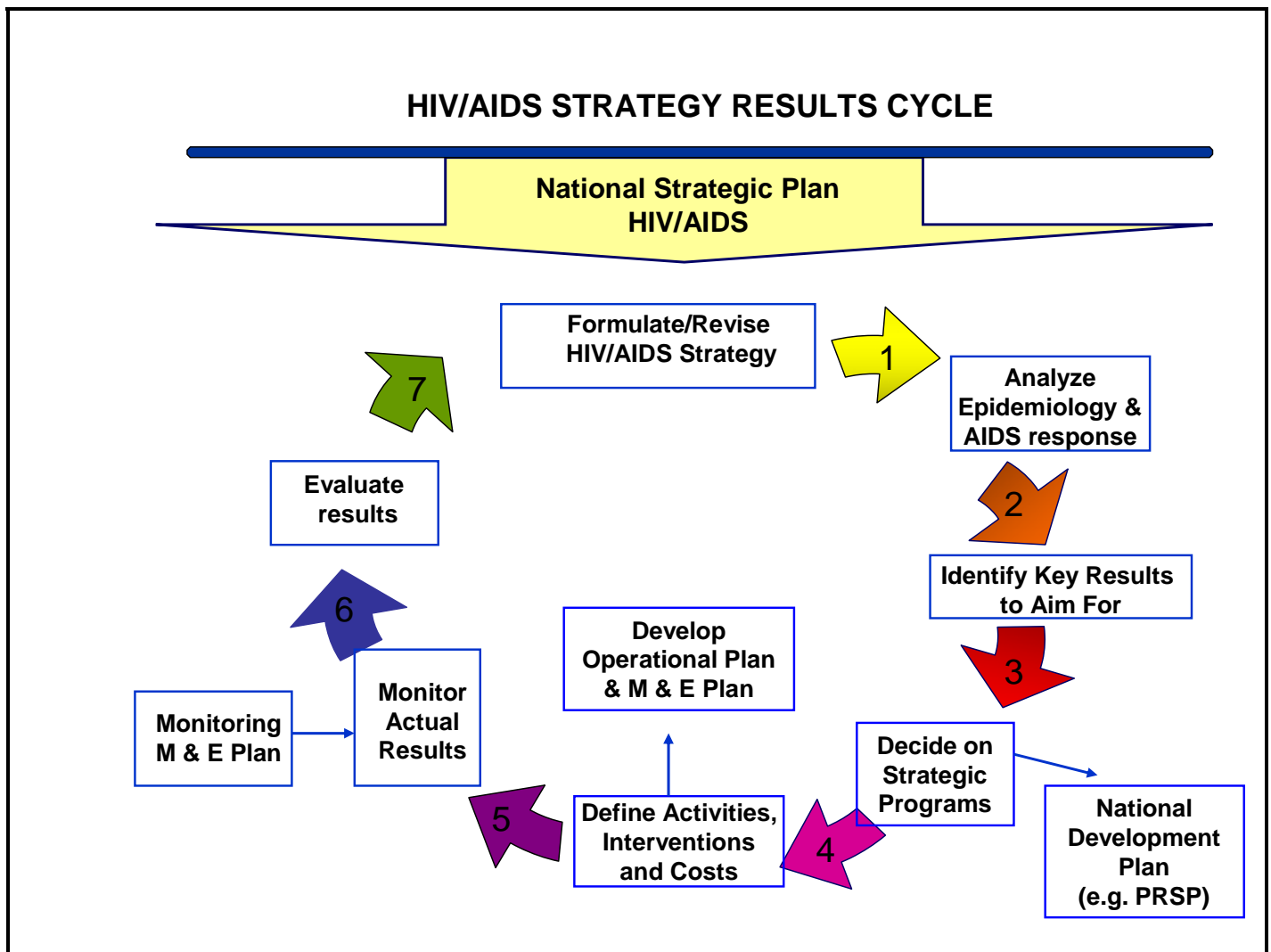


KEY STEPS IN PREPARING A NATIONAL STRATEGIC PLAN (Draft Document for Discussion)

Note: This document is a draft document that is being circulated to elicit comments and discussion. For this reason, it should not be viewed as an official document of the World Bank.

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. A broad overview of the process is illustrated in the chart below. It starts first with the identification of the key results that the National Strategy aims to achieve, and it ends with an analysis of the results the strategy has actually achieved. This results cycle is summarized in a number of key steps. Each step includes a reference to the specific sections in the attached table that provides more details on what may be required, depending on the situation of each country.



KEY STEPS IN PREPARING A NATIONAL STRATEGIC PLAN

I. Setting up the process

- Step 1** Determine **who** will be involved in developing the National Strategic Plan (NSP) strategy and **how** (sections 1.1 to 1.2; 9.8)
- Step 2** Establish **links** with other planning processes (section 4.3)
- Step 3** Establish **a road map**
 - Establish time table
 - Plan for validation workshops of key steps

II. Prepare for the Strategy

- Step 4** Carry out **preparatory work** as needed (sections 2.1 to 2.4 and 5.5)
- Step 5** Strengthen **capacity** for results-based planning (section 3.0)

III. Identify Key Objectives, Results and Indicators of Strategy

- Step 6** Identify the **broad objectives** of the strategy (sections 4.1;4.2)
- Step 7** Identify the **key results** obtained from each of the strategic programs (section 5.2)
- Step 8** Identify the **strategic programs** for attaining the desired results (sections 5.3-5.4)
- Step 9** Define **interventions** and estimate **cost** of strategy (sections 9.1-9.2)
 - Launch preparation of Operational Plan (section 9)

IV. Plan for Analyzing and Using the Data

- Step 10** Identify **data sources and data collection** procedures for each indicator
 - Prepare revision of M&E Plan (sections 10.1-10.4)
- Step 11** Indicate how the results will **be used** for managing the AIDS response and revising the strategy (section 9.4)

IV. Finalize National Strategic Plan

- Step 12** Carry out validation workshops (sections 11)
- Step 13** Disseminate widely NSP, Operational Plan and revised M&E (section 12)

PREPARATION OF NATIONAL STRATEGIC PLAN FOR HIV/AIDS (Including Operational Plan and Revision of Monitoring and Evaluation Plan)

Note: National Strategic Plan. Core activities are coded yellow

Operational Plan: core activities are coded green

M&E Plan (assuming a plan already exists). Core activities are coded blue

	KEY STEPS	Time; Activity
1.	LAUNCHING OF PROCESS	One month
1.1	<ul style="list-style-type: none"> ○ Identify the objectives of the Plan and its alignment/links with other national development plans (PRSP, health sector plan and others) 	Core NSP
1.2	<ul style="list-style-type: none"> ○ Outline the methodology and the process to be followed, including: <ul style="list-style-type: none"> ○ Establish who will coordinate the preparation of the Plan (National AIDS Authority or other) ○ Establish the role and composition of strategic planning committee <ul style="list-style-type: none"> ▪ Ensure the participation of all relevant government ministries, including non-health ministries ▪ Provide for full and effective participation of PLWHAs in all aspects of strategic planning ▪ Provide for representation of international development partners, civil society, and private sector ▪ Provide for clear role and responsibilities of members ○ Establish the role and composition of technical working groups (responsible for formulating the strategy) ○ Assign institutional responsibility for related tasks: costing of strategy, preparation of Operational Plan and revision of M&E Plan) <ul style="list-style-type: none"> ▪ Identify technical assistance if needed ▪ Identify possible sources of financing ▪ TOR for consultants, and hiring of consultants (if needed) for subsequent steps ○ Establish role of participatory process <ul style="list-style-type: none"> ▪ Agreement that setting and monitoring of targets will be done with civil society and PLWHA ▪ Establish institutional mechanism for consultation with civil society, local governments, development partners ▪ Plan for developing partnerships (especially with business coalitions) ▪ Establish role of Partnership Forum (where it exists) or other development partners groups 	Core NSP

	KEY STEPS	Time; Activity
2.	ASSESSMENT OF HIV/AIDS SITUATION AND RESPONSE	One month
2.1	<ul style="list-style-type: none"> ○ Situation analysis <ul style="list-style-type: none"> ○ Analysis of epidemic trends and changing patterns, including population groups who are driving the epidemic ○ Assess quality of previous strategy in terms of clarity of objectives, priorities and indicators ○ Review quality and type of data needed: <ul style="list-style-type: none"> ▪ Does the M&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 concerning key target groups, especially high risk groups? Identify links with M&E Plan. ○ Carry out institutional assessment of M&E system <ul style="list-style-type: none"> ▪ Does the unit responsible for managing the M&E system have sufficient staff and budget? ▪ Do all stakeholders use the same M&E system? ▪ Is the data used to guide programming priorities? 	Core NSP
2.2	<ul style="list-style-type: none"> ○ Analysis of HIV/AIDS response <ul style="list-style-type: none"> ○ Carry out detailed review of achievements and shortcomings of previous National Strategic Plan/Programs ○ Review socio-economic factors, cultural and technological constraints, and particularly risk and vulnerability factors ○ Provide implications and recommendations for new strategy 	Core NSP
2.3	<ul style="list-style-type: none"> ○ Carry out institutional assessment of AIDS response <ul style="list-style-type: none"> ○ Institutional assessment of National AIDS Authority <ul style="list-style-type: none"> ▪ Is the mandate of the National AIDS Authority clear? ▪ Can the National AIDS Authority coordinate the management of the AIDS response? ▪ Does it have the needed human resources (especially for coordination and M&E)? ○ Institutional assessment of other key actors <ul style="list-style-type: none"> ▪ Do local authorities, civil society and NGOs have the capacity to implement the HIV/AIDS response? ○ Assessment of financial and disbursement systems <ul style="list-style-type: none"> ▪ Transparency of systems; speed of disbursements; auditing ○ Summarize institutional strengthening capacity (including technical assistance) that may be needed 	Core NSP

	KEY STEPS	Time; Activity
2.4	<ul style="list-style-type: none"> ○ Assess human and infrastructure constraints that affect AIDS response (need for assessment depends on country situation) <ul style="list-style-type: none"> ○ Assess health sector human requirements for scaling up the AIDS response ○ Assess infrastructure barriers to scaling up antiretroviral treatment, such as lack of health infrastructure (e.g. HIV testing sites) 	Background work
3.	STRENGTHENING OF INSTITUTIONAL PLANNING CAPACITY	2 weeks
	<ul style="list-style-type: none"> ○ Plan for a results-based strategy that links results, programs and targets <ul style="list-style-type: none"> ○ Provide training workshop (three days) concerning the development of a results framework ○ Technical working groups to prepare short briefs to help determine the key results that the new strategy is expected to achieve. 	Core NSP
4.	DRAFTING OF CONCEPT NOTE	2 weeks
4.1	<ul style="list-style-type: none"> ○ Outline HIV/AIDS strategy 	Core NSP
4.2	<ul style="list-style-type: none"> ○ Define key results to be expected from strategy <ul style="list-style-type: none"> ○ Results could be defined in terms of universal access for prevention, treatment, care and support; but they need to be adapted to the specific situation of country and time frame for achieving them needs to be specified. ○ 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 the outline of alternative scenarios (for example, one based on past trends and one based on rapid scaling up of AIDS response made possible by increased financial support). 	Core NSP
4.3	<ul style="list-style-type: none"> ○ Indicate links with other strategies <ul style="list-style-type: none"> ○ How is HIV/AIDS strategy informed by other sector plans (such as health sector plans)? ○ How it reflects and reinforces the achievement of the national development goals of the country as reflected for example in PRSPs (such as poverty reduction, human capacity development, etc.). 	Core NSP

	KEY STEPS	Time; Activity
5.	PREPARATION OF DRAFT OUTLINE OF STRATEGY	2 months
5.1	<ul style="list-style-type: none"> ○ Strategic objectives and priorities <ul style="list-style-type: none"> ○ Indicate the broad objectives of the strategy, including its links with other national objectives (as reflected in PRSP, Millennium Development Goals, etc.) ○ Setting of priorities should be informed by: <ul style="list-style-type: none"> ▪ situation analysis of epidemiology (section 2) ▪ relative cost effectiveness of various interventions ▪ equity issues (such as access by the poor to services) 	Core NSP
5.2	<ul style="list-style-type: none"> ○ Key results of strategy <ul style="list-style-type: none"> ○ Results should be measured at the program level as opposed to the level of activities. <ul style="list-style-type: none"> ▪ As much as possible results should be quantifiable (so as to know whether programs are achieving their stated goals), but qualitative indicators may also have to be used. ▪ Number of targets should be limited to one or two key targets for each of the three major program areas (prevention, treatment, care and support). ▪ How targets will be measured should be explicit as well as the links with the M&E Plan ○ All stakeholders should adopt the same targets. This implies establishment of one common M&E framework. 	Core NSP
5.3	<ul style="list-style-type: none"> ○ Identify strategic programs for achieving the key results of strategy <ul style="list-style-type: none"> ○ Identify key programs (in prevention, treatment, care and support) ○ Identify key target groups to be reached by programs: <ul style="list-style-type: none"> ▪ Groups driving the epidemic i.e. where most new infections occur (applies particularly to countries with low or concentrated epidemics) ▪ Groups who are vulnerable and at risk of infection, including pregnant women and young girls ▪ Groups in need of services: PLWHA, orphans and vulnerable children ▪ But keep total number of groups to a manageable number (e.g. five or less) 	Core NSP

	KEY STEPS	Time; Activity
5.4	<ul style="list-style-type: none"> ○ Identify changes in policy and legal environment that may be needed in areas such as: <ul style="list-style-type: none"> ▪ Discrimination and stigma (is a law needed?) ▪ HIV testing (e.g. rule for confidentiality, counseling; voluntary versus mandatory) ▪ Access to treatment: who will pay? Who will have free access? ▪ Equity issues: how to reduce the financial burden on the poor; is the role of insurance and service fees 	Core NSP
5.5	<p>Analyze alternative scenarios for increasing access to services</p> <ul style="list-style-type: none"> ○ Project availability of services <ul style="list-style-type: none"> ▪ Take into account likely additional investments in human resources and infrastructure (based on past trends for example), especially in health sector ▪ Assess need for additional health professional and investment in health sector ▪ Assess consistency with health sector plan ○ Project the future demand for services taking into account: <ul style="list-style-type: none"> ▪ Current rate of access to services and future rate of access that could be achieved with additional investments in human resources and infrastructure ▪ 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 	One month Background work needed for operational plan
5.6	<ul style="list-style-type: none"> ○ Finalize draft outline of National Strategic Plan ○ Assign responsibility for writing the strategy document to either one person or ad hoc committee with clear accountability 	Core NSP

6.	ESTIMATE COST OF STRATEGY AND RESOURCE MOBILIZATION NEEDED	
6.1	<ul style="list-style-type: none"> ○ Cost of strategy <ul style="list-style-type: none"> ○ Use unit costs collected within country; if not, international estimates ○ Utilize standardized methodologies/guidelines for costing AIDS response ○ Ensure that the management of the AIDS response (e.g. staffing of the National AIDS Commission) and monitoring and evaluation are adequately costed ○ Estimate the cost of incentives that may be needed to hire and retain skilled staff 	3-4 weeks Core NSP
6.2	<ul style="list-style-type: none"> ○ Mobilization of resources <ul style="list-style-type: none"> ○ Estimate current HIV/AIDS spending in country ○ Estimate the resources to be mobilized from government and donors and the remaining financial burden on households 	Background Core NSP
6.3	<ul style="list-style-type: none"> ○ Carry out modeling to check validity of framework (optional as it depends on availability and quality of data) <ul style="list-style-type: none"> ○ Estimate the impact of interventions on epidemic ○ Estimate unit cost of interventions ○ Simulate results that can be achieved with different financial resources 	Non-core
7.	VALIDATION OF RESULTS-BASED OUTLINE (WITH COSTS)	Three days;
	<ul style="list-style-type: none"> ○ Workshop with key development partners, government ministries and civil society 	Core NSP
8.	PREPARATION OF NATIONAL STRATEGIC PLAN	Two weeks
	<ul style="list-style-type: none"> ○ Consolidate reports from technical working groups ○ Finalize National Strategic Plan 	Core NSP Core NSP

	PREPARATION OF DRAFT OPERATIONAL PLAN (FIVE-YEAR WORK PLAN)	Two months
	<ul style="list-style-type: none"> ○ Principle: Start from the draft National Strategic Plan and expand programs to the level of activities 	Core OP
9.1	<ul style="list-style-type: none"> ○ Define activities within each strategic program with specific indicators <ul style="list-style-type: none"> ▪ Define clearly activities that are included in each program, but keep the overall number of activities to a level that is ambitious but manageable 	Core OP
9.2	<ul style="list-style-type: none"> ○ Link activities to clearly measurable results. Indicators should measure both the impact of programs as well as the progress achieved in overcoming obstacles to scaling up. <ul style="list-style-type: none"> ▪ Impact level targets should be set for end of period ▪ Process indicators should be set for every two years ▪ Input indicators should be set for every year ▪ Ensure that required data would be available, especially from M&E 	Core OP
9.3	<ul style="list-style-type: none"> ○ Specify institutional framework for implementing the strategy <ul style="list-style-type: none"> ○ Specify roles and responsibilities of key actors: <ul style="list-style-type: none"> ▪ who will do the work; how and when will it be done ▪ Clarify role of central government versus local governments ▪ Clarify role of private sector and civil society, especially as concerns implementation and access to funding 	Core OP
9.4	<ul style="list-style-type: none"> ○ Establish system for informing policies <ul style="list-style-type: none"> ○ Establish effective management information system that provides information about the implementation of programs, and progress in meeting strategic objectives ○ Plan for impact analysis of interventions ○ Identify technical assistance needs and manpower requirements 	Core OP
9.5	<ul style="list-style-type: none"> ○ Identify links with other programs that affect the implementation of HIV/AIDS strategy, such as <ul style="list-style-type: none"> ○ Health sector strategy: <ul style="list-style-type: none"> ▪ Indicate on-going programs and new programs needed for scaling up access to HIV/AIDS interventions, especially as concerns access to treatment and care ○ Civil service reform (wages, incentives) ○ Indicate program to increase human resources for health sector and improve financial incentives (if needed) 	Background

	PREPARATION OF DRAFT OPERATIONAL PLAN (FIVE-YEAR WORK PLAN)	Two months
	<ul style="list-style-type: none"> ○ Budgetary management: <ul style="list-style-type: none"> ▪ Indicate how the HIV/AIDS program will be reflected into the medium-term budgetary framework (Medium-Term Expenditure Framework or others) 	
9.6	<ul style="list-style-type: none"> ○ Estimate total budget needed for implementing the programs (with greater specificity for the first year), and especially: <ul style="list-style-type: none"> ○ Funding needed from government budget (domestic sources) and external contributions (including in-kind contributions) 	Core OP
9.7	<ul style="list-style-type: none"> ○ Plan for regular updating of operational plan (either rolling plan or annual implementation plan) 	Core OP
9.8	<ul style="list-style-type: none"> ○ Indicate arrangements for monitoring the implementation of strategy <ul style="list-style-type: none"> ○ Indicate role of key stakeholders, including PLWHA ○ Plan for joint review with development partners 	Core NSP
10	<ul style="list-style-type: none"> ○ Outline steps for integrating HIV/AIDS strategy in broader national planning tools <ul style="list-style-type: none"> ○ Indicate steps for integrating strategy in broader national planning tools such as Poverty Reduction Strategies and Medium Term Expenditure Framework 	Core NSP

	REVISION OF NATIONAL MONITORING AND EVALUATION PLAN (Assumes M&E Plan already exists)	One month
10.1	<ul style="list-style-type: none"> ○ Identify steps needed for M&E system to meet the needs of the new Operational Plan <ul style="list-style-type: none"> ○ Ensure that the M&E system measures the outcome and input indicators required by the National Strategic Plan and the Operational Plan ○ Ensure that the M&E system meets the needs of the management information system: <ul style="list-style-type: none"> ▪ At the national level: are the data aggregated in a way that can inform policy decisions? ▪ At the decentralized level: does the reporting plan include providing feedback to local authorities? ○ Identify manpower requirements, including: <ul style="list-style-type: none"> ▪ Technical assistance needed with identified sources with financing 	Core M&E
10.2	<ul style="list-style-type: none"> ○ Improve the role of the M&E system in guiding programmatic priorities <ul style="list-style-type: none"> ○ Plan for regular reporting and widespread distribution of reports ○ Plan for impact analyses of interventions: <ul style="list-style-type: none"> ▪ What are the key learning questions that evidence-based analysis can try to answer? ○ Plan for additional data collection and research if needed 	Core M&E
10.3	<ul style="list-style-type: none"> ○ Estimate cost of M&E Plan and ensure that it is included in National Strategic Plan and Operational Plan Costing 	Core M&E
10.4	<ul style="list-style-type: none"> ○ Improve coordination among stakeholders <ul style="list-style-type: none"> ○ Hold workshop to improve data collection and harmonization among all stakeholders ○ Establish working group with partners (if does not exist) 	Core M&E
11.	National Strategic Plan distributed and reviewed	Three weeks
	<ul style="list-style-type: none"> ○ Distribution and review process launched for strategy ○ National validation workshop among stakeholders ○ Plan revised ○ Plan for widespread dissemination of National Strategic Plan, Operational Plan and M&E Plan 	Core NSP Core NSP Core NSP Core NSP, OP, M&E