



Chapter 16

Local Government Responses to HIV/AIDS²¹

Introduction

There are three elements to sub-national responses: (i) local government responses²² (mainstreaming, workplace policy, etc.), (ii) decentralized coordination and support of civil society, private sector and public sector activities at a local level (funding community sub-projects, and ensuring continuum of care at local level) and (iii) deconcentrated public sector functions (ministry of education, agriculture, etc.)²³. The way in which a National AIDS Program structures, supports and manages these responses will depend on a range of factors, but will likely be closely linked to the extent and capacity of decentralization in the country.

Local authorities, representing the level of government closest to communities, have an important role to play in a decentralized HIV/AIDS response both with regard to local government staff and their families and to the numerous clients of local government. In most countries, towns and cities have the highest prevalence (due to high concentrations of vulnerable groups, transport hubs, etc.) and transport routes from towns and cities are central to the spread of HIV/AIDS to rural areas. In addition, local authorities are faced with an increasing demand on services (health services, land, care for orphans, etc.) and a decreasing capacity for populations to pay for services. The local investment climate suffers as does the local government workplace, as human and financial resources are diminished.

The major benefit of having a competent sub-national HIV/AIDS Committee under or linked to a local government body is that a large number of small-scale community based subprojects stand a chance of being quickly appraised and approved and implemented without being referred back to NAC/NAS for lengthy approval. Local authorities are also well-positioned to facilitate real coordination at the local level- with civil society organizations as well as decentralized line ministries – to ensure coverage and a continuum of prevention and care for those infected/affected. By utilizing existing local government institutions and over time integrating HIV/AIDS into Local Development Plans, the sub-national responses to HIV/AIDS can be institutionalized and efforts to promote effective local governance can be enhanced.

2. What is gained from decentralizing the implementation of National AIDS Program?

A successful sub-national response will effectively coordinate and support (with NAC funds) local actors (civil society, public sector, private sector, and local authorities) in providing a full range of HIV/AIDS prevention, treatment, care and mitigation activities.

²¹ This issues discussed in this chapter have been adapted from *Local Government Responses to HIV/AIDS: A Handbook* which provides more detail and practical examples and tools for Local Government Responses to HIV/AIDS. See www.worldbank.org/urban/hiv/aids. Also available in French and Portuguese.

²² The lowest level of government where key sectors and elected representatives are represented. In many countries local governments are responsible for identifying and implementing local development planning.

²³ This topic will be dealt with in greater detail on Chapter 13 on Public Sector Response.

Table 16.1

Supporting Community Responses (by NGOs, CSOs, FBOs, Private Sector, etc.)	Coordinating Local Activities (by LG and/or DAC)	LA Own-activities (by LG)
<ul style="list-style-type: none"> • VCT • Prevention and advocacy • Home-based care • Legal support • Support to vulnerable groups (commercial sex-workers, truckers, youth) • Care for orphans and vulnerable households • Peer group support for PLWHA • Treatment for OI, ARVs • Income-generating activities 	<ul style="list-style-type: none"> • Identifying all AIDS service providers in local areas and ensure that there are adequate linkages and referrals between them • Conducting situation analysis to determine local priorities • Identifying gaps or overlaps in services • Developing a district HIV/AIDS plan that is coordinated with all decentralized line-ministries, and local government development plans. • Providing clear and transparent mechanisms for reporting of all activities • Improving the environment and opportunities for income-generating activities 	<ul style="list-style-type: none"> • Workplace policy for local government (including non-discrimination policy) • Peer education and prevention for municipal staff • Referral linkages to care and treatment for staff • Mainstreaming of HIV/AIDS activities into all departments (education, health, land, roads, etc.)

3. How many levels to a sub-national response?

Government often establish HIV/AIDS Committees or Councils at the following three levels under the auspices of a relevant government body:

- A National HIV/AIDS Council and its Secretariat (NAC/NAS) – top level, preferably under the office of the president or vice-president. NAC (through its secretariat or directly) may constitute HIV/AIDS committees at:
- A regional, divisional, or provincial level – middle level. This may be suitable for geographically large or populous countries; and may be under a subnational government body. For example, the regional government (Ethiopia) or provincial governor (Mozambique).
- A district (or sub-district level) – lower level, under the local government. For example, at Woreda (District level in Ethiopia).

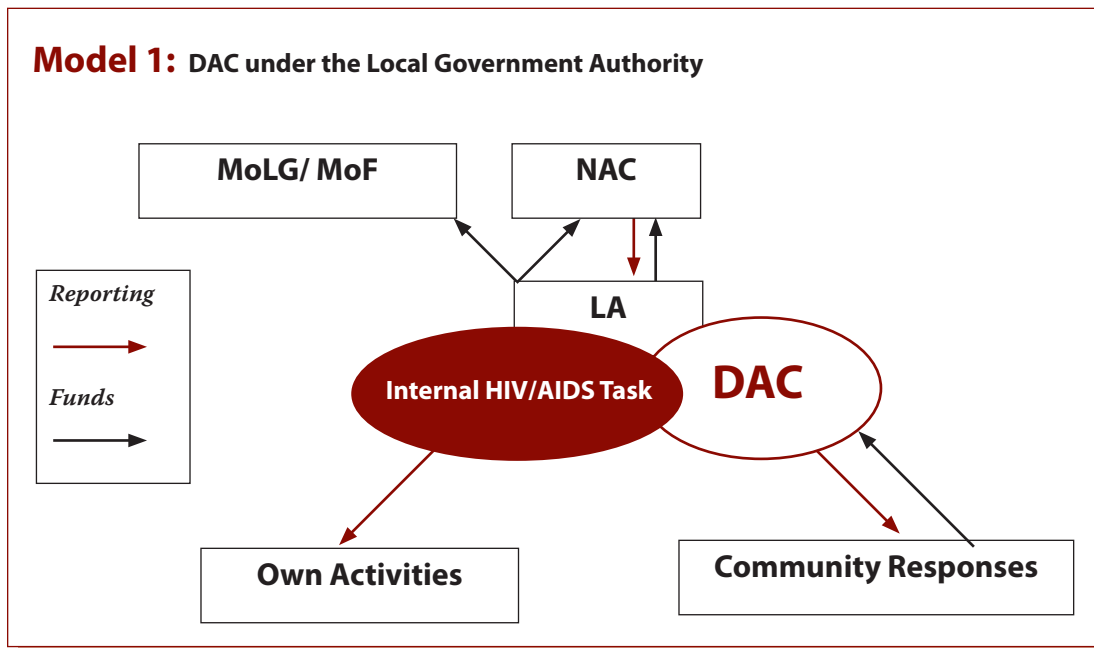
Normally, the sub-national committee should be established at the lowest level where all the following stakeholders are present.

- Existence of a local government body;
- Key ministry representatives present (for example, ministries of agriculture, education, and health);
- Presence of NGOs;
- Presence of Community Based Organizations.
- Lowest government level of formal planning and budgeting (e.g. District Development Plans)

4. How to structure the most local level of response: the District AIDS Committee²⁴ (DAC)?

In most cases, the establishment of a District-level HIV/AIDS Committee will be an important component of supporting sub-national responses. DACs may be coordinated by the local government, or they may be independent committees that operate under the NAC (or provincial level). The following three models illustrate different approaches to coordinating the sub-national response—but they each have the same mandate to support and coordinate local responses (refer to Box 16.1)

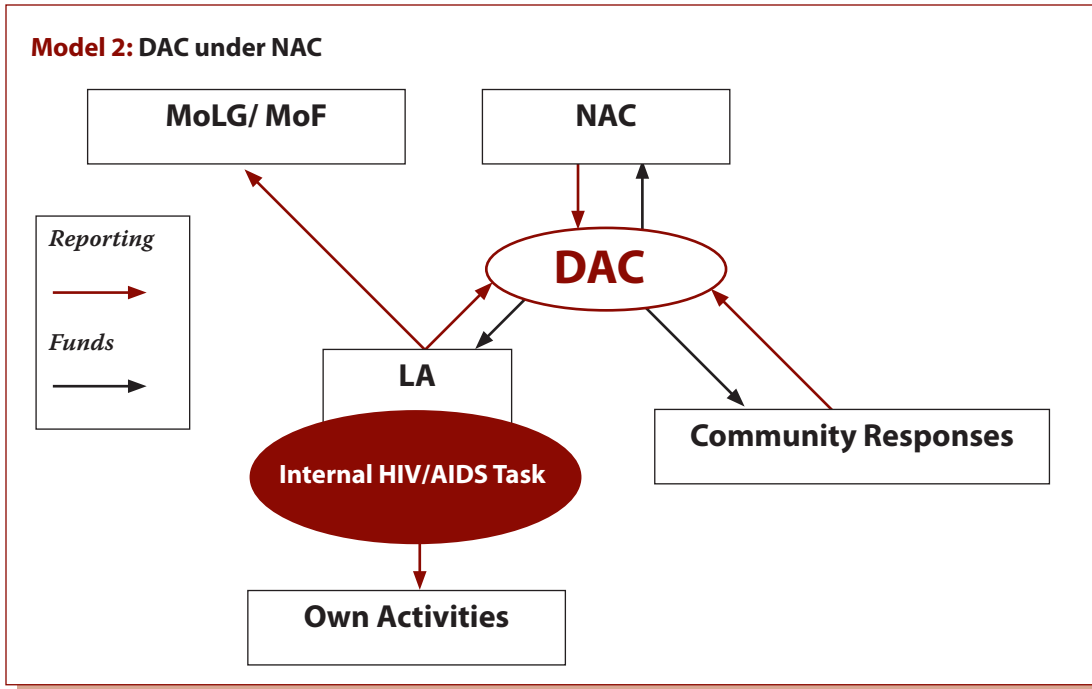
Funds through NAC to LGA to DAC. Local Government Authority coordinates sub-national responses to HIV/AIDS through DAC as planning and implementation mechanism. The DAC plans, coordinates and funds civil society’s responses. Funds for LGA’s own activities do not flow through the DAC but the sharing of planning processes and information is important.



In Model 1, the local government takes on the role of the primary conduit for sub-national funds (for community responses and own-activities). The DAC, in this scenario, is a multi-stakeholder committee that functions as a project-management unit (under the LGA) to coordinate the community responses. The Internal HIV/AIDS Task Team is comprised of focal points of local government departments and is responsible for coordinating the local government own-activities (workplace policy, mainstreaming, etc.). This model is the most advanced and most effectively integrated into existing local institutions and requires a local government that can carry out these functions or acquires the capacity quickly.

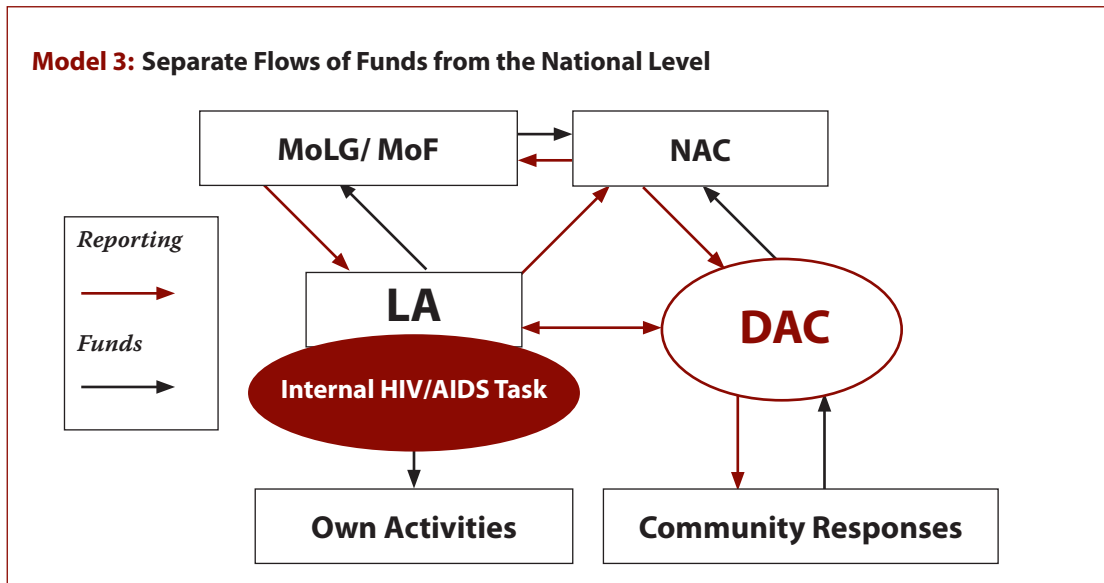
²⁴ The DAC is used here as a generic term to refer to the committee that is tasked with coordinating the lowest level of a sub-national response.

Funds through NAC to DAC which coordinates sub-national responses to HIV/AIDS. The DAC coordinates all activities funds go to DAC for civil society response and to Local Government Authority for its 'own-activities'.



In Model 2, the DAC is a multi-stakeholder committee that includes representatives from the local government, but functions as an independent project-management unit (under the NAC or Provincial level committee) to both coordinate community responses as well as review applications from and provide support to local authorities in carrying out their own-activities.

Funds flow from NAC to DAC for coordination and funding of civil society responses. Funds flow from MoLG/MoF to LGA for "own activities" under public sector response. DAC and LGA should liaise at local level through DAC.



In Model 3, there are two distinct funding streams—one for local authorities to conduct own-activities (funds likely channeled through the Public Sector Component of the NAC) and one for the DAC to coordinate community responses. This model is not ideal as activities may not be effectively coordinated between the DAC and the local government and deconcentrated public sector responses through Ministries are often slow and inefficient.

5. National support for sub-national responses

The following table summarized some of the key government and supporting institutions that may be involved in a decentralized response to HIV/AIDS.

Table 16.2

Government Institutions	Provide the policy framework and the structures to support decentralized responses
National AIDS Council	<ul style="list-style-type: none"> * Ensure that all levels of government are referenced and supported in the National AIDS Plan * Support or lead capacity building function for Local Governments that are taking on new responsibilities to address HIV/AIDS. Facilitate or lead partnership for capacity building activities. * Support development of clear guidelines for appraisal and reporting of all sub-projects * Clarify procedures and policies relating to funding streams for local authorities
Ministry of Local Government/ Urban Affairs	<ul style="list-style-type: none"> * Ensure that all LGA are encouraged to address HIV/AIDS as part of their mandate * Support procedures for local authorities to undertake impact assessments on HIV/AIDS * Coordinate and support frameworks of monitoring and evaluation (on HIV/AIDS and other topics) * Integrate HIV/AIDS into decentralized planning and capacity building activities (linked to intergovernmental transfers) * Identify and support capacity building needs of LGA in addressing HIV/AIDS
Local Government Authority	<ul style="list-style-type: none"> * Provide leadership in promoting HIV/AIDS initiatives, and fighting stigma * Establish workplace policy for local authorities * Conduct local situation analysis to identify local priorities and needs of local stakeholders * Mainstream HIV/AIDS into LGA activities (in each department) * Coordinate local responses (both in public sector as well as among civil society organizations) * Integrate HIV/AIDS into development planning and monitoring
Supporting Institutions	Provide support to decentralized responses (i.e. capacity building, information sharing, etc.)
Local Government Association	<ul style="list-style-type: none"> * Support networks for information sharing among local authorities addressing HIV/AIDS * Facilitate with MoLG, NAC and local authorities in addressing policy and capacity building issues relating to HIV/AIDS at local level
AMICAALL ²⁵	* Provide leadership and advocacy networks for mayors and possibly act as Lead Facilitator in Local Government Response (normally in alliance with LG Association)
Local Government Training Institutes	* Integrate modules on HIV/AIDS into existing trainings for local authorities
NGOs (that provide capacity building for LGAs)	* Support local authorities in addressing planning, management and coordination challenges in developing and implementing HIV/AIDS responses

²⁵ AMICAALL is the Alliance of Mayors' Initiative for Community Action on AIDS at the Local Level, an African regional organization, which provides assistance to local governments in Africa, inter alia, to establish HIV/AIDS programs that can be funded by internal resources or submitted for funding to external donors such as MAP. See www.amicaall.org

6. Capacity Building for sub-national responses

A key step in designing and supporting sub-national responses to HIV/AIDS is to identify at the outset an organization or individual that can act as a local coordinator/facilitator to provide the technical support to raise awareness in Local Governments, assist in planning HIV/AIDS programs and facilitate access to national funding and information sources, including NACs. (Assistance in establishing this facilitation may be requested from specialized organizations such as AMICAALL – see footnote 6.) As far as possible, this facilitator should be located in an organization with the mandate to build and monitor LG capacity on an ongoing basis, such as the Local Government Association or MoLG, and report to the NAC. Locating them in NAC is also a possibility. Funding for the facilitator would preferably come from the MoLG or LGA but NACs may need to finance this position in the short-term. Person should be sufficiently qualified and full-time.

7. What is expected of the District HIV/AIDS Committees or Councils?

Depending on what structure of sub-national response is used the functions of the DAC/LA will vary.

Functions for Community Responses & Local Coordination

- Develop consolidated district HIV/AIDS workplans that outline priority issues to be addressed, and include both civil society responses as well as decentralized public-sector activities and LGA own-activities.
- Work with other partners (e.g. Associations, MoLG, NAC) to identify sources of funding and technical assistance to elaborate local sub-projects and apply for funding from NAC/others
- Prepare and implement a transparent communication strategy on procedures (including no. days per step) for grant application and approval process.
- Identify and apply for capacity building support within the DAC, LGA, and CSOs. This may include elements of financial management and procurement, strategic planning, monitoring and evaluation, and proposal development.
- Appraise community subprojects to ensure that they meet minimum requirements (are they legitimate organizations, and are the services they are offering needed and cost-effective) and that basic financial management and procurement aspects are clear.
- Consolidate expenditure statements and preparation of periodic financial reports (also see Chapters 13 and 14 on financial management and disbursements).
- Collect and compile reporting from all grant recipients (from CSOs, and LGAs) and establish coordinated monitoring and evaluation. (see Box 16.2)

Functions for supporting Local government Own-Activities

- Support the development of an Internal HIV/AIDS Task team (comprised of focal points from each department)
- Develop guidelines for the development, submission and review of LG Own-Activity Workplans for Mainstreaming and Workplace Policy
- Integrate LG own-activities into District Development Planning (produced by LG for submission to MoLG/MOF) and/or district HIV/AIDS workplans (produced by DAC for submission to NAC)

Box 16.1: Procurement Management

The sub-national level committees would follow the procurement procedures set out by the government/NAC which have been agreed with the funding agencies during project preparation.

There are two types of procurement they would undertake:

- (a) procurement related to operational expenditures and consumables including hiring of consultant services, firms, NGOs and individuals
- (b) contract management of the community grant component. Also refer to Chapter 15 on procurement;

NOTE: The MAP resources from NAC/NAS level can be used to train sub-national committee personnel in the basics of procurement planning and management, including appraising and monitoring procurement activities carried out by subproject implementers

Note: If Local Authorities are to be the conduit of funds for community responses in addition to their own-activities, additional functions will be required.

Management Functions

Whether the DAC or the LGA is the central coordinating body, they will need to be able to do the following:

- Manage a bank account (for example, the district accountant, or an accountant hired under the project as an individual or through a financial management firm).
- Prepare periodic financial and activity monitoring reports (also see Chapters 19 and 20 on financial management and disbursements).
- Conduct simplified procurement management (see Box 16.1)

In order to effectively carry out the above tasks, the DAC and/or LA must have one or more permanent or semi-permanent staff whose TORs include these activities and where they are given some additional resource to support their activities. Overburdening voluntary members can affect morale, slow down activities and undermine project management. In addition, in many cases it may make sense to contract out certain activities to large NGOs or private sector partners (e.g. in Uganda, large NGOs are contracted to assist in the appraisal and reporting on community sub-contracts.)

8. Funding mechanisms for local governments

Box 16.2: MONITORING and EVALUATION

- All national and sub-national entities should be responsible to report periodically on three aspects of project implementation: (a) physical implementation; (b) financial status; and (c) monitoring of program activities;
- The frequency, content and format of the reports should be agreed during MAP preparation and revised as suitable during implementation;
- The sub-national HIV/AIDS committees should report on the activities carried out since the last report including financial statements, and on the subprojects processed and respective amounts disbursed.
- The Local Government Handbook provides a useful M&E checklist that can be used as a baseline for activity and process monitoring without the need for complex systems/data collection.

Various options for financing the capacity building and LG own-activities are available within the typical MAP component structure depending on the specific country. Under MAPs, LGs are fully eligible to (a) access funds from the Public Sector Component, and/or (b) access funds from the Grants Fund as the LGAs and DACs will include LG and Civil Society actors in their proposals. The latter usually allows for simplified fiduciary procedures which may have the flexibility appropriate for local governments.

9. Lessons learned and recommendations

- **Local Governments should move forward quickly** to prepare HIV-AIDS programs both for their own staff and families and for the many clients served by local governments. So clients may be served by local governments only while others require coordination with other agencies, particularly line ministries such as education and health.
- **A National partnership approach is necessary** for coordinating local responses and capacity building – Ministry of Local Government/Decentralization, Local Government Association (LGA), AMICAALL Chapter, NAC, Donors, others. A lead facilitator must be identified among the partners and adequately resourced and mandated to spearhead the program.

- AIDS focal points in local government should be full-time and adequately resourced. The preparation of HIV-AIDS program usually require a process of **social assessment and program preparation** that is best done through employing local, specialized consultants whose services can be funded under the MAP.
- **Local Partnership approach is important** – Local Governments work with communities and CSOs to implement LG program and coordinate among local AIDS service organizations in public and private sector.
- **All partners should collectively decide who should channel funds to civil society and who to LG for their own activities and how to coordinate information and planning (ie. Choice of Models)**
- Local Government work plans (especially for capacity building for mainstreaming and work place policies) should **be eligible for funding under NAP, distinct from national ministry plans**. The mainstreaming activities themselves could be funding through the DAC or Sector Programs (second best option).
- Different program and capacity building actions are required for Local Governments to act as **financial management agents who channel funds to civil society**. This note does not deal in detail with this approach.
- **LG M&E should be integrated into national LG compliance and monitoring system** and/or NAP M&E System.
- **Local politics may influence** the proposal review process as well as the control of funds. This can be mitigated by having broad stakeholder membership and ensuring open meetings and publicly available accounts.
- **There are cases where decentralization at all government levels has encouraged the establishment of 'briefcase' NGOs/CBOs with diverse motives**. NGOs/CBOs have to demonstrate basic commitment to HIV-AIDS activities and subproject management skills. Priority maybe given initially to scaling up activities of existing/experienced NGOs/CBOs;
- **An integrated communications strategy should be prepared and implemented among the decentralized agencies at all levels** (national, regional/provincial, district and village); this should inform potential applicants of all eligibility criteria, procedures and timeframes
- **A simple and clear fiduciary (financial and procurement) reporting system (2-3 pages maximum!) should be developed** and implemented before the financing of the sub-project proposals in order to ensure appropriate and reliable accountability without unnecessarily burdening local organizations. Capacity enhancement in this area is eligible for MAP funding.



See sub-manual (CD-ROM) on Local Government Responses to HIV/AIDS: A Handbook (CD-ROM)