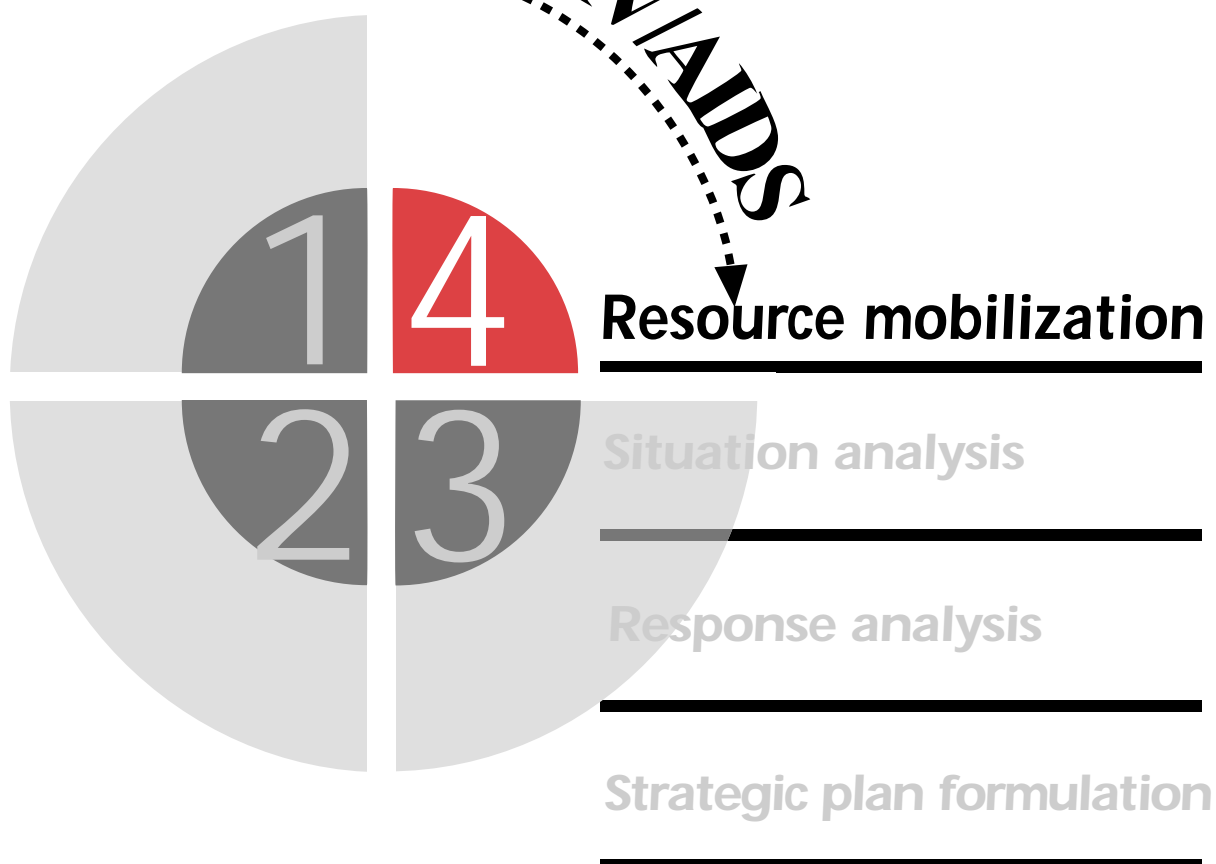


# Guide

## to the strategic planning process for a national response *to* HIV/AIDS



Joint United Nations Programme on HIV/AIDS

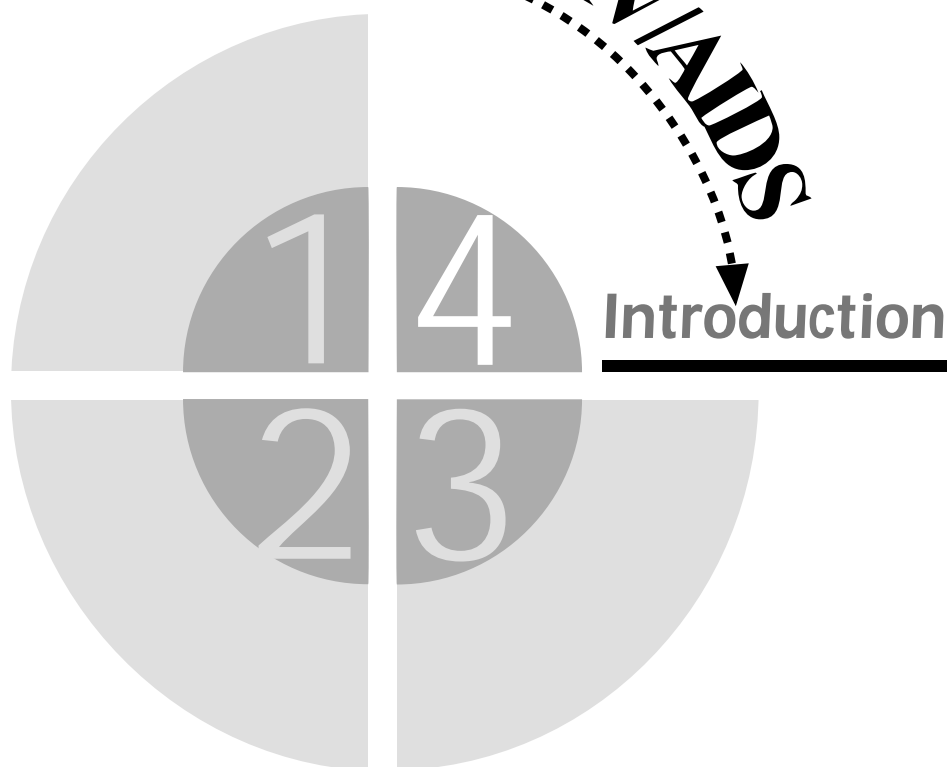
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# Guide to the strategic planning process for a national response *to* **HIV/AIDS**



Joint United Nations Programme on HIV/AIDS

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# module 4: Resource mobilization

## Preamble

While the issue of resources in general, and the scope of resource mobilization in particular, is addressed from time to time in the first three modules of the Strategic Planning Guide, a fourth module specifically on resource mobilization is needed to reinforce its various aspects as referred to in modules 1 to 3, and especially to debate and clarify a number of widely held assumptions with regard to resource mobilization.

- Resources, and resource mobilization, are often seen as relating solely to funding; this module defines and clarifies the broader scope of resources.
- Resource mobilization in the context of HIV/AIDS planning is still too often seen as a process or an activity that takes place exclusively after planning; this module highlights that resource mobilization is an integral part of the process of strategic planning.
- Mobilization of resources is also seen as synonymous with securing new or additional resources; this module emphasizes that it is also about making better use of, or maximizing, existing ones.

## I. Introduction

The subject of resources, and their availability or non-availability, is – or should be – a major consideration for planners in all areas. Indeed being strategic means, among other things, being realistic not only about the situation one has to address but also about the resources needed to reach one's objectives.

'Resources' is therefore a key theme throughout the strategic planning process (SPP) for national HIV/AIDS programmes. The situation analysis has to deal with the identification of the most important factors that may influence the HIV/AIDS epidemic. These include the status of human, institutional, financial resources that may determine individuals', sectors' or general societal vulnerability to HIV. These resources also determine the scope and effectiveness of national responses (see p. 11 of module 1).

Assessing the resources made available by the key players in the national response to HIV/AIDS is an essential aspect of the response analysis, as is an appraisal of the judicious use that is being or has been made of those resources (see p. 18 of module 2).

The formulation of a strategic plan implies that the availability of adequate resources is taken into account for the implementation of the different strategies in all priority areas; it should also address ways of making better use of existing resources (see pp. 15 and 18 of module 3).

Most importantly, the need to actively involve all key stakeholders in all three phases of the SPP is underlined throughout as a key strategy for mobilizing resources (ref. p. 26 of module 3).

### **Using this module**

The major focus of this module is on ‘mobilization of resources’ and it should primarily be read or used in conjunction with each of the first three modules. Those who will use it are the situation analysis and/or the response analysis team, and the team responsible for the formulation of the strategic plan.

However there will also from time to time be a need to secure resources after the formulation of the strategic plan, for instance to support the expansion of emerging successful strategies, or to supplement shortfall in funding for a priority strategy or a catalytic project. This module will therefore also deal with relevant approaches, techniques and methods for that purpose.

Following an overview and definition of resources and resource partners, the module:

- i. highlights the ways in which resources are effectively mobilized through a strategic planning process;
- ii. describes specific approaches to mobilization of ‘additional’ resources in the course of the implementation of the strategic plan.

## **II. Defining resources**

The term ‘resource’ is all too often understood to mean only ‘funds’, especially in the context of resource mobilization. And yet, when for example programme or project failure is attributed to the lack of resources this has often to do as much with human or other resources as with funds. It is therefore useful at the outset to define what is understood by ‘resources’ and by ‘resource partners’.

### **Resources**

“Resources” includes not only money, but also people, goods and services. All types of resource or forms of support can be grouped under one of the following categories:

#### **Human resources**

These are the people needed to design, implement and follow up activities and projects.

- They will need to cover a range of appropriate skills and know-how to carry out the diverse specific tasks required.
- They may be paid or voluntary.
- They may be part-time or full-time, on secondment from Ministries and other Government bodies, recruited by international agencies, or employed by national or international NGOs, the private sector, etc.

#### **Financial resources**

These may come from a wide variety of sources:

- Government budget (including World Bank credits)
- Grants from international development agencies (IDAs), AIDS Foundations etc.
- NGO budgets
- Private sector.

## Goods and services

These include:

- Vehicles and computer equipment
- Office space
- Advertising time or space
- Design and print facilities
- Financial, technical or medical advice
- Training services
- Meeting places and event venues.

These in turn may be provided at reduced cost or be freely donated.

Finally, an important resource that is often overlooked and is best included here is the time that people may contribute voluntarily to various important aspects of HIV/AIDS work – from high-level political advocacy to community services.

## Resource partners

One can broadly categorize all current and potential “resource partners” at different levels using the following matrix:

	Local/District	Provincial/ Regional	National	International
Government				
NGOs				
Donors/international development agencies				
UN system				
Private sector				
Communities				

Each group presents particular advantages and challenges which can be summarized as follows:

### Government

It is critical that there be government ownership and leadership of the national response. A National AIDS Programme with strong government management signifies:

- consistent programme direction and a coherent national response
- potentially substantial resources, including staff, offices, equipment and services
- coordination of external support
- access to the whole spectrum of activities, disciplines and interests in the public sector.



But despite the wide recognition that a multisectoral approach is necessary to tackle HIV/AIDS effectively, in many instances the only significant involvement from the public sector is from the health sector. Further, Government is occasionally plagued by administrative regulations and procedures that can hamper the flow of resources – particularly financial, but also human resources – for example from central to provincial or district levels. Government may also sometimes find it sensitive or difficult to allocate resources to, or be directly associated with, certain HIV prevention activities, such as those targeting behaviours like drug use or commercial sex work that may be outside the law.

## **NGOs**

There are now innumerable AIDS-specific NGOs, national and international, that intervene and provide services across the whole range of prevention and care strategies and activities. They play a vital role and make significant contributions to successful national responses. They present some unique advantages, not least:

- The relevance and responsiveness to community and grassroots needs
- The committed and motivated human resources of the smaller national NGOs
- The ability, unlike the government sector, to work with marginalized populations such as drug users or sex workers.

NGOs are usually also more willing or can afford to take risks, such as allocating resources for untested strategies, or starting up pilot projects in new geographical and thematic areas. As for international NGOs, they also provide links to wide networks and are therefore sources of substantial technical and financial support.

On the other hand, the proliferation of HIV/AIDS-specific NGOs has sometimes taken place at the expense of quality and accountability, with ill-designed or inappropriate projects absorbing scarce resources and failing to have any significant impact. Other areas of concern include:

- Mutual Government/NGO distrust
- Weak management structures
- Specific priorities of some NGOs may not always match those of national programmes.

## **Donors/international development agencies**

In the early years of the HIV/AIDS epidemic, multi- and bilateral development agencies were the major source of resources – especially financial – for national HIV/AIDS programmes. Although the overall financial support to AIDS programmes has declined in recent years, development aid from bilateral donors remains an important, if not the most important, source of financial and human resources, goods and services for many resource-poor countries.

The relationship and dynamics between donors and national governments can in some cases be influenced by the following factors:

- Where support from bilateral donors is channelled to or through NGOs this can aggravate the tensions that may exist between NGOs and Government.
- Particularly when national mechanisms for coordination are not strong, coordination among donors may also be less than optimal.
- Some donors may only be prepared to support specific strategies and seek to influence national programme priorities accordingly.

## **The UN system**

Multilateral support has generally diminished and is now focused more on catalytic action, technical assistance and advocacy, including efforts to leverage additional resources. Concurrently, the establishment of UNAIDS is meant to maximize the resources and ensure greater coherence of the efforts of different UN system agencies in support of country responses.

With the establishment of UNAIDS and the increasing effectiveness of UN Theme Groups on HIV/AIDS in countries, it is anticipated that there will be stronger and better coordination not only of the UN system's support but also that of overall external aid in general.

Through UNAIDS and its cosponsors a number of common goods besides a stronger and more coherent UN system response are becoming increasingly available to all countries, including:

- improved access to and exchange of best practices
- improved access to technical resources (e.g. through technical resource networks)
- better access to goods and services, including condoms and drugs.

## **Private sector**

With growing evidence of the negative impact of the HIV/AIDS epidemic on certain sectors and on productivity, many more members of the private sector are now willing to support prevention programmes which they see as an investment. Of the many partnerships that HIV/AIDS concerns are generating, that between the private and public sectors in countries has unique potential. At the same time it poses a few challenges.

The potential of the private sector resides not just in the financial resources that can be tapped but also in the considerable human resources that it represents and the social leadership that it can provide. Other strengths include:

- its involvement in AIDS prevention may take in both its own workforce and its clients
- specific skills that are very relevant in AIDS prevention, for example in communication
- business-like, professional approaches
- a culture of efficiency, cost-effectiveness and accountability.

On the other hand, the grasp of HIV/AIDS-related issues by the different elements of the private sector is variable and often incomplete. Given these differences and the diverse interests that are represented, coordination and avoiding conflicting messages may be an issue.

## **Communities**

Potentially the greatest resource capacity is to be found within the communities who are or can be mobilized around the issue of HIV/AIDS.

The community or communities here are defined not just in terms of geographical proximity – although this will often be the case – but in the broad, inclusive sense, of groups of people who may be bound by culture, religion, beliefs, practices and, above all, by a common concern with and interest in HIV/AIDS prevention and care. These different types can also be regrouped under the following categories:

- Communities of interest – groups of people with a common purpose, such as health professionals working together on HIV.

- Communities of circumstance – people with different backgrounds altogether but who are brought together by a common event, for example people with haemophilia who have been infected through contaminated blood products.
- Structured communities – people with a common identity or history, and sharing common values or attitudes that unite them and identify them as a distinctive community.

They may be church groups or youth or women's organizations, trade unions, professional associations and sociocultural clubs and, not least, associations of people living with HIV/AIDS. Each of these brings different resources, capacities and preparedness to respond to HIV/AIDS. Notwithstanding these differences, the capacity of such communities, once mobilized around the issue of HIV/AIDS, cannot be over-emphasized.

The strengths of a mobilized community are well summarized in the UNAIDS technical update (see Community Mobilization and AIDS, Technical Update - April 1997). These include:

- awareness of their individual and collective vulnerability to HIV
- motivation to address their vulnerability
- knowledge of the options that they can take to reduce such vulnerability
- the time, skills, and other resources that they are prepared to invest.

### **III. Resource mobilization through the strategic planning process**

The key characteristics and strengths of strategic approaches to HIV/AIDS planning are summarized in the Introduction to the UNAIDS Guides (see pp. 4-5). All of these, directly or indirectly, have resource-related aspects and dimensions. Together, they highlight the fact that resource mobilization is an integral part of strategic planning processes.

The following section analyses further some of the ways in which mobilization of resources de facto takes place through the strategic planning process.

#### **III. 1 Involving key partners in the planning process**

The first three modules of the Guide to the SPP (see p. 7 of module 1, p. 25 of module 2, and p. 8 of module 3) all stress that it is critical to ensure the participation of key stakeholders and resource partners at all stages of the SPP. It is imperative that a diversity of skills and expertise be brought together for a thorough situation and response analysis while, for the strategic plan formulation, it is important that as many of the actual and potential partners in the response be involved. These include different Government sectors, community organizations and NGOs, including associations of PWHA, academia and research institutions, the private sector, and international donors.

Such breadth of participation in the situation and response analysis enriches the reflection. Importantly, it also ensures 'ownership' of the process and of the output. By the same token, involvement of the key stakeholders in the strategic plan formulation is a major first step towards mobilizing the financial and human resources of the different partners towards implementation.

## **Ensuring government leadership**

It is increasingly evident that HIV/AIDS will impact on many countries' long-term plans and on their agenda for social and economic development in particular. It is therefore all the more critical that Government, which is responsible for establishing such agendas, assume the leadership of the entire planning process. And it is not just about technical leadership. High-level political leadership is crucial. The viability and sustainability of programmes will depend on the extent to which the response to HIV is built into the national development framework – something which only governments can effect.

## **Community participation**

While materials and funds are undoubtedly required to implement activities, it is even more critical to have motivated and skilled human resources. The participation of the concerned communities at relevant stages of the planning process is as important as government leadership in the planning process. They represent the single most important resource for a country's response. Individually and collectively – be they members of affected populations, associations of PLWA, HIV/AIDS service providers, national or international NGOs, small local organizations, research institutions, epidemiologists or behavioural scientists – they make valuable contributions to the national response, the more so when they are involved in the planning process.

Community participation – challenging though it may be – is the one way to ensure the relevance and realism of strategies and to mobilize the inherent resources of communities.

## **Involving major international development agencies**

Most national programmes to some extent rely upon external support. It is therefore desirable to encourage major donors to participate in a national strategic planning process, especially at the stage of formulation of a strategic plan. As stated in module 3, 'involving all key stakeholders is an early but essential step towards mobilizing resources, human as well as financial' (see p. 8). Such involvement is also to be encouraged since many donors may have specific concerns or priorities that do not always match national priorities.

Their active participation in the national strategic planning process will ensure coherence and maximize the benefits to the country of resource allocation to priority areas. Besides the various 'communities' mentioned above, the 'key stakeholders' at this stage will include not only international donors but also, hopefully, some new or potential resource partners as identified through the situation and response analysis.

***As repeatedly stressed in the various modules of the UNAIDS Strategic Planning Guide, people living with HIV/AIDS or directly affected by it are very valuable partners for any HIV/AIDS action. UNAIDS promotes and supports the greater involvement of people living with HIV/AIDS in the response to the epidemic.***

### III. 2 Maximizing available resources

A widely held assumption concerning resource mobilization is that it is solely about securing additional or new resources. However, within the context of strategic approaches to planning, it is particularly important to emphasize that mobilizing resources is as much about making judicious or better use of available resources as it is about mobilizing additional ones.

The following are key questions in this regard:

- Is the current response still relevant?
- Are current responses effective and, in particular, are they cost-effective?
- Are there opportunities and/or imperatives for reallocation and reprogramming of resources? Where are the priorities now?
- **Is the current response still relevant?**

The first key question is about the relevance of the current response. One of the reasons why it is critical to adopt strategic approaches to HIV/AIDS planning is that we are dealing with situations that are not static. The situations change – sometimes rapidly – over time and place, which means that strategies and activities that are perfectly relevant now may be less so, or even not at all, in the future.

Hence the importance of a situation analysis and then a response analysis which inform the strategic planning team about the relevance of specific strategies and activities at a particular moment in time (see pp. 16-17 of module 2). In all cases, but especially in situations where human and financial resources are scarce and limited, it is a waste if these continue to be channelled to areas where they are no longer relevant or which are of lesser importance than others. Reprogramming these same resources for areas that are now more relevant is as effective a way of mobilizing resources as any.

#### ➤ **Are current responses effective? And are they cost-effective?**

The second set of questions addresses the issue of whether current strategies and activities, especially in those areas that would have been identified as priority areas through the situation analysis (see pp. 17-18 of module 2), are effective and in particular whether they are cost-effective.

Looking at, and comparing, the effectiveness of specific AIDS prevention and/or impact mitigation interventions or strategies is not straightforward. Issues such as the diversity of epidemiological and social contexts within which interventions take place, the choice and appropriateness of the outcome measures that could be used as proxy indicators of effectiveness, or the complex interaction between the different programmes and strategies that are ongoing at the same time, all complicate attempts at the estimation of effectiveness.

Nonetheless, it is possible and desirable to look critically at some factors that may account for success or failure. These include, among others:

- Adequacy of resources
- Technical soundness
- Cost-effectiveness

#### *Adequacy of resources*

Assessing the adequacy of inputs – technical, financial, but also goods and services and, not least, human resources – into specific strategies is part and parcel of a critical analysis of the rea-

sons for their success or failure. It also provides the information required for eventual cost-effectiveness analysis and assists planners and other stakeholders in setting priorities for mobilizing resources for potentially effective strategies that may otherwise get discarded.

The importance of adequate human resources for the success and effectiveness of an activity cannot be stressed enough. While most people will find it easy to attribute failure to lack of material resources, goods or funding, there is often a reluctance to acknowledge that it can be due to lack of specific expertise, inappropriate skills, or even motivation and commitment.

### *Technical soundness and best practices*

As module 2 points out (see p. 18), much has been learnt in the last decade about what can work or does not work in HIV/AIDS prevention and care. Nonetheless there are many instances where programmes are still learning about what might work best in their particular contexts. Many a response analysis will point to the failure of activities due to lack of technical soundness resulting in significant resources being absorbed by ineffective or inefficient activities. Such situations underscore the importance and significance of a strategy of documenting and sharing 'best practices' and lessons learnt as a way of accelerating the 'learning curve' of programmes and minimizing the needless waste of time and resources on less-than-effective interventions.

At all stages of a strategic planning process, but especially the formulation of strategies in priority areas (see pp. 14-15 of module 3), the teams will be able to pinpoint opportunities for national programmes to take advantage of lessons learnt and international best practices.

***UNAIDS Best Practice Collection incorporates technical updates, points of view and case studies, as well as key materials, on a wide range of HIV/AIDS topics and issues. In addition to documentation and dissemination of best practice material, UNAIDS is promoting and supporting in countries and between countries 'best practice' processes of learning and reflecting about what works and does not work.***

### *Cost-effectiveness*

Cost-effectiveness is a measure of the comparative efficiency of discrete strategies and methods for achieving the same objective (in this case HIV/AIDS prevention and care). As competing programme needs grow or as resources become scarce, cost-effectiveness is an issue that assumes even greater significance and importance. It is the responsibility of strategic planners to advise decision-makers on making best use of scarce resources. In this regard, cost-effectiveness analysis is the tool of choice that enables programme managers and planners to make informed choices about resource allocation. It identifies the relative efficiency of alternative activities by comparing costs and results or outputs.

Focusing on the cost-effectiveness or efficiency of the response involves continuously asking questions such as:

- what are the costs involved in a specific activity or group of activities in the programme?
- what are the returns on that activity, i.e. what are the benefits we get out of it?
- what is the opportunity cost of such an activity? In other words, are we making optimal use of our resources or will we achieve more by spending resources on other activities?

➤ **Are there opportunities and/or imperatives for reallocation and reprogramming of resources? Where are the priorities now?**

The third set of questions merely underlines the importance of strategic approaches in a context as dynamic as the one of HIV/AIDS. Being strategic means, among others, being relevant to the current situation and realistic about the resources required to implement planned strategies (see Introduction to the SPP Guides, pp. 4-5). Put another way, being strategic is about being responsive to change and about being able to set priorities.

**Adapting and responding to change – monitoring and evaluation**

The module so far has drawn attention to the critical importance of remaining relevant within the changing contexts of HIV/AIDS epidemics. An iterative process of reflection and analysis is important to allow the various partners in a national response to remain alert to new situations as they evolve, alert to opportunities so as to maximize the benefits of timely reprogramming and resource allocation. Alternatively, it can also be seen as being alert to the obstacles that have to be overcome, and minimizing the losses that may accrue through, for example, the continued channelling of resources to areas that may be less critical now than others or may have ceased to be priorities altogether.

Being strategic is being able to deal with change. This means flexibility on the part of management with, for example, a management structure that combines decentralized decision-making with effective delegation of authority. Above all though, there needs to be a good monitoring and evaluation system. This will serve to provide programme managers and implementers with timely information not just on the status of implementation of programme activities but also, importantly, on the key issues of their effectiveness, efficiency and continued relevance. What is needed for such a system to operate well is a plan that sets out at a minimum:

- Clear objectives, outputs and outcomes
- Realistic targets
- Clear and meaningful indicators.

**Setting priorities**

Setting priorities is a key and essential feature of strategic planning and, by the same token, one of the many facets of resource allocation and mobilization. At the best of times there are always choices to be made about what must be done and what can realistically be done. This is even more true in resource-constrained settings. The whole strategic planning process is geared to guiding decision-makers in making the choices that will result in the best possible use of valuable human and financial resources.

Too often in the past, planning for HIV/AIDS has resulted in unrealistic plans that have sought to cover all possibilities, plans that did not give due consideration to the relative importance and relevance of specific strategies on the one hand, and to their feasibility, relative effectiveness and affordability on the other.

All the preceding questions – about relevance and cost-effectiveness, about adequacy of resources, about the major determinants of the epidemic and hence the priorities for action, about what is working and is not working, and why – ultimately serve to inform planners and donors about how and where to allocate resources in a way that maximizes the returns on the investment.

### III.3 Mobilizing additional resources

The module has stressed the several ways in which mobilization of resources is an integral part – indeed a major outcome – of strategic approaches to planning responses to HIV/AIDS. Specifically it has outlined the extent to which ‘mobilization’ of resources is effectively taking place through:

- involving all major stakeholders in the strategic planning process;
- identifying the major determinants of the epidemic at a specific time and place;
- setting priorities accordingly;
- ensuring that scarce resources are channelled to the highest priorities and to the most cost-effective strategies and approaches for a determined objective.

The module has also emphasized the importance and relevance of applying and adapting international ‘best practices’ and the many ‘lessons learnt’ about HIV/AIDS prevention and care in order to gain valuable time and minimize the losses that would otherwise result from committing resources to less effective or less appropriate strategies.

Notwithstanding these aspects of resource mobilization inherent in strategic planning, it is evident that the dynamics of HIV/AIDS situations and responses are such that there will from time to time be a need for additional resources to address changing situations, to support emerging strategies and allow an expansion of the response.

This section deals with different strategies and methods for securing ‘additional’ resources and underlines once more that resources include not just funds but also goods and services and human resources. The following are addressed:

- a) Identifying and mobilizing new partnerships
- b) Developing technical resource networks
- c) Fund-raising

#### **a) Identifying and mobilizing new partnerships**

Strategic planning is about looking into obstacles to, and opportunities for (see pp. 11-12 of module 1) a stronger and more effective expanded response. In the course of the situation analysis the team will be considering the major determinants and consequences of HIV/AIDS and, hence, the priority areas for action as well as the changes that may be required for moving from the present situation to the desired one. Subsequently it will look both at what stands in the way of changes needed in priority areas and at the factors that can promote such changes.

The team can thus contribute a great deal to mobilizing additional resources not only for the immediate short-term needs but also for those opportunities that may arise in the medium to longer term:

- by identifying opportunities for involving new actors and new resource partnerships to bring these changes about;
- by exploring the different specific reasons which may appeal to these potential new partners to get involved or to commit resources for current strategies and HIV/AIDS programmes;
- by paving the way for mobilizing resources for future interventions and emerging strategies.

Understandably, the focus in terms of mobilization of additional resources will often be on international development agencies. But it is also worth looking beyond the obvious traditional



donor governments and agencies. For example, there are now a number of Foundations established by private companies, the entertainment industry or churches, which have resources that can be tapped for specific HIV/AIDS or AIDS-related projects.

While external donors will likely represent a major component, there are equally important 'national' resource partners who could be a significant source of technical and financial resources. The box on page 16 highlights examples of potential new partnerships that may be brought to light in the process of strategic planning, particularly during the course of a situation assessment and analysis.

### ➤ **Developing technical resource networks**

As national responses evolve and new strategies emerge, what is increasingly required by countries is technical know-how or expertise. The demand for such expertise in a wide range of programme areas or on specific prevention and care issues is growing as more and more countries seek to pre-empt the epidemic's threat and expand their response to HIV/AIDS. As has already been pointed out (see Technical soundness and best practices, p. 12) the sharing of lessons learnt and experience on best practices can assist countries in shortening the learning curve, thus gaining time and, in the process, saving much-needed resources.

In this regard, identifying and mobilizing new partnerships also encompasses the idea or strategy of development of networks in general and, specifically, of technical resource networks, as a way of broadening a country's or region's resource base and making specific technical expertise more readily accessible to countries.

(UNAIDS and its cosponsors are promoting and supporting the development and strengthening of technical resource networks in a number of key areas at national as well as regional levels.)

### ➤ **Raising funds from donors/IDAs**

#### *Involving the development agencies in planning*

The Strategic Planning Guides stress the benefits of securing the participation in the planning process of all key stakeholders, including major donors. As with all potential resource partners their participation should ensure 'ownership' of the resulting strategic plan and plan of action and a greater willingness to contribute resources – and particularly funding – for the implementation of activities. Furthermore, it will also make the same donors more receptive to requests for future additional funding, should such funding be required to expand the response or seize opportunities to initiate new projects. Increasingly, too, as national responses have become more multisectoral and multidimensional, donors are seeking some reassurance that new projects or initiatives are more or less guided by a national strategic framework. This is also where consistent high-level advocacy and demonstration of commitment (see also p. 6 – government leadership) can often help to sway the donors.

## ***General/mainstream development nongovernmental organizations and agencies***

NGOs or bilateral and multilateral agencies responsible for general development projects may not always be aware of the extent to which the epidemic could impact on the outcome of a particular project, on the intended beneficiaries, or even on the project's workforce. The situation analysis may serve to identify mainstream NGOs or agencies that could be potentially involved, try to answer questions concerning for example a project's 'vulnerability' to HIV (e.g. because of extensive use of migrant labour force), and reinforce the rationale and benefits of integrating HIV/AIDS prevention into the project's activities, for example by including HIV/AIDS awareness programmes in the workforce training package.

### ***The private sector***

The impact of the HIV/AIDS epidemic on the private business sector has been growing steadily over the last years, and has become quite visible in some places. Still, many business leaders need to be persuaded that AIDS prevention programmes for their own employees are in their own rational self-interest. In economic terms, such prevention programmes can be marketed as "minimizing costs" or "profit-loss prevention" and protection of valuable fixed investment in "human capital". The advantage of developing new partnerships with private businesses is that they have substantial resources available. At the same time, their workplaces provide excellent opportunities to reach the labour force in large numbers and with high impact.

The situation analysis should briefly describe and prioritize the most relevant sectors of business in terms of HIV prevention in a way that will allow the response analysis team to better focus their investigations into ongoing responses, and the strategic plan formulation team to identify and mobilize or generate partnerships for an expanded response.

The following information may be of interest in that perspective:

- total number of staff
- annual financial turnover
- main sources of income and the particular risk situations related to specific businesses, such as the extensive reliance on migrant labour force, interests in entertainment or tourist industry, etc.
- segmentation of a company's customer base: are vulnerable populations (youth, for example) major parts of that base?

### ***The military***

The armed forces represent a discrete and important group, both in terms of risk of HIV infection<sup>1</sup> and of potential resources to change that situation.

Briefly highlighting their vulnerability emphasizes the benefits that may be gained from making the best use of their resources:

- military recruits are often posted far away from their communities and families for relatively long periods
- they are in the age group most sexually active and most inclined to risk taking
- risk taking tends to be part of the military ethos
- they often have more money than local populations

On the other hand, the army disposes of "resources" that may be harnessed for prevention efforts:

- financial (although often not available for *social* services)
- human: educated and skilled staff
- a disciplined and highly organized environment
- a high concentration of easily reachable high-risk behaviour individuals.

This combination of high susceptibility and non-negligible resources means that the armed forces represent a unique opportunity for effective preventive education.

Gathering information on uniformed forces is a sensitive issue in many countries, and the situation analysis team may have difficulties in doing so. The same objective may however be reached in the long run by actively involving a high-ranking officer from the army's social services in the situation analysis team, so that this person himself can organize an appropriate response "in house".

### ***Academic and research institutions***

These represent yet another different potential resource in that they house a wealth of scientific data, studies and of course people whose expertise may not have been tapped and who may be helpful in subsequent information gathering and follow-up for comparison with benchmark data.

Once informed and solicited, they represent a major resource among others for epidemiological and behavioural data collection and analysis, and for planning, monitoring and programme evaluation, not to mention the capacity for clinical or operational research or socioeconomic impact studies.

<sup>1</sup> Comparative studies in several industrialized and developing countries showed that military personnel have a much higher risk of HIV infection than groups of equivalent age and sex in the civilian population.

### *Packaging proposals*

In any event, when it comes to raising funds from prospective donors for programmes or new projects there are a few ‘musts’ that can help to swing the balance. These include:

- having a strong rationale for a project that drives home its relevance to the situation or to national priorities; in the case of a programme, having a coherent set of priority strategies and activities and an equally sound goal and overall strategy
- having clear and realistic objectives
- spelling out the expected outcome and concrete outputs
- building in a strong monitoring and evaluation component
- having a detailed and realistic budget, including counterpart resources
- paying due attention to ensuring accountability
- addressing the issue of sustainability.

These all add up to the submission of a marketable product, one that can serve to convince potential funders that they are dealing with project management that is focused, transparent, accountable, and backing activities that are seen to contribute to a meaningful response. At the end of the day all donors like to know what the costs are (what are we paying for?) and what the outcome is likely to be (what are we getting for our money?).

### *Knowing your donors*

As critical as the quality and content of the project submission is some knowledge of the specific donor whose support is being sought. In this respect the old saying that you must ‘raise friends before raising funds’ assumes special significance. International development agencies will always be more likely to entrust resources to known partners and friends with proven track records of delivering what they set out to do and – this may be more important for some donors than others – what donors require in terms, for example, of reporting and evaluation.

Indeed, donors are not a uniform group and it is crucial to understand and take into consideration the different and specific factors that motivate donors and dictate their decision to allocate resources or not.

These are some of the questions and issues that may usefully be addressed:

- What are the favourite areas or strategies, if any, of specific agencies?
- Do they have known sensitivities to particular issues or partnerships? For example, are they likely to respond more or less favourably if there is involvement of NGOs or of a UN partner, or if the project takes into account gender issues?
- What mechanisms do they have for allocation of budgets? Who within their administrative structure is likely to provide the most attentive ear?
- What criteria do they have for the selection of projects to be funded?
- Is there an especially ‘good’ time to submit a proposal? Perhaps towards the end of the agency’s fiscal year?

### *Sustaining interest and commitment of new resource partners*

Finally, the focus may too often be on short-term fund-raising and on one-off partnerships with one-time resource benefits. But sustaining the interest and long-term commitment of one's resource partners is an investment strategy of great relevance to HIV/AIDS programmes that are clearly long-term and dynamic. This is particularly true when dealing with international donor agencies and with the private or business sector and suitable attention should be paid to ensuring the durability of partnerships.

The following are a few useful hints:

- involve them in the planning and development of programmes or projects
- tailor the design of projects to the donors' and sector's interests and mandate (this is especially applicable to the private sector)
- review progress regularly together with resource partners
- recognize and mark a partnership's achievements from time to time.

## **Conclusion**

This fourth module draws attention to the broad scope of resources and of resource mobilization. It highlights in particular the different ways in which mobilization of resources effectively takes place through the strategic planning process as outlined in the first three modules.

With HIV/AIDS continuing to present an ever-growing challenge both in terms of prevention and of impact mitigation measures, resources will continue to be at a premium. In the resource-constrained settings within which national programmes are operating, additional or new resources will always be required and beneficial. However, it is also important to underscore the significance of making judicious use of existing resources. This is what this module does through emphasizing the resource mobilization aspects of the strategic planning process.

## Further reading

- ❑ UNAIDS. Guides to the strategic planning process for a national response to HIV/AIDS, UNAIDS Best Practice Collection. Geneva, 1998.
- ❑ World Bank. Confronting AIDS – Public Priorities in a Global Epidemic. New York, OUP, 1997.
- ❑ UNAIDS. Community Mobilization and AIDS. Technical Update, UNAIDS Best Practice Collection. Geneva, 1997.
- ❑ UNAIDS. Cost-Effectiveness Analysis and HIV/AIDS. Technical Update, UNAIDS Best Practice Collection. Geneva, 1998.
- ❑ UNAIDS. CD-Rom – Economics in HIV/AIDS planning. Getting priorities right. UNAIDS, Geneva, 2000.
- ❑ Guinness L, Watts C, Mills A. Technical Brief on Cost-Effectiveness of HIV/AIDS Prevention Strategies. Background Paper for UNAIDS, 1997.
- ❑ Barnett T, Blas E, Whiteside T. AIDS Briefs. Integrating HIV/AIDS into Sectoral Planning, document WHO/SARA/HHRAA/USAID Africa, 1995.





The Joint United Nations Programme on HIV/AIDS (UNAIDS) is the leading advocate for global action on HIV/AIDS. It brings together seven UN agencies in a common effort to fight the epidemic: the United Nations Children's Fund (UNICEF), the United Nations Development Programme (UNDP), the United Nations Population Fund (UNFPA), the United Nations International Drug Control Programme (UNDCP), the United Nations Educational, Scientific and Cultural Organization (UNESCO), the World Health Organization (WHO) and the World Bank.

UNAIDS both mobilizes the responses to the epidemic of its seven cosponsoring organizations and supplements these efforts with special initiatives. Its purpose is to lead and assist an expansion of the international response to HIV on all fronts: medical, public health, social, economic, cultural, political and human rights. UNAIDS works with a broad range of partners - governmental and NGO, business, scientific and lay - to share knowledge, skills and best practice across boundaries.

## Guide to the strategic planning process for a national response to HIV/AIDS

*This guide, comprising four modules plus an introduction, is intended for use by country programmes, either at a national or decentralized level, other agencies and organizations such as international non-governmental organizations and donor agencies.*

### Introduction

Strategic planning, as developed in the present guide, defines not only the strategic framework of the national response, i.e. its fundamental principles, broad strategies, and institutional framework, but also the intermediate steps that need to be taken in order to change the current situation into one that represents the objectives to be reached.

### Module 1. Situation analysis

A situation analysis looks specifically at situations that may be relevant to HIV, the factors that favour or impede its spread, and the factors that favour or impede achieving the best possible quality of life for those living with HIV and for their families.

### Module 2. Response analysis

In analysing the response, countries look at all the relevant initiatives in a priority area, not just those that are part of the official national programme. Community-organized activities and those organized by private companies, academic organizations, and nongovernmental organizations all contribute to the national response.

### Module 3. Strategic plan formulation

The formulation of a strategic planning process deals with the question of what should be done about the HIV situation in the country in the future. The plan includes not only a strategic framework but the more detailed strategies necessary to change the current situation and the successive intermediate steps needed to reach the stated objectives.

### Module 4. Resource mobilization

The resource mobilization module is a useful guide to find out how to acquire the resources needed to carry out work on HIV/AIDS. It focuses on the steps necessary to assess what resources are currently available (and how those resources are being used) and how additional resources (and resource partners) can be identified and accessed.

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