



# Checklist for Transition Planning of National HIV Responses



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## Background/Context

The global AIDS funding landscape is evolving with shrinking donor budgets along with changes in global economies.

Some previously low income countries have gained middle income status that changes their eligibility for accessing international aid, and with their economic growth there is an increased focus on domestic financing. The necessary shift of funding support from countries that have the capacity to take full domestic ownership of their HIV responses to countries that are continuously in need of external support is unavoidable. Many countries experience a "triple squeeze" on the resourcing of their HIV programs: rising HIV program costs with new commitment to access targets and growing ART expenditure; limited availability of domestic resources due to recession and other competing priorities in the health and social sectors; and shrinking donor budgets for HIV.

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The World Bank in partnership with key funding agencies and partners, and in consultation with Governments has developed this checklist to support transition planning of national HIV/AIDS responses. The checklist focuses on areas that are critical in transition planning and for the sustainability of national HIV responses, ranging from governance, to planning, implementation, service integration, monitoring, and integration of funding and financing streams. The checklist also includes the identification of potential bottlenecks and risks for sustainability, and the development of a transition plan.

This checklist has been informed by country experiences in undertaking transitions of HIV programs as well as other health programs e.g., the transition of the Avahan program from the Gates Foundation to the Government of India in 2006.

## How do we define transition?

For the purposes of this checklist and the associated technical support that will be provided we define transition at three levels:

- 1 Governance/Institutional transition** – changes in the institutions/entities responsible for leading and managing the HIV response including changes in the institutional arrangements
- 2 Service delivery transition** – changes in the service delivery modalities and the scope and level of services provided; and
- 3 Financing transition** – changes in the source of financing or the level of financing available

## How do we define sustainability?

Programmatic sustainability is defined as “the ability of the country to maintain key programs, delivery capacity and health benefits for an extended period of time after a major reduction in domestic financing, or in the financial, managerial or technical assistance provided by an external donor.”

## Checklist audience

The checklist is designed as a flexible and evolving tool to guide transition planning efforts. The primary audience is the technical assistance teams supporting Governments with transition planning.



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## Objectives

The overall objective of the checklist is to provide an analytical framework/tool to support countries in undertaking their transition planning as part of the effort to ensure programmatic sustainability of their national HIV responses.

### Specific objectives

1. Identify conditions required for countries to develop transition plans which are informed by contextual factors, service delivery, institutional and financial issues; depending on the context this may also include information on the readiness to take full ownership of the national HIV/AIDS response
2. Identify potential challenges, risks and strengths of countries' capacity to implement the required transition
3. To serve as diagnostic tool that can be used to:
  - ▶ Articulate the extent/level of transition that will be required from a governance, service delivery and financial perspective;
  - ▶ Identify potential sources of financing that could be mobilized; and
  - ▶ Recommend areas that require further improvement, technical assistance and capacity building to ensure the continuity of the national HIV program, and its associated health benefits.



## Checklist for Programmatic Sustainability



There is a temporal dimension to transition planning, depending on the specific country situation and where the respective Governments are in terms of the need to transition. The components of the checklist may vary depending on whether the need is short term 3–12 months, medium term (1–2 years) or long term (3–5 years). For effective transition planning it is important to understand the current context based on available information, before conducting an assessment of the programmatic sustainability needs and subsequently developing the transition plan. These three phases are important components of the checklist and form the basis for the organization of the checklist. The checklist is intended to highlight some of the key issues that technical assistance teams need to consider when supporting countries in the transition planning process, and is not intended to be an exhaustive list.



## The Core/Basic components of the transition planning checklist—what are the must dos?

The checklist represents a range of options that will depend on the specific country context. However, the “Understand” component of the checklist is considered to be a core component and should be used as a means for screening and determining what the focus areas of the assessment and resulting transition plan should be. The assessment will be done through a desk review of key documents, and will be informed by both quantitative and qualitative analyses.

	UNDERSTAND	ASSESS	PLAN
	Program Intelligence (Understand the current program context and issues that may affect the future sustainability of the program)	Assessment of Programmatic Sustainability to inform transition planning	What should be included in the transition plan
<b>Contextual Factors</b> 	<ul style="list-style-type: none"> <li>▶ Understand the country's economic situation</li> <li>▶ Understand the epidemic situation including level and trends</li> <li>▶ Understand the temporal dimension and extent of the transition required</li> <li>▶ What are the most urgent and pressing issues that need to be dealt with in the transition (these could be context and epidemic specific)</li> <li>▶ Understand the policy and legal issues that may influence or impact the transition</li> </ul>	<ul style="list-style-type: none"> <li>▶ Which entity (ies) will be responsible for the transition process including making decisions and managing the transition process?</li> <li>▶ Conduct a stakeholder analysis</li> <li>▶ Who are the likely Champions that can be relied upon in the transition planning process? Who are the potential detractors and how can they be better engaged?</li> <li>▶ Identify the factors that are important in ensuring sustainability of the HIV program</li> <li>▶ Assess the financial impact of the reduction of external funding</li> <li>▶ What are the legal and policy issues concerning service delivery and contracting for service delivery in the health sector</li> <li>▶ Assess the TA needs, and the TA secured and potentially available for transition planning</li> </ul> <div style="background-color: #e0f0ff; padding: 5px;"> <p>Tools Optima—Optimization and prioritization tool</p> </div>	<ul style="list-style-type: none"> <li>▶ Articulate the incremental nature of the transition from a governance/ institution, service delivery and financial perspective</li> <li>▶ Articulate the policy and legal issues that need to be addressed to implement the transition</li> <li>▶ Articulate the TA needs and identify potential sources of TA</li> </ul>
<b>Service Delivery Issues</b> 	<ul style="list-style-type: none"> <li>▶ What does service delivery currently look like? Which services, where and how are they delivered?</li> </ul>	<ul style="list-style-type: none"> <li>▶ Assess the allocative efficiency of the national HIV program</li> <li>▶ Assess the essential services needed, and for which populations, and geographic areas</li> <li>▶ What is the minimum package of services and what are the service delivery mechanisms/modalities?</li> <li>▶ What are the consequences of not continuing service delivery including for specific populations and geographical areas?</li> <li>▶ Assess the possible integration of services (which facility and community based services can be integrated)</li> <li>▶ What will happen to the facilities where HIV-specific/exclusive services are provided?</li> <li>▶ Identify the existence and the level of performance of the monitoring and evaluation system. Measure and track quality service delivery gaps to identify and prioritize problems for corrective actions, and to measure the quality and impact of the program.</li> <li>▶ Assess the adaptability of the service delivery modalities. How much adaptation or change of the program components can occur while still maintaining the effective and sustained interventions?</li> </ul>	<ul style="list-style-type: none"> <li>▶ Offer different options including maintaining the status quo. What level of service delivery will need to be financed in the future?</li> <li>▶ Articulate the metrics for assessing the effectiveness of the transitions?</li> </ul>

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<p>Institutional Issues</p> 	<ul style="list-style-type: none"> <li>▶ What's the current capacity for planning, service delivery and M&amp;E (and where is it located)</li> <li>▶ What and how are data collected? What about evaluations and results management?</li> <li>▶ How is procurement of commodities done?</li> </ul>	<ul style="list-style-type: none"> <li>▶ What is the program direction and leadership</li> <li>▶ Assess infrastructure and human resource gaps that would have an impact on the delivery of services including procurement and supply chain management</li> <li>▶ How many staff are needed and how can they best be integrated within existing structures?</li> <li>▶ Assess the core skills needed to plan, implement and monitor and evaluate programs</li> <li>▶ Are there crucial remedial measures needed to enhance human resource capacity?</li> <li>▶ Are there crucial remedial measures needed to enhance HIV service delivery capacity?</li> <li>▶ Is there opportunity to link with existing capacity building efforts?</li> <li>▶ Identify the existing national planning processes in which the transition would need to fit in</li> <li>▶ How can HIV specific data collection be integrated with national data systems?</li> <li>▶ Assess the possibility of regional/pooled procurement</li> </ul>	<ul style="list-style-type: none"> <li>▶ Develop a capacity development plan</li> <li>▶ Develop a human resource transition plan</li> <li>▶ Articulate the specific planning, budgeting and infrastructure recommendations</li> <li>▶ Articulate an implementation and M&amp;E plan</li> </ul>
<p>Financial Issues</p> 	<ul style="list-style-type: none"> <li>▶ Understand when the transition is likely to happen and the level of transition required</li> <li>▶ What are the possible opportunities for diversified financing?</li> <li>▶ Understand the Government Financial Management Systems</li> <li>▶ What are the Government funding mechanisms?</li> <li>▶ Is the minimum package of HIV services included in the national health insurance basic benefit package?</li> </ul>	<ul style="list-style-type: none"> <li>▶ Assess how much it will cost to sustain essential services (as defined by the national priorities)</li> <li>▶ Assess the various future financing opportunities (where will the financing come from; what is the fiscal space for health; what are the current or planned resource mobilization efforts; what are the options for innovative financing)</li> <li>▶ Assess whether there is prioritization or ring fencing of public resources for specific services</li> <li>▶ Assess the budgeting process for HIV programs</li> <li>▶ Understand the Government Financial Management Systems and how services could be linked and integrated</li> </ul>	<ul style="list-style-type: none"> <li>▶ Provide different financing scenarios</li> <li>▶ Make recommendations on possible avenues for resource mobilization and innovative financing</li> </ul>