Strategic Planning for HIV/AIDS

M1S2 Module 1, Session 2
Results-based Strategic Planning
STRATEGIC PLAN

• A framework for changing a specific situation which delineates priority areas for action and basic steps to go from here to there.
What is “strategic” in Strategic Planning?

• Planning the national HIV/AIDS strategy is a process through which a country expresses the fundamental principles, broad priorities and institutional framework that would guide the national response to HIV/AIDS.
What is “strategic” in Strategic Planning?

• A “strategic” HIV/AIDS strategy takes into account the underlying determinants of the epidemic and how they affect different social groups according to situations that change over time.
Evolution of HIV/AIDS Strategies

FROM: Broad Vision

Generic Response

Country-specific BUT Incomplete & under-resourced framework

Focusing on Results
Bank review shows:
Evidence base and prioritization weakest
Management and costing also weak

Source: World Bank, 2005
HIV Prevalence, Transmission Sources and Funding in one West African Country

- **Sex workers**
  - HIV prevalence: 78%
  - Transmission sources: 76%
  - Funding: .08%
- **General population**
  - HIV prevalence: 99.2%
  - Transmission sources: 24%
  - Funding: 0%

Sources: NACP, GAC, MAP, 2005
A good Strategic Plan can help decision-makers manage for results by being:

- Based on evidence of the evolution of the epidemic and its effects on specific population groups
- Addressing the root causes and modes of infection in the country
- Identifying specific results to be achieved, and actors’ responsibilities, and
- Explaining how the priority areas will be implemented, monitored, measured, and funded.
The Strategy Results Cycle
STRATEGY RESULTS CYCLE

1. Analyze HIV/AIDS and National Response Data
2. Identify Key National Outcomes & Priorities
3. Select Principal Program Areas
4. Implementation & process monitoring (inputs, outputs)
5. Select Interventions
6. Resource Needs, Funding
7. Evaluate Changes in Outcomes
8. Revise National HIV/AIDS Strategic Plan

Analyze HIV/AIDS and National Response Data

Identify Key National Outcomes & Priorities

Select Principal Program Areas

Implementation & process monitoring (inputs, outputs)

Select Interventions

Resource Needs, Funding

Evaluate Changes in Outcomes

Revise National HIV/AIDS Strategic Plan
STRATEGY RESULTS CYCLE

STRATEGIC PLAN

PRIORITY ZATION

Revise Strategic Plan

Evaluate Changes in Outcomes

Implementation & process monitoring (indicators, resource tracking)

Select Interventions

Resource Needs, Funding

Select Principal Program Strategies

Identify Key National Outcomes & Priorities

Analyze HIV/AIDS and National Response Data
Annual Action Plan
(budgeting, funding)

STRATEGY RESULTS CYCLE

Revise National HIV/AIDS Strategic Plan

Evaluate Changes in Outcomes

Implementation & process monitoring
(indicators, resource tracking)

Select Interventions
Resource Needs, Funding

Select Principal Program Areas

Identify Key National Outcomes & Priorities

Analyze HIV/AIDS and National Response Data
What is Managing for Results?

• Strategic planning and management that focuses on outcomes – rather than only on inputs and outputs.
• Management that is focused on improving performance.
• Using information to improve policy, programming and implementation towards achieving results.

The Results Chain

Goal (Long-term Impacts)

- Long-term, widespread improvement in society
  “Big picture” (longer-term strategy)

Outcomes

- Effects or behavior changes resulting from a strategic program

Outputs

- Products and services that need to be produced to achieve the expected outcomes

Activities

- What actually was done with the available resources to produce the intended outputs

Inputs

- Critical resources (expertise, equipment, supplies) needed to implement the planned activities

The Results Chain

Goal (Long-term Impacts)

Outcomes

Outputs

Activities

Inputs

RESULTS

MEASURABLE CHANGE

Elements of Results Based Management

Identify clear and measurable objectives.
Select indicators that will be used to measure progress towards each objective.
Set explicit targets for each indicator, used to judge performance.

Develop performance monitoring systems to regularly collect data on actual results.
Review, analyze and report actual results vis-a-vis the targets.

Use performance information for internal management accountability, learning and decision making processes, and also for external performance reporting to stakeholders and partners.

Source: A. Binnendijk. Results Based Management in the Development Cooperation Agencies. OECD/DAC, 2001
Analyze HIV/AIDS and National Response Data

STRATEGY RESULTS CYCLE

Revise National HIV/AIDS Strategic Plan

Analyze HIV/AIDS and National Response Data

Identify Key National Outcomes & Priorities

Select Principal Program Areas

Select Interventions

Resource Needs, Funding

Evaluate Changes in Outcomes

Implementation & process monitoring (inputs, outputs)
Key Question – Prevention example

• How will you prevent the next 1000 HIV infections in your country?
• What do you need to know?
  1. Understand the epidemic (where would the infections occur?)
  2. Understand the determinants of the current incidence (what can be influenced that will change the expected prevalence?)
  3. Understand current response (what is already being done, what remains?)
prevalence

PLHA

determinants of incidence

Current response: prevention

incidence

Current response: care and treatment

prevalence

death

Current response: prevention
1. Understand the epidemic

– What is the nature of the epidemic in the country?
  • By sex
  • By subgroups
  • By region

– What is evolution of the epidemic?
  • Past, current and future prevalence
  • Where have the last 1000 infections occurred?
  • Who is at greatest risk?
## Prevalence and incidence

<table>
<thead>
<tr>
<th>population</th>
<th>number screened</th>
<th>positive</th>
</tr>
</thead>
<tbody>
<tr>
<td>Wealthy community</td>
<td>2000</td>
<td>200</td>
</tr>
<tr>
<td>Poor community</td>
<td>2000</td>
<td>120</td>
</tr>
</tbody>
</table>

- **Wealthy community**
  - Population: 2000
  - Number screened: 2000
  - Positive prevalence: 200 (10%)
  - Incidence: 4 cases / yr
  - Duration: 25 yr

- **Poor community**
  - Population: 2000
  - Number screened: 2000
  - Positive prevalence: 120 (6%)
  - Incidence: 20 cases / yr
  - Duration: 3 yr

Prevention  
Care and treatment
HIV INFECTION IN ZAMBIA

General Population – 92%

Sex Workers – 6%

Soldiers – 2%

Sources: Shields et al, 2004
HIV INFECTION IN RUSSIA

- Maternal: 2%
- MSM: 1%
- IDU: 92%
- Hetero: 5%

Source: Russian Federal AIDS Center, 2002
HIV INFECTION IN MEXICO

Sources: Padian and Bertozzi, 2005

- Homo-bisexual: 55%
- Heterosexual: 32%
- Blood transfusion: 6%
- Perinatal: 2%
- IDU: 1%
- Hemophilia: 4%

Sources: Padian and Bertozzi, 2005
2. Determinants of current incidence

– Prevalence
– Behaviour
  – Social
  – Cultural
  – Policy
  – Economic
3. Current national response

– What? (which interventions are being implemented)
– For whom?
  – Subgroups
  – Regions
  – Sex
– How much?
  – Coverage
  – Efficiency
– How well?
  – Quality
  – How effective have recent interventions been in achieving their outcomes?

-- By whom
  -- State
  -- Private
-- NGO/Civil Society
Where do the data come from?

– Prevalence data
  – *Surveillance*
– Determinants of incidence
  – *Behavioural surveys, analysis of prevalent cases*
– Programmatic response
  – *Process monitoring, sources and uses of funds*
– Changes in outcomes
  – *M&E system*
Data Collection Methods and Instruments

Consider cost, time, and expertise requirements

Informal/Less Structured Methods

More Structured/Formal Methods

Changing the future

- Strategic Planning in HIV/AIDS is intended to change the future of the epidemic in a country.
- How can we help policy-makers pick the package of interventions that has the greatest impact in changing that future?
  - How can the available data be used to describe the future that would occur in absence of an effective program?
  - How can we simulate how that future would change with different packages of interventions – so that we can recommend the one that gives greatest value for money?
STRATEGY RESULTS CYCLE

Revise National HIV/AIDS Strategic Plan

Analyze HIV/AIDS and National Response Data

Identify Key National Outcomes & Priorities

Select Principal Program Areas

Select Interventions

Resource Needs, Funding

Evaluate Changes in Outcomes

Implementation & process monitoring (inputs, outputs)
Identify Key National Outcomes & Priorities

- The situation analysis should provide the basis for deciding on key national outcomes and priorities:
  - Expected outcomes are based on the long-term impacts you want to achieve
  - Expected outcomes should inform definition of your principal program areas
Measuring the Performance of the National HIV/AIDS Strategy

• Once the priorities and outcomes are identified, how should performance be measured?

• Performance of the HIV/AIDS strategy is measured through **outcome indicators**.
  – For each indicator identify:
    • a **baseline** (what is the value now), and
    • performance **targets**
      – what **value** should one aim to achieve by what **date**
STRATEGY RESULTS CYCLE

Select Principal Program Areas

Evaluate Changes in Outcomes

Analyze HIV/AIDS and National Response Data

Revise National HIV/AIDS Strategic Plan

Identify Key National Outcomes & Priorities

Select Interventions

Resource Needs, Funding

Select Principal Program Areas

Implementation & process monitoring (inputs, outputs)
Program Areas

• Core Program Areas
  ▪ HIV Prevention aimed at key drivers
  ▪ AIDS Treatment, Care and Support
  ▪ Enabling environment
  ▪ Impact Mitigation (OVC)

• Crosscutting Program Areas
  ▪ Management of the national response (policy, legal and institutional frameworks)
  ▪ Monitoring and Evidence Building (surveillance, research, information systems)
  ▪ Capacity Building (human resources, infrastructure)
Prioritization is critical among program areas

- Political and policy process to decide on broad relative priority among program areas (treatment-prevention, adults-children, men-women, etc…)
- Informed by
  - Evidence
  - Preferences
Select Interventions
Resource Needs, Funding

STRATEGY RESULTS CYCLE

Revise National HIV/AIDS Strategic Plan

Analyze HIV/AIDS and National Response Data

Identify Key National Outcomes & Priorities

Select Interventions
Resource Needs, Funding

Implementation & process monitoring (inputs, outputs)

Evaluate Changes in Outcomes
Select Interventions

**Interventions** (activities) are implemented to produce **outputs** which contribute to the desired **outcomes** in each program area.
To achieve the desired outcomes of the Treatment Program Area interventions could include:

• Building and renovating treatment clinics
• Education and training of providers
• Training community monitoring of discrimination in health services
• Equipping diagnostic laboratories
• Drug supply chain strengthening
• Providing ART and OI drugs to public clinics
• Funding Adherence support interventions and self-help groups
• Monitoring drug resistance and survival
Select Interventions

• Interventions are inter-dependent – especially for care and treatment.
  – ability to support adherence depends upon having patients in treatment,
  – ability to treat depends upon drug supply...

• Relative importance of different interventions is a function of how much they will contribute to the outcome (effectiveness) and how much they cost
STRATEGY RESULTS CYCLE

STRATEGIC PLAN
PRIORITIZATION

Evaluate Changes in Outcomes

Implementation & process monitoring (indicators, resource tracking)

Select Interventions
Resource Needs, Funding

Revise Strategic Plan

Analyze HIV/AIDS and National Response Data

Identify Key National Outcomes & Priorities

Select Principal Program Strategies
STRATEGY RESULTS CYCLE

Implementation & Process Monitoring

- Analyze HIV/AIDS and National Response Data
- Identify Key National Outcomes & Priorities
- Select Principal Program Areas
- Select Interventions
- Resource Needs, Funding
- Evaluate Changes in Outcomes
- Revise National HIV/AIDS Strategic Plan
Data for Managing for Results

• Specify how to monitor:
  • Intervention Inputs
  • Intervention Outputs
    • Quantity, Coverage & Quality
• Specify how to process, analyze and report
Evaluate Changes in Outcomes

STRATEGY RESULTS CYCLE

Revise National HIV/AIDS Strategic Plan

Analyze HIV/AIDS and National Response Data

Identify Key National Outcomes & Priorities

Select Principal Program Areas

Select Interventions

Resource Needs, Funding

Implementation & process monitoring (inputs, outputs)

Evaluate Changes in Outcomes
What is the problem?
- Situation Analysis and Surveillance

What are the contributing factors?
- Determinants Research

What interventions and resources are needed?
- Needs, Resource, Response Analysis & Input Monitoring

What interventions can work (efficacy & effectiveness)?
- Special studies, Operations research, Formative research & Research synthesis

What are we doing?
- Process Monitoring & Evaluation, Quality Assessments

Are we implementing the program as planned?
- Outputs Monitoring

Are interventions working/making a difference?
- Outcome Evaluation Studies

Are collective efforts being implemented on a large enough scale to impact the epidemic?
- Surveys & Surveillance

Are we doing them right?
- Monitoring & Evaluating National Programs

Are we doing them on a large enough scale?
- Determining Collective Effectiveness

Revise HIV/AIDS Strategic Plan

**Implementation & process monitoring**
(inputs, outputs)

- Select Interventions
- Resource Needs, Funding

**Analyze HIV/AIDS and National Response Data**

- Identify Key National Outcomes & Priorities

Evaluate Changes in Outcomes

Revise National HIV/AIDS Strategic Plan
SUMMARY MESSAGES:
A Results Based HIV/AIDS Strategy

1. Helps formulate and justify budget requests
2. Helps allocate resources
3. Monitors the performance of contractors and grantees
4. Helps provide services more efficiently
5. Triggers in-depth examinations of performance issues
6. Responds to demands for accountability
7. Builds public trust
The broad strategic plan then needs to be translated into annual action plans

- (re)Allocation among interventions
- Learning from previous cycle
- Budget constraints
- Operational responsibility
- Monitoring tasks
MODULE SUMMARY:
Take Home Messages

1. A Strategic plan is a living document. It can and should be revised as needed during implementation as may be suggested by monitoring data and research findings.

2. Strategic planning is not a linear process. It involves a series of phases -as shown in the Results Cycle- which overlap.

3. By using evidence, the strategy planning process creates demand for quality information.
Workshop Structure

– JM1 Introduction to Workshop
– JM2 Situation Analysis & SAT
– M1 Introduction to RB Strategic Planning
– M2 Monitoring & Evaluation
– M3 Epidemiology & Demographic Modeling
– M4 Economic Evaluation, Costing & Resource Needs Modeling
– M5 Harmonization & Alignment
– M6 Priority Setting & Resource Allocation Modeling
– M7 Financial Planning
– M8 Operational planning – Introduction & Overview
STRATEGY RESULTS CYCLE

Formulate/Revise HIV/AIDS Strategy

Analyze HIV/AIDS and National Response Data

Identify Key National Outcomes & Priorities

Select Principal Program Strategies

Select Interventions

Resource Needs, Funding

Implementation & process monitoring (indicators, resource tracking)

Evaluate Changes in Outcomes

JM2 Situation Assessment, SAT
STRATEGY RESULTS CYCLE

Formulate/Revise HIV/AIDS Strategy

Analyze HIV/AIDS and National Response Data

Identify Key National Outcomes & Priorities

Select Principal Program Strategies

Select Interventions

Resource Needs, Funding

M2 Monitoring and Evaluation

Implementation & process monitoring (indicators, resource tracking)

Evaluate Changes in Outcomes
Analyze HIV/AIDS and National Response Data

STRATEGY RESULTS CYCLE

Formulate/Revise HIV/AIDS Strategy

Evaluate Changes in Outcomes

M3 Epidemiology and Demographic Modeling

Select Principal Program Strategies

Identify Key National Outcomes & Priorities

Select Interventions

Resource Needs, Funding

Implement & process monitoring (indicators, resource tracking)

Analyze HIV/AIDS and National Response Data

Identify Key National Outcomes & Priorities

Select Principal Program Strategies
Analyze HIV/AIDS and National Response Data

STRATEGY RESULTS CYCLE

Formulate/Revise HIV/AIDS Strategy

Evaluate Changes in Outcomes

Implementation & process monitoring (indicators, resource tracking)

M4 Econ Eval Costing, RNM

Select Interventions

Select Principal Program Strategies

Identify Key National Outcomes & Priorities

Analyze HIV/AIDS and National Response Data

Resource Needs, Funding
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Implementation & process monitoring (indicators, resource tracking)

Evaluate Changes in Outcomes

M5 Harmonization & Alignment

Revise Strategic Plan

Select Interventions
Resource Needs, Funding

Select Principal Program Strategies

Identify Key National Outcomes & Priorities

Analyze HIV/AIDS and National Response Data

STRATEGY RESULTS CYCLE
Implementation & process monitoring (indicators, resource tracking)

M6 Priority Setting & GOALS

Evaluate Changes in Outcomes

Revise Strategic Plan

Analyze HIV/AIDS and National Response Data

Identify Key National Outcomes & Priorities

Select Principal Program Strategies

Select Interventions

Resource Needs, Funding

STRATEGY RESULTS CYCLE
Implementation & process monitoring (indicators, resource tracking)

Revise National HIV/AIDS Strategic Plan

Evaluate Changes in Outcomes

M7 Financial Planning

Select Interventions

Resource Needs, Funding

Analyze HIV/AIDS and National Response Data

Identify Key National Outcomes & Priorities

Select Principal Program Areas
Implementation & process monitoring (indicators, resource tracking)

Revise National HIV/AIDS Strategic Plan

Evaluate Changes in Outcomes

M8 Operational Planning, Intro

Select Interventions

Resource Needs, Funding

Analyze HIV/AIDS and National Response Data

Identify Key National Outcomes & Priorities

Select Principal Program Areas
Implementation & process monitoring (indicators, resource tracking)

Evaluate Changes in Outcomes

M9 Operational Planning, Framework & M&E

Revise National HIV/AIDS Strategic Plan

Select Interventions

Resource Needs, Funding

Analyze HIV/AIDS and National Response Data

Identify Key National Outcomes & Priorities

Select Principal Program Areas
Implementation & process monitoring (indicators, resource tracking)

 Evaluate Changes in Outcomes

 M10 Harmonization & Management

 Revise National HIV/AIDS Strategic Plan

 Analyze HIV/AIDS and National Response Data

 Identify Key National Outcomes & Priorities

 Select Interventions

 Resource Needs, Funding

 Select Principal Program Areas