Strategic Planning for HIV/AIDS

M1S2 Module 1, Session 2

Results-based Strategic Planning
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 Interventions

Resource Needs, Funding

Evaluate Changes in Outcomes

Revise National HIV/AIDS Strategic Plan

Select Principal Program Areas

Implementation & process monitoring (inputs, outputs)
STRATEGY RESULTS CYCLE

Evaluate Changes in Outcomes

Implementation & process monitoring (indicators, resource tracking)

STRATEGIC PLAN PRIORITIZATION

Revise Strategic Plan

Select Principal Program Strategies

Select Interventions

Resource Needs, Funding

Identify Key National Outcomes & Priorities

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**
- **Implementation & process monitoring (indicators, resource tracking)**
- **Evaluate Changes in Outcomes**
- **Annual Action Plan (costing, funding)**

**Implementation & process monitoring (indicators, resource tracking)**

- **Select Interventions**
- **Resource Needs, Funding**

**Evaluate Changes in Outcomes**

**Annual Action Plan (costing, funding)**
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

- Long-term, widespread improvement in society
- “Big picture” (country longer term strategy)
- Effects or behavior changes resulting from a strategic program
- Products and services that need to be developed to achieve the expected outcomes
- What actually was done with the available resources to produce the intended outputs
- Critical resources (expertise, equipment, supplies) needed to implement the planned activities

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.

Integrate evaluations to complement performance.
Use performance information for internal management accountability, learning and decision making processes, and also for external performance reporting to stakeholders and partners.
Analyze HIV/AIDS and National Response Data

STRATEGY RESULTS CYCLE

Revise National HIV/AIDS Strategic Plan

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Key Question – Prevention example

• How will you prevent the next 100 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?)
determinants of the current incidence

Current response: prevention

Current response: care and treatment

prevalence

PLHA

Death
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 100 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>

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%
Hemophilia: 4%
IDU: 1%
Reported AIDS Cases by Transmission Category in CAREC Member Countries 1982 - 2003

- Heterosexual: 58%
- Unknown: 17%
- Homo/Bisexual: 13%
- Other: 4.9%
- IVD: 1.5%
- Blood Transf.: 0.3%
- Paediatric Cases: 6%
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?
- How well?
  - Quality
    - How effective have recent interventions been in achieving their outcomes?
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

- Conversation with concerned individuals
- Community Interviews
- Field visits
- Key informant interviews
- Focus Group Interviews
- Participant Observation
- Reviews of official records (MIS and admin data)
- Direct observation
- Questionnaires
- One-Time Survey
- Panel Surveys
- Field experiments
- Impact Evaluation
- Census

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
Select Principal Program Areas

STRATEGY RESULTS CYCLE

Select Principal Program Areas

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Implementation & process monitoring (inputs, outputs)

Revise National HIV/AIDS Strategic Plan
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)
Program Areas

• 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

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Evaluate Changes in Outcomes

STRATEGY RESULTS CYCLE
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
Select Critical Interventions for each Program - Cost Them – Identify Resources 2 of 2

• The final decision on the selection of interventions are based on key information on:
  – Cost assessments on the proposed interventions as a guide to inform the resources needed and
  – An evaluation of these resource needs against:
    • Funding and other resources available
    • Other Priorities
Implementation & process monitoring (indicators, resource tracking)

STRATEGIC PLAN

STRATEGY RESULTS CYCLE

Revise Strategic Plan

Evaluate Changes in Outcomes

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Select Principal Program Strategies

Select Interventions

Resource Needs, Funding

STRATEGIC PLAN PRIORITIZATION
Select Interventions
Resource Needs, Funding

Knowing the Status of the Epidemic is Important for Programming and the Allocation of Resources for Selected interventions

- In the 1990s, Ethiopia believed their HIV/AIDS epidemic to be generalized and thus invested heavily in treatment.

New evidence later showed that Ethiopia’s epidemic is concentrated around sex workers. The strategy needed to be revised to ensure prevention activities were funded to achieve high coverage of sex workers and their clients.

Note: The adults aged 15-49 HIV prevalence rate in Ethiopia is 0.9-3.5%.

Source: UNAIDS 2006 Report
Lessons Learned from Ethiopia

• Evidence helped adjust the HIV/AIDS national strategy and achieve better results
• Data were collected on HIV trends and patterns
• Ethiopia was proactive and consulted the evidence
• Ethiopia used the evidence for sound decision-making and allocation of resources
Implementation & Process Monitoring

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

Select Principal Program Areas

Evaluate Changes in Outcomes

Implementation & process monitoring (inputs, outputs)
Data for Managing for Results

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

Implementation & process monitoring (inputs, outputs)

Select Interventions
- Resource Needs, Funding

Identify Key National Outcomes & Priorities

Analyze HIV/AIDS and National Response Data

Revise National HIV/AIDS Strategic Plan
Evaluate Changes in the Epidemic by Asking Fundamental Questions

“Why” Questions – What caused the changes in the epidemic? Causality is difficult to determine

“How” Questions – What was the sequence or processes that led to successful (or not) outcomes of the national HIV/AIDS response?

“Compliance/Accountability Questions” – Did the promised activities actually take place and as they were planned?

Process/Implementation Questions Was the implementation process followed as anticipated, with what consequences? At what cost?

Source: Adapted from J. Kusek and R. Rist, 2004.
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? (coverage; impact)
- Surveys & Surveillance

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

Are we doing them on a large enough scale?

After identifying the fundamental questions to be studied, choose the type of evaluation most appropriate to answering the questions.

**Evaluation and Research**

**Types of Evaluation:**
- Program performance
- Implementation Process
- Impact of interventions
- Case analysis
- Synthesis study
- Epidemiological and behavioral surveys
- Cost effectiveness analysis
- Client satisfaction
DECLINING HIV PREVALENCE IN THE CARIBBEAN

Review the graph with the two data points and explain:

- Possible rational for the decrease in HIV prevalence.

- Key messages that matter at the national level.

- Implications for national and international partners.
Revise HIV/AIDS Strategic Plan

STRATEGY RESULTS CYCLE

Revise National HIV/AIDS Strategic Plan

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Select Principal Program Areas

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Evaluate Changes in Outcomes

Implementation & process monitoring (inputs, outputs)
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. Information is more likely to be used when results are analyzed and findings are synthesized and reported.

4. By using evidence, the strategy planning process creates demand for quality information.

5. Strategic planning is about using evidence and focused on results that address the realities of the epidemic.
Workshop Structure

– M0 Introduction to workshop
– M1 Introduction to Strategic planning
– M2 Monitoring and Evaluation
– M3 Epidemiology and Demographic Modeling
– M4 Costing, Cost-Effectiveness Analysis, Resource Needs Modeling
– M5 Priority Setting & Resource Allocation Modeling
– M6 Financial Planning
STRATEGY RESULTS CYCLE

Formulate/Revise HIV/AIDS Strategy

Evaluate Changes in Outcomes

M2 Monitoring and Evaluation

Select Interventions

Resource Needs, Funding

Select Principal Program Strategies

Identify Key National Outcomes & Priorities

Analyze HIV/AIDS and National Response Data

Implementation & process monitoring (indicators, resource tracking)
Analyze HIV/AIDS and National Response Data

**STRATEGY RESULTS CYCLE**

- Select Principal Program Strategies
- Select Interventions
- Resource Needs, Funding
- Identify Key National Outcomes & Priorities
- Implementation & process monitoring (indicators, resource tracking)
- Evaluate Changes in Outcomes
- Formulate/Revise HIV/AIDS Strategy
- M3 Epidemiology and Demographic Modeling
- Analyze HIV/AIDS and National Response Data

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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

M4 Costing, CE Analysis, RNM

Evaluate Changes in Outcomes

Implementation & process monitoring (indicators, resource tracking)
Analyze HIV/AIDS and National Response Data

STRATEGY RESULTS CYCLE

Formulate/Revise HIV/AIDS Strategy

Evaluate Changes in Outcomes

M5 Priority Setting & GOALS

Select Interventions

Resource Needs, Funding

Select Principal Program Strategies

Identify Key National Outcomes & Priorities

Analyze HIV/AIDS and National Response Data

Implementation & process monitoring (indicators, resource tracking)
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)

M6 Financial Planning

Select Interventions

Resource Needs, Funding

Identify Key National Outcomes & Priorities

Select Principal Program Strategies