guideposts:

- "Valued Voices" GIPA tool kit, a manual for the Greater Involvement of PLWHA
- USAID. The participation toolkit: A USAID health population & nutrition officer's guide to using participatory approaches for managing HIV/ AIDS activities. 1998. Washington DC, USAID.

All relevant government ministries were fully represented on the strategic planning committee?

Guideposts:

- Bodiang, CK. "The Multisectoral Approach: A Focus on Africa," March 2001, Basel, Switzerland.
- AED. "Multisectoral Responses to HIV/AIDS: A Compendium of Promising Practices from Africa," April 2003, Washington DC.

Civil society was fully represented on the strategic planning committee?

Guideposts:

- International HIV/AIDS Alliance. "Civil Society and the 'Three Ones,'" 2005.

International development partners were appropriately represented on the strategic planning committee?

Guideposts:

- Cohen, D. "Strengthening National Capacity for HIV/AIDS Strategic Planning," UNDP, Issue Paper No. 26.

The private sector was fully represented on the strategic planning committee?

Guideposts:

- FHI. "Workplace HIV/AIDS Programs: An Action Guide for Managers," June 2004, Arlington Virginia.
- FHI, POLICY. "HIV/AIDS and the Public Sector Workforce: An Action Guide for Managers," 2003, Arlington Virginia.

GTZ, Global Business Coalition on HIV/AIDS, The Global Fund to Fight AIDS, Tuberculosis and Malaria, ILO, Global Health Initiative, the World Bank. "Making Co-Investment a Reality," December 2005, Eschborn, Germany.

All critical decisions of the strategic planning committee were made in a collaborative way?

Guideposts:

- Synergy Project. "APDIME Toolkit: Resources for HIV/AIDS Program Managers," Washington DC

<http://www.synergyaids.com/apdime/index.htm>

Members of the strategic planning committee had clear roles and responsibilities in regards to participating in the strategic planning process?

Guidepost: none

Evaluation and response

A rigorous analysis of the country's response to HIV/AIDS was conducted prior to the development of your strategic plan?

Guideposts:

- UNAIDS. Guide to the Strategic Planning Process for a National Response to HIV/AIDS: Response Analysis. 1998. Geneva, Switzerland.

The strategic plan adequately takes into consideration and addresses the recommendations which were derived from the response analysis?

Guideposts:

- UNAIDS. Guide to the Strategic Planning Process for a National Response to HIV/AIDS: Response Analysis. 1998. Geneva, Switzerland.
Results-Focused Planning

Results-Focused Planning

Strategic plan contains realistic, clear and measurable targets?

Guideposts:

- UNAIDS. Guide to the Strategic Planning Process for a National Response to HIV/AIDS: Strategic Plan Formulation. 1998. Geneva, Switzerland.

Country has baseline data against which all the targets of the strategic plan can be compared?

Guideposts:

- Futures Group. "Coverage of Selected Services for HIV/AIDS Prevention, Care and Support in Low and Middle Income Countries in 2003," 2004, Washington DC.
- Ward, H; Walker, N; Ghys, P. "Methods and Tools for HIV/AIDS Estimates and Projections," STI Online, 80(1): August 2004.
- WHO and UNAIDS. "Progress on Global Access to HIV Antiretroviral Therapy: A Report on "3 by 5" and Beyond, March 2006, Geneva Switzerland.
http://www.who.int/hiv/fullreport_en_highres.pdf

The expected results from each activity are clearly defined and quantified?

Guideposts:

- UNAIDS. Guide to the Strategic Planning Process for a National Response to HIV/AIDS: Strategic Plan Formulation. 1998. Geneva, Switzerland.

Results-Based Monitoring and Evaluation

There is one unit responsible for managing the country's HIV/AIDS monitoring and evaluation activities?

Guideposts:

UNAIDS. "Three Ones: Key Principles," April 2004, Geneva, Switzerland.

http://data.unaids.org/UNA-docs/Three-Ones_KeyPrinciples_en.pdf

The country has a monitoring and evaluation strategy that aligns to national priorities and strategic plans and is based on epidemiological priorities?

Guideposts:

- The World Bank/UNAIDS. "National AIDS Councils: Monitoring and Evaluation Operations Manual," August 2002, Geneva Switzerland.

http://data.unaids.org/Publications/IRC-pub02/JC808-MonEval_en.pdf

A reporting plan is in place which includes feedback to authorities at the decentralized level?

Guidepost: none

The M&E strategy measures outcome and output indicators as proposed in the national plan?

Guideposts:

- UNDP. "Responding to HIV/AIDS Measuring Results: The Answer Lies Within," 2005, New York, NY.
- UNAIDS. "Guidelines on Construction of Core Indicators," July 2005, Geneva Switzerland.

http://data.unaids.org/publications/irc-pub06/jc1126-constrcoreindic-ungass_en.pdf

Systems have been put in place in order to collect and monitor indicators and measure the impact of individual interventions?

Guideposts:

- WHO, World Bank, UNICEF, UNAIDS, USAID, CDC, HHS, GFATM. "Monitoring and Evaluation Toolkit: HIV/AIDS, Tuberculosis and Malaria," June 2004, Geneva Switzerland.

http://www.who.int/hiv/pub/epidemiology/en/me_toolkit_en.pdf

- FHI. "Behavioral Surveillance Surveys: Guidelines for Repeated Behavioral Surveys in Populations at Risk of HIV", 2000, Arlington Virginia.

<http://www.fhi.org/NR/rdonlyres/eefxryoi4dijq64z7I2hda2I6672dvkhjzyqol5i6gvzy3dcpvoue5zqjsqtbl2sdt55dg2faeee3p/bssguidelinesfull.pdf>

FHI. "Evaluating Programs for HIV/AIDS Prevention and Care in Developing Countries: A Handbook for Program Managers and Decision Makers," 2001, Arlington Virginia.

<http://www.fhi.org/NR/rdonlyres/eids2i3iqcw5qda4tdclohfgdmqvpsuvonddh3v5ptcc5xb334f56on7zdibh4umw4r6ttgpl7vhzl/31776textR1.pdf>

The cost of the monitoring and evaluation plan is included in the costing of the national strategy and there are likely to be sufficient resources to pay for these activities?

Guidepost: none

Surveillance systems: 1) meet international standards, 2) are used to guide good programming priorities, 3) are operational for both behavioural and epidemiologic data and 4) include the surveillance of all key populations?

Guideposts:

- WHO and UNAIDS. "Guidelines for Measuring National HIV Prevalence in Population-Based Surveys," 2005, Geneva Switzerland. <http://www.who.int/hiv/pub/surveillance/guidelinesmeasuringpopulation.pdf>
- WHO and UNAIDS. "Guidelines for Second Generation HIV Surveillance," 2000, Geneva Switzerland. http://data.unaids.org/Publications/IRC-pub01/JC370-2ndGeneration_en.PDF

There are adequate plans in place to conduct a regular national STI surveillance monitoring?

Guideposts:

- UNAIDS/WHO. "Guidelines for Sexually Transmitted Infections Surveillance," 1999, Geneva Switzerland. http://data.unaids.org/Publications/IRC-pub01/JC240-SexTransmInfSurv_en.pdf

There is an annual M&E review and planning process which incorporates all relevant stakeholders, and includes an appropriate and transparent forum for disseminating all monitoring and evaluation data?

Guideposts:

- Family Health International. "Monitoring HIV/AIDS Programs: Participant Guide: A USAIDS Resource for Prevention, Care and Treatment," September 2004, Arlington Virginia. <http://www.fhi.org/NR/rdonlyres/edy6idueayu7lvrtvzxvzdgxi46yolrjdbnhsf7hicbfrl35yfgajcg2vadmmjekwqzpj413rq6m/ParticipantCoreModule3.pdf>

Planned Approaches and Interventions

Country's approach to addressing HIV/AIDS is based on evidence which confirms that the approach will have a significant impact on the epidemic?

Guideposts:

- Futures Group. "Goals Model for Estimating the Effects of Resource Allocation Decisions on the Achievement of the Goals of the HIV/AIDS Strategic Plan," March 2003, Washington DC. <http://www.futuresgroup.com/Resources.cfm?area=2a&get=GOALS>
- World Bank. "Optimizing the Allocation of Resources for HIV Prevention: The Allocation by Cost-Effectiveness (ABC) Model," July 2002, Washington DC.

[http://lnweb18.worldbank.org/external/lac/lac.nsf/60d24d5a675982ea852567d6006cb7ca/e8a149831af4046085256849007ff348/\\$FILE/Guidelines%20to%20use%20the%20ABC%20Model.pdf](http://lnweb18.worldbank.org/external/lac/lac.nsf/60d24d5a675982ea852567d6006cb7ca/e8a149831af4046085256849007ff348/$FILE/Guidelines%20to%20use%20the%20ABC%20Model.pdf)

For each activity defined in the strategic plan, the activities are clearly defined (including defining who will do the work, how and where it will be done, and the level of coverage to be achieved)?

Guideposts:

- Synergy Project. "APDIME Toolkit: Resources for HIV/AIDS Program Managers: Module 3/Stage 3: Design an Implementation Plan," Washington DC. http://www.synergyaids.com/apdime/mod_3_design/design_index.htm

Prioritization

The priorities established in the strategic plan are consistent with the pattern of the epidemic (ie, priority is given to those groups most at risk of becoming infected)

Guideposts:

- Academy for Education and Development. "Setting HIV Prevention Priorities: A Guide for Community Planning Groups," March 2005, Washington DC. <http://www.cdphe.state.co.us/dc/CWT/SettingPriorities.pdf>

The priorities of your strategic plan took into consideration the cost-effectiveness of various interventions?

Guideposts:

- Creese, A; Floyd, K; Alban, A; Guinness, L. "Cost-effectiveness of HIV/AIDS interventions in Africa: A Systematic Review of the Evidence," Lancet, May 11, 2002, 359(9318): 1635-43. <http://www.eldis.org/static/DOC11049.htm>
- Hogan, D; Baltussen, R; Hayashi, C; Lauer, JA; Salomón, JA. "Cost-Effectiveness Analysis of Strategies to Combat HIV/AIDS in Developing Countries," BMJ, 17 December, 2005, 331: 1431-1437. <http://bmj.bmjournals.com/cgi/content/full/331/7530/1431>

Strategic plan put a high priority on reaching groups that are poor or otherwise vulnerable?

Guidepost: none

The number of activities which are included in the strategic plan is ambitious but manageable?

Guidepost: none

The planned allocation of resources is based on the priorities of the strategic plan (e.g., interventions identified as the highest priority will be funded first)?

Guidepost: none

The allocation of resources across strategic components (e.g., prevention, care, mitigation, policy, evaluation, management, etc.) is appropriate and balanced?

Guideposts:

- Mullen P. "Review of National HIV/AIDS Strategies for Countries Participating in the World Bank's Africa Multi-Country AIDS Program (MAP): Background Paper for the OEC Evaluation of the World Bank's Assistance for HIV/AIDS Control." 2005. Washington DC.

If the strategy does not obtain all the required resources, it is clear which interventions will be funded and which will not?

Guideposts:

- Mitton, C; Donaldson, C. "Health Care Priority Setting: Principles, Practice and Challenges." Cost Effectiveness and Resource Allocation, 2004, 2:3
<http://www.resource-allocation.com/content/pdf/1478-7547-2-3.pdf>

Financing/Resources/Budgets and Costing

A realistic costing of the strategic plan has recently been conducted using standardized methodologies/guidelines?

Guideposts:

- UNAIDS. "Costing Guidelines for HIV Prevention Strategies," October 2000, Geneva Switzerland.
http://data.unaids.org/Publications/IRC-pub05/JC412-CostGuideI_en.pdf
- UNAIDS. "Resource Needs for an Expanded Response to AIDS in Low- and Middle- Income Countries," August 2005, Geneva, Switzerland.
http://data.unaids.org/publications/irc-pub06/resourceneedsreport_en.pdf
- EASE International. "Costing of HIV/AIDS Strategic Plans: Experience from Asia."
http://www.easeint.com/pow/POV_Costing_of_HIV_Strategic_Plans.pdf

In the costing of the strategic plan, there are sufficient resources for the management (including costs for the National Authority and the staffing required)?

Guideposts:

- UNAIDS. "Costing Guidelines for HIV Prevention Strategies," October 2000, Geneva Switzerland.
http://data.unaids.org/Publications/IRC-pub05/JC412-CostGuideI_en.pdf

There is an assessment which defines the current level of HIV/AIDS resources available?

Guideposts:

- SIDALAC. "National HIV/AIDS Accounts: National Estimation of Financial Flows and Expenditures on HIV/AIDS - Technical Handbook for Estimating the National Accounts on HIV/AIDS," 2001, Mexico City, Mexico.
<http://www.sidalac.org.mx/english/publications/naccounts/guide.pdf>
- PHRplus/Abt Associates. "Methodological Guidelines for Conducting a National Health Accounts Subanalysis for HIV/AIDS," June 2004, Washington DC.
http://www.phrplus.org/Pubs/Tech044_fin.pdf

The financial management and disbursement systems are appropriate, adequate and completely transparent?

Guideposts:

- ActionAid. "Where's the Money? Towards Transparency in UK AIDS Expenditures," 1 September, 2005.

Capacity and Constraints

The strategic plan identifies ways in which the HIV/AIDS program can be sustained beyond the life of the strategic plan?

Guideposts:

- The Measurement Group, LLC. "Outcomes and Impact from HRSA HIV/AIDS Special Projects of National Significance Funded Between 1991 and 2002: Follow-Up from Two to Nine Years after the Funded Period," February 2005, Culver City California.
<ftp://ftp.hrsa.gov/hab/SPNSOutcomesandImpact.pdf>

The capacity constraints of civil society are also addressed in the strategic plan?

Guideposts:

- International HIV/AIDS Alliance. "NGO Capacity Analysis: A Toolkit for Assessing and Building Capacities for High Quality Responses to HIV/AIDS," July 2004, London England.
http://synkronweb.aidsalliance.org/graphics/secretariat/publications/cat0704_Capacity_analysis_toolkit_eng.pdf

The response analysis clearly identifies the human requirements needed to achieve the goals of the strategic plan?

Guideposts:

- WHO. "A Public Health Approach to Antiretroviral Treatment: Overcoming Constraints," 2003, Geneva Switzerland.
http://www.who.int/hiv/pub/prev_care/en/PublicHealthApproach_E.pdf

Management and Coordination

The strategic plan designates one National Authority with appropriate management authority?

Guideposts:

- UNAIDS. "The 'Three-Ones' in Action: Where We Are and Where We Go from Here," May 2005, Geneva Switzerland.
http://data.unaids.org/publications/irc-pub06/jc935-3onesinaction_en.pdf

The responsibilities of the local authorities are clear, appropriate and sufficiently decentralized

Guidepost: none

The coordination of activities between the National Authority and development partners is clear and appropriate?

Guidepost: none

The national strategic plan includes all the ongoing and planned activities in the country, including those by major funders?

Guidepost: none

An inter-ministerial coordination plan exists?

Guidepost: none

Policy Environment

A national HIV/AIDS policy is in place and is being applied?

Guidepost: none

An AIDS Program Effort Index (API) survey (or a similar survey to assess the HIV/AIDS policy environment) was conducted in your country and used in designing your strategic plan?

Guidepost: none

The strategic plan identifies effective measures which can be pursued for addressing stigma and discrimination?

Guidepost: none

The strategic plan has been marketed and promoted in order to assure sufficient commitment to the plan?

Guidepost: none

Action Plans

There is a clear process for translating the strategy into action plans?

Guidepost: none

There is a clear process for ensuring the action plans are integrated with other national annual planning documents (e.g., national budgets, PRSP, MTEF, etc.)?

Guidepost: none

1. Global Task Team. Global Task Team on Improving AIDS Coordination Among Multilateral Institutions and International Donors. 2005.
2. UNAIDS. Guide to the Strategic Planning Process for a National Response to HIV/AIDS. UNAIDS, editor. 1998. Geneva, Switzerland, UNAIDS. UNAIDS Best practice Collection.
3. Ernberg G, Opuni M, Schwartlander B, Walker N, Tarantola D, Kieffer M. **Level and flow of national and international resources for the response to HIV/AIDS, 1996-1997.** UNAIDS, Harvard School of Public Health, editors. 99.25E. 1999. Geneva, Switzerland, UNAIDS.
4. UNAIDS. Report on the Global AIDS Epidemic: A UNAIDS 10th Anniversary Special Edition. 2006.
5. WHO and UNAIDS. Progress on Global Access to HIV Antiretroviral Therapy: A report on "3 by 5" and Beyond. 1-84. 2006. Geneva, Switzerland, WHO. 3-28-2006.
6. ASAP. Supporting Improved Strategic Planning for HIV/AIDS: AISD Strategy and Action Plan Business Plan, 2006-2008. 2006. Washington DC, UNAIDS and the World Bank.
7. Mullen P. Review of National HIV/AIDS Strategies for Countries Participating in the World Bank's Africa Multi-Country AIDS Program (MAP): Background Paper for the OEC Evaluation of the World Bank's Assistance for HIV/AIDS Control. 2005. Washington DC, The World Bank Operations Evaluation Department.

8. USAID. The participation toolkit: A USAID health population & nutrition officer's guide to using participatory approaches for managing HIV/ AIDS activities. 1998. Washington DC, USAID.
9. The World Bank. The World Bank's Global HIV/AIDS Program of Action. 2005. Washington DC, The World Bank.
10. Ainsworth M, Teokul W. Breaking the silence: setting realistic priorities for AIDS control in less-developed countries. Lancet 2000; 356(9223):55-60.
11. WHO. Investing in a Comprehensive Health Sector Response to HIV/AIDS: Scaling up Treatment and Accelerating Prevention. 2004. Geneva, Switzerland, WHO.
12. UNAIDS. The "Three Ones" in Action: Where We Are and Where We Go from Here. 2005. Geneva, Switzerland, UNAIDS.