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NATIONAL DEVELOPMENT PLANNING AND IMPLEMENTATION STRATEGY NOTE AND GUIDE

The Answer Lies Within

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Foreword

This strategy document was developed by a team of development planners, HIV/AIDS specialists and leadership development facilitators under the auspices of the Development Planning and Implementation (DPI) service line of UNDP's HIV/AIDS Group. The process began at the first Resource Network Meeting held in Johannesburg, South Africa in June 2003. This intensive conceptual work was followed by a second meeting in Dakar, Senegal in September 2003 to include broad indicators and measurable processes that will aid implementation. Additional refinement of the strategy took place in New York throughout 2004. As the year 2005 marks MDG plus 5 the strategy offers a unique opportunity for national engagement in supporting action required to meet the time-bound qualitative targets of the MDGs.

What has driven this work is the deep commitment of a wide range of participants to move away from 'planning as usual' to generating a process that facilitates national action towards and generating extraordinary results for HIV/AIDS and development. This shift towards implementation is expected to bring about responses from national stakeholders that create the conditions that will reverse and halt HIV/AIDS in both low- and high-prevalence settings or in large federal or small states. Among the many positive impacts that a more integrated effort will have on households and communities, it will also bolster the drive to attaining the Millennium Development Goals (MDG) and the UNGASS Declaration of Commitment on HIV and AIDS.

This document captures the thinking and experience of two years of development planning. It brings together transformational change techniques, HIV/AIDS response strategies and national development processes. As such, this report is part of UNDP's series of tools and guides to support partner organizations and countries that wish to revisit existing or develop new national HIV/AIDS responses.

The key objective is to promote a more coherent implementation of HIV/AIDS responses across a range of programmatic and operational areas that include national development plans, poverty reduction strategies, UN Country Team action and decentralized planning processes. A Response Implementation Framework (RIF) is proposed for this purpose.

With these innovative techniques-which are designed to change the way individuals, professionals, institutions and governments work-the Development Planning Resource Network is prepared to assist countries in reviewing or revising their national HIV and AIDS response in a way that integrates the needs of sectors, existing national development processes and instruments such as Poverty Reduction Strategy Papers (PRSP). This will be conducted with sectoral and sub-national stakeholder institutions and communities to ensure maximum benefits are accrued from planning processes.

Finally, the paper outlines objectives, strategies, indicators and possible processes for integrating effective responses to HIV/AIDS into the wider national and district development planning process.

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1. National Development and HIV/AIDS Responses

Embedding HIV/AIDS in Development Planning

LINKING DEVELOPMENT PLANNING AND GOVERNANCE

Development planning is traditionally a set of national processes for decision-making and action that determine and regulate the future social, economic and environmental prospects of a country. It is closely linked to governance, which encompasses the management of national resources and strategies including human and financial resources, and the interrelationship between the state, private and civil society sectors. National HIV/AIDS responses have become an integral part of the development planning process in countries with generalized epidemics and are increasingly recognized as critical in low-prevalence countries.

In most instances, development planning and national HIV/AIDS strategic planning have been government-led, often multi-sectoral, multi-year and multi-level. However a results-based analysis of current planning reveals that processes rarely take into account the needs of the formal and informal private sector or civil society in many developing countries. Thus programmes that require a multi-dimensional approach do not often relate well to each other and, as a result, miss opportunities and synergies for a more comprehensive approach and breakthrough results.

Experience has shown the urgent need to provide a strongly integrated process that effectively addresses complex development and governance issues such as HIV/AIDS, poverty, conflict and environmental issues . The integration will bring wide-ranging governance benefits by ensuring that HIV/AIDS and development are aligned in a way that brings about effective multi-stakeholder implementation of a wide-range of responses to the epidemic.

For countries to achieve decreased HIV/AIDS infection rates and a reduction of current and future impacts of the epidemic, new perspectives and actions are needed where governance architecture, national development plans and HIV/AIDS responses are interwoven into the overall development planning and implementation process.

GENERATING A COMPREHENSIVE NATIONAL RESPONSE

The response to HIV/AIDS has focused on making the case for the epidemic as a development challenge. Here the devastating effect of HIV/AIDS on various development sectors is examined. Much of the current work around mainstreaming HIV/AIDS in development has been tied to impact assessments and analyses focused on creating awareness and generating high-level commitment. These realities and forecasts of potential impacts often do not bring to the fore the underlying complex societal and institutional factors that lead to rising or persistently high prevalence rates in many countries. The goal today is to create actionable responses that address the development challenge.

The aim of the Development Planning and Implementation strategy is to provide a framework and methodology for countries to make their HIV/AIDS responses an integral part of their national development plans and processes, as well as an essential part of each sector's accountability. Another aim is to strengthen the leadership capacities of key players to implement and generate truly measurable results. A fundamental guiding principle of DPI is to address the underlying causes of the HIV/AIDS epidemic and the institutional inertia that often hampers implementation of national responses.

THE RESPONSE IMPLEMENTATION FRAMEWORK: A SCALED-UP RESPONSE

Through work with its partners, UNDP has expanded its role of addressing HIV/AIDS as a development issue to fostering more collaborative responses that can over time favor implementation and results. The commitment to creating an enabling environment for all partners to engage in a scaled-up action on HIV and AIDS is at the heart of a rethinking in national development.

To achieve this, innovative methodologies premised on building new capacities for planners and implementers have been developed. The methodologies stress change at the individual level, which can then be translated into measurable changes at institutional and societal levels. Rather than placing the traditional components of planning (infrastructure, services, resources, etc.) at the centre, the new methodology gives equal weight to transforming individual attitudes and behaviour, collective norms and values, and governance systems and structures in order to scale-up action.

The approach brings innovation to the traditional concepts of development and strategic planning, which are often viewed as top down, institutionally driven and addressing primarily the structural issues. A likely result is a more flexible, community-focused and 'driven' process that is integrated across sectors and includes planners and service providers interacting more comprehensively with communities they serve. The approach is vital for national and sub-national planning to respond to complex challenges such as the HIV/AIDS epidemic, poverty, gender disparities and environmental changes.

An institutional and people-centred focus helps shift development processes and HIV/and AIDS efforts from a largely normative planning orientation to one premised on achieving implementation. The result is a Response Implementation Framework, which integrates both planning and implementation needs. The framework provides broad guidance for people, sectors and institutions to program and mainstream HIV/AIDS within a development framework and outlines a governance relationship for a national response within and beyond the public sector. Given its broader context, the Framework will also shape the strategies and implementation of the relevant Millennium Declaration Goals and priority areas of the Declaration of Commitment adopted by the UN General Assembly Special Session on HIV/AIDS (UNGASS). The framework also provides a flexible platform for responding to the dynamics within a rapidly changing global context, e.g. increased access to affordable anti-retroviral therapies, larger numbers of International partners and more funding, etc.

LEARNING: THE ANSWER LIES WITHIN

Learning to use the Response Implementation Framework starts with training sessions based on transformative leadership techniques that address individual attitudes, perceptions and behaviour, and introduce mental frameworks, distinctions and conversations to planners, development experts and national AIDS authorities and sector ministry staff.

Taking the change in the individual as the starting point means that there can be a powerful cascading shift in the actions of the individuals in planning institutions, governments and communities. This is what the techniques bring to traditional planning. They become an integral part of the planning and implementation cycle in the Response Implementation Framework. Experience in several countries has shown that these techniques have generally resulted in more inclusive, gender-sensitive and rights-based plans and results.

Adding Value through Frameworks

The RIF emphasizes frameworks in place of elaborate plans. The framework approach allows for the expression of initiative and leadership at different levels and within different institutions; provides autonomy that encourages productive action, innovation and opportunities for communities to enter the development process; and can offer more equitable access to resources.

A Response Implementation Framework makes it possible for communities, private and government institutions to act in concert within a goal oriented development planning context.

It allows for a fundamental readjustment of existing national plans and programmes with revisions based on trans-formational practices as implementation proceeds. The RIF will also guide the development and implementation of multi-lateral development and financing instruments such as PRSPs and Highly Indebted Poor Countries (HIPC) documents. The UN system, through the UN Country Teams, must be encouraged to accept broad national frameworks for Common Country Assessments (CCA), UN Development Assessment Frameworks (UNDAF) and UN Implementation Support Plans to strengthen their common effectiveness and outcomes.

National Development Planning Process

• SECTORIAL PLANS

• PRSP

• CCA–UNDAF

•GFATM

HIV/AIDS
Response
Implementation
Framework

Civil Society
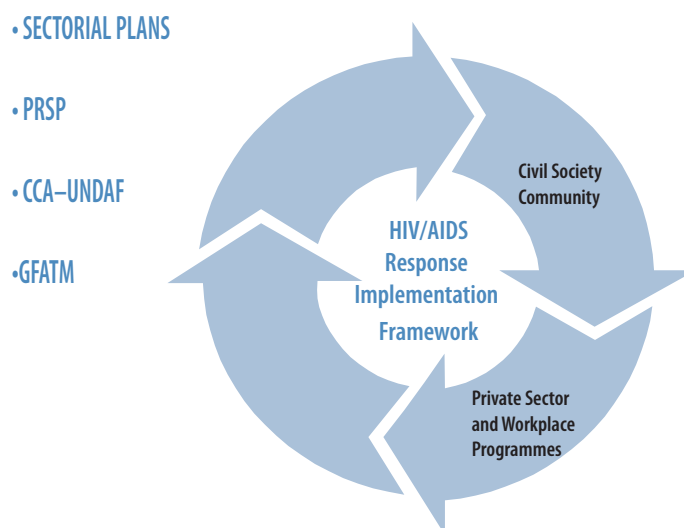Community

Private Sector
and Workplace
Programmes

Fig 1:
HIV/AIDS Response
Implementation Framework

2. Principles of Development Planning and Implementation

❏ Respect for human rights, particularly the rights of people living with HIV/AIDS.

❏ Non-discriminatory gender relations.

❏ Equitable partnerships between community and government institutions, backed by information dissemination.

❏ Equal access to opportunities for interaction, developing solutions and equitable sharing of benefits.

❏ Inclusive processes that are traditionally ignored by government development planning where both private-sector development and investment can come under the democratic control and regulation of people.

❏ Transparency and accountability.

❏ Use of transformational leadership techniques for government and civil society in support of planning and implementation.

❏ Results-focused action will be backed by genuine and sustained commitment of actors who will be accountable to all development partners.

3. Objectives of Development Planning and Implementation

The key purpose of adopting DPI strategy is to enhance overall development effectiveness towards achieving the MDGs and other agreed international development goals through mainstreaming HIV/AIDS responses into development planning and creating mutually reinforcing action that places people at the centre of development.

THE OBJECTIVES ARE:

❏ Facilitate the mainstreaming of HIV/AIDS into planning and implementation processes and instruments at regional, national, sub-national and sectoral levels;

❏ Develop capacity for strengthened, decentralized and local level planning and implementation processes;

❏ Create an enabling environment that allows people to contribute to development and HIV/AIDS responses in different sectors and at different levels of national governance; and

❏ Produce development and HIV/AIDS national frameworks that emphasize equity and empowerment and which enhance opportunities for individuals, communities and institutions for sustained advancement.

4. Strategies

Development planning cycles provide a number of opportunities to review and revise existing development plans and HIV/AIDS strategies. The relatively short cycle of Poverty Reduction Strategy Papers and Medium Term Expenditure Framework represent clear opportunities to more frequently assess progress on mainstreaming of HIV/AIDS into the development process and associated financing modalities. In addition, projects funded from sources such as the Global Fund to Fight AIDS, Tuberculosis and Malaria (GFATM), represent new possibilities for strategic re-examination of HIV/AIDS and development strategies. The relative costs and benefits of the project will be examined in relation to overall sector and development resources.

GENERATE NATIONAL COMMITMENT FOR ACTION AND RESULTS

Increase national commitment through advocacy for action, results and mainstreamed approaches. It involves enrolling key country decision makers and leaders early on in the planning process through leadership methodologies.

DEVELOP RENEWED CAPACITY FOR DEVELOPMENT PLANNING AND STRATEGIC MANAGEMENT

An integrated approach to development planning that addresses HIV and AIDS ? requires policy makers, planners, costing experts, etc. to use different frameworks and develop new competencies that bring together transformational techniques and strategic planning and management skills. A trained cadre of professionals will be able to respond to the needs of communities, while bringing in innovation.

INTEGRATE APPROACHES TO DEVELOPMENT PLANNING

Promote national stakeholders' self-generated development activities and HIV/AIDS responses. This strategy combines strategic management approaches and transformational techniques and makes it possible for critical reallocation of human and financial resources.

INFLUENCE KEY NATIONAL AND REGIONAL EVENTS IN THE PLANNING AND IMPLEMENTATION CYCLE.

This strategy is expected to assist the UN and Partners activate shifts in the results of summits, evaluations, seminars, Consultative Group meetings, etc. toward more bold and innovative outcomes. It involves promoting leadership that places people at the centre and helps multiply choices and options for development.

EMPOWERING WOMEN'S GROUPS

Globally women are increasingly more affected by the epidemic. A specific DPI gender strategy is to bring together women's groups, development planners and HIV/AIDS experts to generate breakthrough initiatives that address such issues as social isolation, violence and care and support.

CREATE NEW NATIONAL AND COMMUNITY PARTNERSHIPS WITH AN IMPLEMENTATION FOCUS

This strategy seeks to translate the "Three Ones" (one authority one, national action, one M&E) principles into national action and provide a route for linking up with community empowerment and mobilization processes, including UNDP's Community Capacity Enhancement programme. It will create reinforced international partnership harmonization for action and implementation of national goals and objectives.

An integrated dynamic planning and implementation process

The scheme below provides a schematic representation of an integrated, multi-sectoral, multi-level planning and implementation process. It illustrates the possible use of transformational leadership techniques at all stages of the cycle. The district or sub-national process represents the point where communities will most commonly interface with the local governance system and as such is where the practical integration and translation of development goals occurs. This decentralized level is also where communities can effectively demand better services and support structures.

Fig 2.
Dynamic planning process

M & E
Strategic Information Management

Self-reflection and review
to measure community,
government & partner successes

Take a Stand
Envision goals

Commitment to new future
& taking a collective stand
Community Voice

Decentralized
Sub-national/ District
Planning & Implementation

Leadership development
for expand response &
scale–up of implementation
Community Voice

Transformational Leadership Techniques

Situation/Response Analysis

Appreciative enquiry
Mapping out current
reality of risk & vulnerability,
interventions, gaps
achievements, challenges
Community Voice

Sector responses &
mainstreaming

Organizational development
Breakthroughs for Workplace
& Group Action

National Development
Strategic Framework

Goals, milestones, indicators
implementation arrangements,
costing exercise

5. Suggested Indicators

These indicators in this table attempt to measure a combination of less quantitative outcomes, as in changed behaviors and institutional norms as well as scaled-up implementation of response that integrates HIV/AIDS into the overall development picture.

STRATEGIES	INDICATORS	MEASUREMENT
1. Generate commitment for action and results	Breakthrough initiatives and innovative projects proposed and accepted by stakeholders and included in national planning and implementation	Records, documentation and project calendars
2. New capacity development for change and strategic management	Institutional culture, norms and commitment shift to place people at the centre of planning solutions and activities Appropriate leadership styles are used in organizations and planning processes	Situation and response analysis have taken account of Wilber framework of individual, cultural and systems dimensions, emotional intelligence, principled and perspective styles of leadership are evident in plans and interactions
3. Integrated approaches are infused in development planning	Transformational methodologies are made part of national planning processes Plans demonstrate a complex understanding of HIV and AIDS as a development issue, with commensurate responses	Documented personal testimonies, stories of personal work transformation and action
4. Proactively influence the key events in the planning and implementation cycle	Key events show that outcomes and actions are influenced by transformational methodologies and an integrated approach	Reports from resource partners to reflect the shift Media coverage shows Consultative Group, UNCT PRSP meetings that includes this transformational approach
5. Create new partnerships to bridge the gap between conventional planning and targets of planning	New partnerships bring inclusiveness for CSOs and special groups Community actors participating meaningfully in planning and implementation equipped with appropriate knowledge and skills (including negotiation skills to make demands and differences)	Public events and public contributions become the norm in the planning process Media reports highlight the value and success of these interactions

6. Expected Results

The use of the six strategic areas are expected to guide medium-term outcomes that can be achieved by countries, UN system and donor partners alike. Achieving the results relies on forging harmonized multi-level partnerships for action, resolving authority and accountability issues and creating an environment of innovation.

HIV/AIDS action mainstreamed

  a. Sectors

   - Impact mapped.

   - Internal workplace programmes implemented.

   - Human capacity for basic services increased (e.g.health; WHO, 3x5, education, OVC support services, legal services).

   - External HIV/AIDS accountabilities to clients defined and fulfilled.

  b. HIV/AIDS bi-directional integration into National Development , MDG-based PRSP, HIPC, CCA/UNDAF, etc. with a focus on financial and human resources.

  c. HIV/AIDS integrated into policies and initiatives of regional entities, e.g. SADC, AU, NEPAD, etc.

❑ District implementation action framed around a common vision financing of basic services, space for innovation and resources secured.

❑ Community concerns and responses acknowledged and endorsed at the national level with direct and explicit resources allocated for local implementation.

❑ Multi-level partnerships with development partners, both national and sub-national, for implementation in place.

❑ National AIDS Authorities lead and influence RIF decision-making and lead implementation process.

❑ Power relations involving women and girls factored across all development planning and implementation results.

❑ Timely resource flows to implementing partners and increased utilization of funds and accountability linked to results.

❑ A response implementation process which documents dialogue, change in institutional norms, accountabilities and breakthrough results.

7. Country Operational Guidelines for Integrating HIV/AIDS National Response

COMPONENTS	SPECIFIC ACTIVITIES	TIMELINE	WHO	TOOLS	OUTCOMES
Preparations	Pre-mission activities Previous LDP activity First UNDP Country Office visit Identify Focal Person in UNDP or contract out Brief CO and RR Conduct exploratory mission to establish relations with UNDP, UNCT, UNAIDS, NAC, MOF, WB Planning Commission, Finance/Foreign ministries etc Review data and documents	Month 1 One-week mission	HIV/AIDS Group	Latest L4R presentations DP/NSP tools country documents	Country outline plan & timelines discussed Buy-in of UNDP Country Office (CO) and local counterparts in place Key partners informed and their buy-in achieved
Enrolment Mission	Identify country core group to enrol including champions or focal points in UNDP, UNAIDS, NAC, MOF—costing experts, government, Planning Commission, WB, CSO think tanks, CCM Conduct enrolment sessions and select local resource persons & train	1-2 weeks	Country core team, resource person & facilitator if required	Latest L4R presentation, DP/NSP tools: prepared with L4R facilitators	Key stakeholders enrolled in integrated planning & implementation methods associated with DP, NSP etc Local facilitators selected and CD started
Country Assessment Situation Response Analyses, Mapping Current Reality	Conduct Appreciative Enquiry (study of national development planning scope and linkages, review literature, socio-cultural drivers of the HIV/AIDS pandemic and vulnerabilities. Identify priority sectors. Assess CCA/UNDAFs etc. Tanning of local facilitators	Month 1 Duration 10 days	Resource persons & L4R facilitators	Use UNDP modular checklist for assessments on country data, DP, HIV/AIDSNSP, sector, district, CCA/UNDAF, PRSP	Assessment SA/RA based on AI distinctions of Wilber completed. Adapted integration doc. **Concrete plan of Implementation** (POI) with recom. for integration & changes to NSP, DP, PRSP etc. Country strategy agreed & milestones for 12 months est.

Steps to Guide Country Implementation Process

These operational guidelines are based on a number of assumptions. The first is that countries have articulated the aspects or the entry point of the development planning and HIV/AIDS response integration process they most require. The processes include the development and revision of national strategic frameworks for HIV/AIDS, integration into country support check lists.

COMPONENTS	SPECIFIC ACTIVITIES	TIME LINE	WHO	TOOLS	OUTCOMES
First workshop to develop framework, sector responses, decentralised inputs	Conduct a three-day workshop for planners and key stakeholders to use transformative planning tools for integration into NDP, PRS etc. using AI outputs Facilitate the integration of HIV/AIDS into planning documents and frameworks	Month 1-2 6 days	HIV/AIDS Group Resource Persons, L4R facilitator	3 day agenda outline & process planning tools etc.	Goals envisioned SA/RA based on AI , mapping current reality completed . Outline strategic framework for NSP, PRSP etc developed
Consultations	Facilitate consultative meetings between communities (including PLWHAs, women's groups, trade unions etc.) and planners to capture community voices and choices	Month 2-3 2 days prep + meeting	National consultants and local facilitators	Dev. ONE PAGER outline for consultation with community	Perspectives of communities integrated Into concepts approaches and POI
Country Action in sectors etc	Action on POI, documentation and sector and client consultations, completion of draft plans and frameworks and M&E reflection processes	Months 3-6 3 months	Country consultants & Planning experts, local facilitators	Planning tools	Draft integrated planning document or framework etc.
Second workshop complete HR skills required , management/ costing	Conduct a three-day workshop for key stakeholders	Month 6-7 6 days	HIV/AIDS group and facilitator Costing expert	Draft framework or documents AI techniques	Finalised framework, PRSP, CCA/UNDAFs etc. with costing and accountabilities
Review & support	Follow up on country progress to ensure integration. Conduct a six-month review to assess progress on POI	Month 11-12 2 week visit	Resource persons	Modular assessment tools adapted	Self-assessed progress report every six-months. Using transformation indicators and milestones

8. Suggested Methodology of Country Operational Plan

These operational plans provide in-country methodology to guide resource groups in planning transformative support packages for partner countries. They provide broad outlines for engagement, including enrolment steps, workshop design, and country support check lists.

Country Enrolment Process

OBJECTIVES

- Form a country core group; and
- Build a relationship of mutual commitment to influence the planning process using transformational approaches.

STEPS IN THE ENROLMENT PROCESS

- Initial point of contact with CO to identify and enrol country core group (UNDP, UNAIDS, NAC, Planning Commission) enlist support from senior political actors and ministers. Segregate potential supporters and potential clients;
- Build a strategic partnership by establishing relationships with UNDP, UNAIDS, NAC, MOF, Planning Commission, World Bank, and CSO think tanks;
- Identify champions/liaison/point persons in supporting client organizations;
- Begin enrolment by conducting seminars and establishing commitment enrol.

ENROLMENT SEMINAR DESIGN

- Introduction by Resident Representative and Minister
- Overview of the HIV/AIDS Situation
- Exercises in Emotional Intelligence
- Listening to and Identifying Key Concerns
- Exercises on Wilber and Likert
- Outline of Country Strategy and Leadership for Results
- End on a high note, take a personal stand and establish commitment of participants.
- Identify and establish a relationship with CSO think tanks.

EXPECTED OUTPUTS

❑ Development of relevant contacts, relationships and networks to facilitate in-country work, country stakeholders, development partners and CSO representatives; and

❑ Initial assessment of country-specific data and socio-economic drivers of HIV/AIDS.

Country Workshops

FIRST WORKSHOP FOR DEVELOPMENT PLANNING

It is intended that the two workshops be led by a Leadership for Development facilitator.

WORKSHOP OUTPUTS

After attending this workshop, participants will

❑ Have a deeper understanding of leadership and transformational techniques, new planning and integration approaches within UNDP's HIV/AIDS Leadership for Results package.

❑ Apply the above techniques to create a National Development Framework or Poverty Reduction Strategies that address the issue of HIV/AIDS in a deeper way.

❑ Outline the process and identify the people responsible for the development and finalization of a country implementation programmes.

PROFILE OF PARTICIPANTS (30-50 PARTICIPANTS)

❑ Key persons managing the national strategic/development planning processes, including government ministries, NACs and GFATM CCMs.

❑ Key stakeholders from PLWHA groups, NGOs, CBOs, CSOs, private sector, academia and the media.

ACTIVITY	OUTPUTS
Day 1 Ice breaker/ Introduction of participants Expectations of participants Presentation of transformative tools ❏ Wilber ❏ Likert ❏ Emotional Intelligence ❏ Appreciative enquiry ❏ Technology, Rights and Transformation	Participants introduced to and comfortable with each other Expectations clarified Participants introduced to and familiar with the use of transformative tools in developing plans
Day 2 Envisioning Goals ❏ Identifying successes and factors accounting for successes ❏ Identifying areas that can be improved upon ❏ Expectations/vision for the future Mapping out current reality. The situation and response analysis	Participants identify the goals of the programme ❏ The group identifies success stories from the past and the reasons for it ❏ Areas to be improved identified The group is made aware of the current reality and determinants
Day 3 Developing broad strategies to achieve the goals Agree on the roadmap and key persons/ institutions responsible for developing the detailed plan	Strategies to achieve the goals identified and agreed upon. There is a document that identifies the key activities that will detail the strategies, who will be responsible for each of them and when they will be completed

Second Workshop For Development Planning

WORKSHOP OUTPUTS

After attending this workshop, participants will produce:

❏ A detailed implementation plan, including activities, timelines, persons responsible for implementation, budgets, indicators.

❏ Monitoring and evaluation mechanisms.

❏ An agreement on how monitoring and evaluation will feed into programme implementation.

PROFILE OF PARTICIPANTS (30-50 PARTICIPANTS)

❏ Team members entrusted with development of detailed implementation plan based on the strategic framework.

❏ Key stakeholders responsible for approval of the plan.

❏ Key members of stakeholder communities.

❏ Facilitators.

SCHEDULE FOR THE SECOND WORKSHOP

ACTIVITY	OUTPUTS
Day 1	
❑ Ice breaker/ Introduction of participants ❑ Expectations of participants ❑ Presentation of transformative tools ❑ Wilber ❑ Likert ❑ Emotional Intelligence ❑ Appreciative enquiry ❑ Technology, Rights and Transformation	❑ Participants introduced to and comfortable with each other ❑ Participants familiar with the outputs of first workshop ❑ The persons responsible for detailing the strategies of the first workshop present their work
Day 2	
❑ co creation of activities and agreement on activities recommended ❑ Develop indicators, time lines and budgets for the activities identified	❑ The activities identified by the by participants are accepted with modifications ❑ Indicators, timelines and budgets developed for the activities agreed upon
Day 3	
❑ Agree on the review mechanism including method of selection of participants, methodology and periodicity	❑ A review mechanism with details of selection of participants, methodology along with systems for feeding into programme

Stakeholder Consultations

Facilitate one-day consultative meetings between communities. This includes PLWHA, CSO's, youth groups, sector ministries, women's groups, trade unions, GFATM representatives and political parties. The country core groups and facilitators will capture community voices and choices for inclusion in planning processes. They will also serve to inform the community about the planning process, the progress of the epidemic, national goals and the potential points of contact and influence that communities have in the cycles.

❑ Half-day on issues, concerns and transformational approaches.

❑ Half-day open forum: interactive, feedback and suggestion. UNDP's Arts and Media component will be used where possible to disseminate and create a wider broader understanding of the issues and processes.

EXPECTED OUTPUT

❑ Community perspectives and expectations captured and integrated into the planning process.

❑ Longer-term information and dialogue processes established.

Documentation of the Integrated Development Planning Process

PURPOSE OF DOCUMENTATION

- ❑ Ensure that experiences gathered in the course of this work are collated and branded.
- ❑ Serve as a basis for refining and redesigning approaches and tools for future work both within UNDP, for consultants, and for country programme review and reflection.

The following list shows the items to be covered and the purpose for which documentation will be done.

STORIES OF ACTION

- ❑ Methods employed and how they are applicable in specific contexts and environments.
- ❑ Insights and breakthroughs that show the extent to which workshop objectives have been met.
- ❑ Participants' commitment and stand, which will give a fair assessment of possibilities within countries.
- ❑ Follow-up actions so that there is shared understanding of the roles, responsibilities and expectations.
- ❑ Experiences with frameworks.
- ❑ Realizing the shift: Country Reports.
- ❑ Country position in terms of transformative methodologies.
- ❑ Specific shifts made in the content of plans after transformative workshops.
- ❑ Implications of shifts for implementation strategy.
- ❑ Integration of planning with other components of the UNDP package i.e. Arts and Media, Community Conversations, etc.
- ❑ Breakthroughs, which influence monitoring.
- ❑ Main challenges that call for UNDP action(s).
- ❑ Recommendations for further country missions.
- ❑ Personal testimonies, stories of personal work, transformation and action.
- ❑ Reports and media events concerning transformative workshops.

9. Country Support Checklist for HIV/AIDS Development Planning Support

- ❑ Establish initial contact with UNDP country office (Resident Representative).
- ❑ Identify key person in UNDP office who will serve as contact.
- ❑ Obtain telephone contacts (home and office phone numbers of the contact person and at least one other person in the UNDP Country Office)
- ❑ Contact leadership facilitator and arrange dates.
- ❑ Discuss and agree dates and programmes with UNDP Country Office and facilitator
- ❑ Check flight connections to country and identify when and how to arrive in country.
- ❑ Decide with key people in the UNDP Country Office which key persons are to be contacted in country.
- ❑ Decide which key ministries in each country are to be contacted.
- ❑ Ask country offices to book hotels and venues for training programmes and other activities.
- ❑ Obtain and read documents on the development planning processes of the country to be visited.
- ❑ Discuss possible venues and logistics required for training workshops.
- ❑ Make a list (including addresses, email addresses, telephone numbers) of all the stakeholders to be contacted.
- ❑ Make initial contact with stakeholders prior to arrival in country.
- ❑ Prepare an implementation plan for the whole country support programme.
- ❑ Share implementation plan with facilitator, and Resident Representative, as well as stakeholders.
- ❑ Prepare a plan for the documentation of country activities.
- ❑ Define monitoring and evaluation indicators.
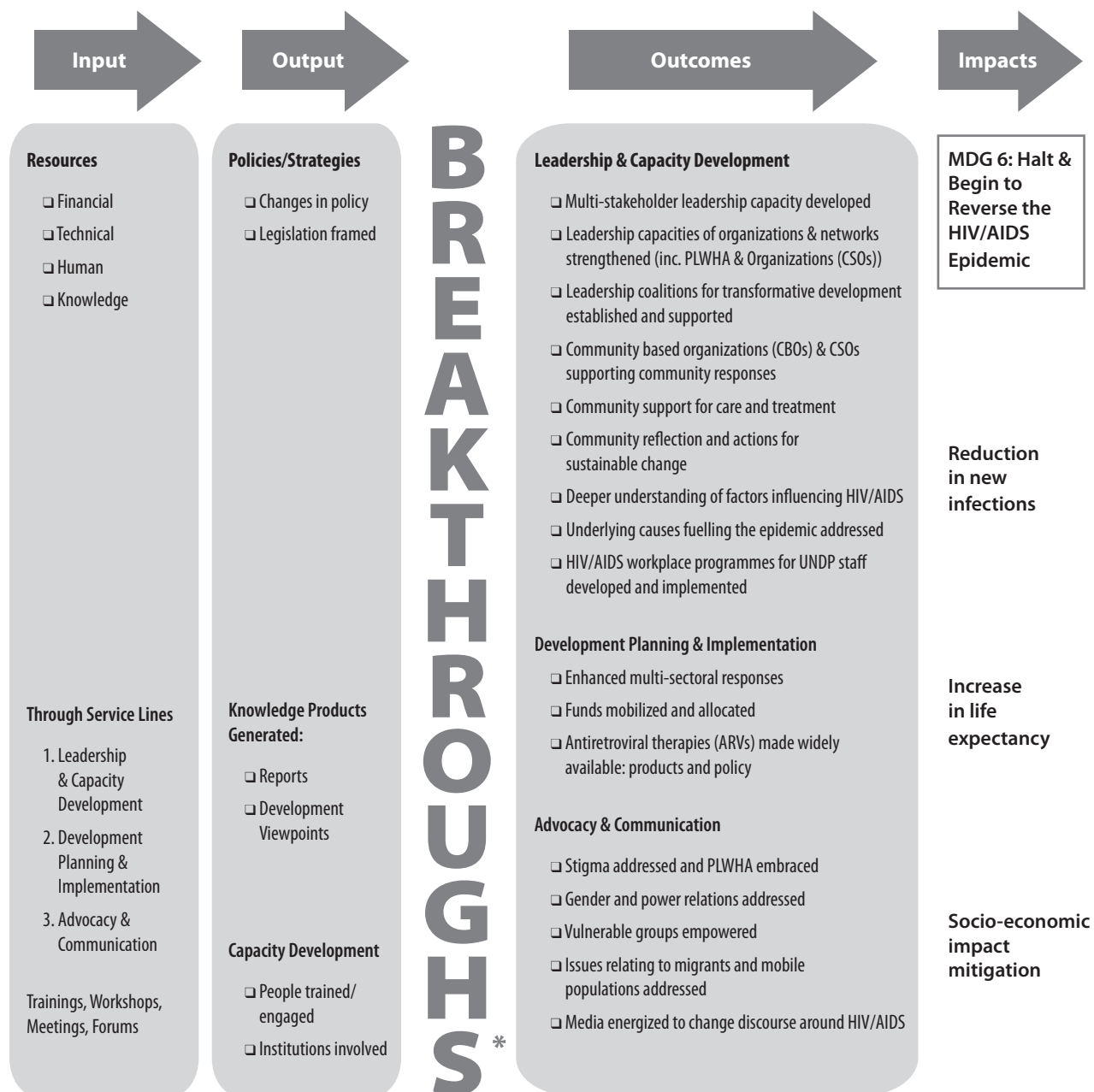- ❑ Ensure that agreements are signed.

ANNEXES

Responding to HIV/AIDS is one of UNDP's corporate priorities. UNDP works to create an enabling policy, legislative and resource environment for an effective response to HIV/AIDS, focusing on three service lines or areas of action: (1) Leadership and capacity development; (2) Development planning and implementation; and (3) Advocacy and communication. UNDP's **Leadership for Results** strategy incorporates four mutually reinforcing and synergistic components to advance implementation of the service lines and strengthen national responses to HIV/AIDS: (i) Leadership Development Programmes to develop the capacity of leaders from all sectors of society to take effective action to address HIV/AIDS; (ii) Community Capacity Enhancement programmes to empower communities to make decisions and actions to halt the spread of HIV/AIDS; (iii) Development Planning and Implementation initiatives promoting inclusive and empowering planning and implementation at national and local levels; and (iv) Arts and Media programmes focusing on changing the discourse around HIV/AIDS and empowering women and people living with HIV/AIDS. The following Annexes highlight key frameworks for measuring and documenting outcomes of service lines and of the Leadership for Results programme.

Annex I. UNDP Key Results Areas for Service Lines

Service Lines	Sample Outcomes and Outputs
Leadership and capacity development to address HIV/AIDS: UNDP provides support for national HIV/AIDS strategies that mobilize social and political leadership and action across all sectors. These strategies involve the promotion of a deep transformation of norms, values and practices, guided by the principles of participation, gender equality and human rights. UNDP also assists governments, community organizations, civil society and the private sector to develop capacity to address the underlying causes of the epidemic, and strengthens the capacity of communities for action, social mobilization and change. Core Results: ❑ Multi-stakeholder leadership capacity developed at individual, institutional and societal levels that generates breakthrough responses for reversing the course of the epidemic.* ❑ Individual and community responses to the epidemic developed addressing attitudes and practices that influence the spread of the epidemic.*	❑ Multi-stakeholder leadership capacity developed ❑ Leadership capacities of networks and organizations (including for PLWHA and CSOs) developed ❑ Leadership coalitions for transformative development established and supported ❑ CBOs and CSOs supporting community responses ❑ Community reflection and actions to address HIV/AIDS ❑ Community support for care and treatment ❑ Deeper understanding of factors influencing HIV/AIDS ❑ Underlying causes fuelling the epidemic addressed ❑ HIV/AIDS workplace programmes for UNDP staff developed and implemented
Development planning, implementation and HIV/AIDS responses UNDP promotes national development planning processes as multi-sectoral and multi-level engagements by governments, the United Nations and other partners. This involves the mainstreaming of HIV/AIDS into national development planning instruments, including national development plans and budgets; the PRSP process, HIPC and other debt processes; UNDAFs; country programmes; and sectoral studies. Core Results: ❑ Broad-based, multi-sectoral and multi-level response generated, integrating HIV/AIDS into national development plans and mainstreaming HIV/AIDS into key sectors and ministries.* ❑ Individual, institutional and societal capacities developed to effectively respond to the epidemic in crisis countries, high-prevalence countries, small island states and countries with other special circumstances.*	❑ HIV/AIDS mainstreamed into development planning instruments (national development plans and budgets, PRS/PRSPs, expenditure frameworks, and HIPC and other debt processes), CCA/UNDAF and Country Programmes ❑ HIV/AIDS mainstreamed into line-ministries and sectoral policy studies ❑ National AIDS Councils strengthened ❑ Multi-sectoral HIV/AIDS responses planned and implemented at national, sub-national and district levels ❑ HIV/AIDS aspects of CEDAW implemented ❑ HIV/AIDS strategy developed in emergency settings and response generated ❑ Strategies addressing the loss of work-force due to HIV/AIDS formulated ❑ Funds mobilized and allocated ❑ Antiretroviral therapies made widely available ❑ The RC System supported to implement CCA/UNDAF and UNISPs*
Advocacy and communication to address HIV/AIDS UNDP uses advocacy and communication to promote a deeper understanding of the epidemic, reduce its impact and reverse its spread. Areas of support include: communication strategies to address stigma, discrimination, and gender relations that render women and girls vulnerable to infection; advocacy for legal reforms; policy dialogue on prevention and impact mitigation; and formulation of anti-discrimination, legislation for people living with HIV/AIDS. Core Results: ❑ Enabling environment developed to achieve UNGASS goals and MDGs, addressing human rights, gender equality, and issues of vulnerability and silence that fuel the epidemic. ❑ Advocacy and Communications strategies created that develop a deeper understanding of the epidemic and its underlying causes, and address issues of vulnerability, stigma and discrimination.* ❑ Rights of People Living with HIV and AIDS (PLWHA) and vulnerable groups protected and promoted.	❑ National and Regional HDRs with an HIV/AIDS focus prepared ❑ Multi-stakeholder national policy dialogues to achieve UNGASS goals and create an enabling environment promoted to address prevention; treatment and care; socio-economic impact mitigation; mobile and migrant populations; and reducing vulnerability and vulnerable groups ❑ Round-tables on resource mobilization and high-level seminars on HIV/AIDS undertaken ❑ Legal reforms and formulation of anti-discrimination legislation for PLWHA and gender equality ❑ Communication strategies formulated to promote gender equality, and address gender dimensions of HIV/AIDS and stigma and discrimination against PLWHA ❑ Media and artists energized to change HIV/AIDS discourse

* Also a key result for UNDP under the UNAIDS Unified Budget and Workplan

Annex II. Strategic Framework for Results: HIV/AIDS

Input →

Output →

Outcomes →

Impacts →

B R E A K T H R O U G H S *

Resources

- ❑ Financial
- ❑ Technical
- ❑ Human
- ❑ Knowledge

Through Service Lines

1. Leadership & Capacity Development
2. Development Planning & Implementation
3. Advocacy & Communication

Trainings, Workshops, Meetings, Forums

Policies/Strategies

- ❑ Changes in policy
- ❑ Legislation framed

Knowledge Products Generated:

- ❑ Reports
- ❑ Development Viewpoints

Capacity Development

- ❑ People trained/ engaged
- ❑ Institutions involved

Leadership & Capacity Development

- ❑ Multi-stakeholder leadership capacity developed
- ❑ Leadership capacities of organizations & networks strengthened (inc. PLWHA & Organizations (CSOs))
- ❑ Leadership coalitions for transformative development established and supported
- ❑ Community based organizations (CBOs) & CSOs supporting community responses
- ❑ Community support for care and treatment
- ❑ Community reflection and actions for sustainable change
- ❑ Deeper understanding of factors influencing HIV/AIDS
- ❑ Underlying causes fuelling the epidemic addressed
- ❑ HIV/AIDS workplace programmes for UNDP staff developed and implemented

Development Planning & Implementation

- ❑ Enhanced multi-sectoral responses
- ❑ Funds mobilized and allocated
- ❑ Antiretroviral therapies (ARVs) made widely available: products and policy

Advocacy & Communication

- ❑ Stigma addressed and PLWHA embraced
- ❑ Gender and power relations addressed
- ❑ Vulnerable groups empowered
- ❑ Issues relating to migrants and mobile populations addressed
- ❑ Media energized to change discourse around HIV/AIDS

MDG 6: Halt & Begin to Reverse the HIV/AIDS Epidemic

Reduction in new infections

Increase in life expectancy

Socio-economic impact mitigation

* Breakthroughs are generated through the decisions and actions that are outcomes of the Leadership for Results programme, including Leadership Development Programmes, Community Capacity Enhancement processes, Development Planning and Implementation initiatives, and Arts and Media programmes

Annex III. Indicators for Measurement

OUTCOMES AND CHANGES IN DEVELOPMENT CONDITIONS

Outcome	Indicator
Leadership & Capacity Development ❑ Multi-stakeholder leadership capacity developed ❑ Networks and coalitions strengthened ❑ Testing becomes a norm ❑ Community support for care and treatment ❑ Community-based organizations (CBOs) and civil society organizations (CSOs) engaged ❑ Community reflection and actions for sustainable change ❑ Deeper understanding of factors influencing HIV/AIDS ❑ Underlying causes fuelling the epidemic addressed	❑ Country has a functional national and sub national & multi-sectoral HIV/AIDS management body and includes substantive representation of women ❑ County has policy of promoting women as leaders in the response to HIV and AIDS ❑ Country has functional national & sub national HIV/AIDS body/processes that promote interaction for generating results among government, private sector and civil society, including 50% participation by women ❑ Country has functional national, sub-national and local mechanisms for involving community-based organizations and civil society for the response, including women's groups and PLWHA. ❑ Increased number of community initiatives for prevention, home-based care, change in harmful traditional practices, reduction of stigma and discrimination, support for orphans, voluntary counselling and testing, and addressing women's issues and PLWHA ❑ Percentage of young people aged 15-24 who both correctly identify ways of preventing the sexual transmission of HIV and reject major misconceptions about HIV transmission; at least 50% of youth are women
Development Planning & Implementation ❑ Enhanced multi-sectoral responses ❑ Funds mobilized and allocated ❑ Antiretroviral HIV therapies (ARVs) made widely available: products and policy ❑ Improved functioning of delivery systems, voluntary counselling and testing (VCTs), treatment centres	❑ Amount of national funds spent by governments on HIV/AIDS, also specifying what is spent on women and girls ❑ Country has developed gender-sensitive, multi-sectoral strategies to combat HIV/AIDS ❑ Country has integrated HIV/AIDS into its general development plans with national, regional and local strategies for also addressing problems related to women and girls, and engaging them in the response ❑ Health facilities capable of providing interventions for prevention & medical treatment for HIV- infected persons, and also including the needs of women ❑ Increased utilization by women and girls of health facilities with capacity to deliver basic level counselling and medical services for HIV/AIDS ❑ Data for people with advanced HIV infection receiving anti-retroviral combination therapy, disaggregated for men and women
Advocacy & Communications ❑ Stigma addressed and people living with HIV/AIDS (PLWHA) embraced ❑ Gender and power relations addressed ❑ Vulnerable groups empowered ❑ Media energized to change discourse around HIV/AIDS ❑ Increased workplace programmes	❑ Country has a general policy or strategy to promote information, education and communication (IEC) on HIV/AIDS, and also addresses issues related to women and girls ❑ Country has laws and regulations that protect against discrimination of people living with HIV/AIDS, and laws that ensure women's rights to inheritance and property ❑ Country has a policy to ensure equal access for men and women to prevention and care, with emphasis on vulnerable populations

IMPACT ON THE HIV/AIDS EPIDEMIC

Impact	Indicator
❑ Reduction of new infections	❑ Percentage of young people aged 15-24 who are HIV infected, disaggregated by gender
❑ Increase in life expectancy	❑ Life expectancy at birth disaggregated for women and men and for people living with HIV/AIDS
❑ Socio-economic impact mitigation	❑ Ratio of current school attendance among orphans to that among non-orphans aged 10-14, disaggregated by gender

Adapted from UNAIDS: Guidelines on Construction of Core Indicators, August 2003

Annex IV. Leadership for Results Documentation Guidelines

COMMUNICATING OUR WORK TO THE WORLD

UNDP places great emphasis on documenting the processes and results of the Leadership for Results (L4R) programme. Documentation demonstrates the outstanding results L4R has produced and enables understanding of the unique methodologies used in the programme. Documentation also enables stakeholders in different regions and countries to learn from experiences and plan effective strategies for next steps for sustainability of efforts.

Some key documentation tools have been developed to position the Leadership for Results work in the overall UNDP context and align them to the Service Lines, UNDP Strategic Results Framework (SRF), Multi-Year Funding Framework (MYFF), MDGs and UNGASS goals. These are outlined below:

1. How UNDP Strengthens National Responses

2. How core results are achieved through expected outcomes

3. How key drivers serve as frameworks

4. Achievements of reach and scale

1. How UNDP strengthens national responses

Key questions to be addressed
❏ How do our approaches achieve the UNGASS Goals in the context of National Strategies?
❏ How do our approaches achieve the MDGs?
❏ How do governments/policy makers/development partners/stakeholders engage with our programmes?
❏ What is the cost of not doing the L4R programme? What happened that would otherwise not have happened without UNDP's inputs?

2. How core results are echieved through expected outcomes

Service Lines / Core Results	Key Questions on Expected Outcomes
Leadership and capacity development to address HIV/AIDS Core Results: ❑ Multi-stakeholder leadership capacity developed at individual, institutional and societal levels that generates breakthrough responses for reversing the course of the epidemic. ❑ Individual and community responses to the epidemic developed addressing attitudes and practices that influence the spread of the epidemic.	❑ How has multi-stakeholder leadership capacity been developed ? ❑ How have leadership capacities of organizations & networks (inc. PLWHA & CSOs) been strengthened? ❑ How have leadership coalitions for transformative development been established and supported ? ❑ How have community-based organizations (CBOs) & civil society organizations (CSOs) supported community responses? ❑ How are communities supporting care and treatment needs? ❑ How are community reflections and actions leading to sustainable change? ❑ How is the deeper understanding of factors influencing HIV/AIDS being demonstrated? ❑ How are the underlying causes fuelling the epidemic being addressed? ❑ How are HIV/AIDS workplace programmes for UNDP staff being developed and implemented?
Development planning, implementation and HIV/AIDS responses Core Results: ❑ Broad-based, multi-sectoral and multi-level response generated, integrating HIV/AIDS into national development plans and mainstreaming HIV/AIDS into key sectors and ministries. ❑ Individual, institutional and societal capacities developed to effectively respond to the epidemic in crisis countries, high prevalence countries, small island states and countries with other special circumstances.	❑ How have multi-sectoral responses been enhanced? ❑ What funds have been mobilized and allocated (to whom)? ❑ How have antiretroviral HIV therapies (ARVs) been made widely available: what are the products and policies?
Advocacy and communication to address HIV/AIDS Core Results: ❑ Enabling environment developed to achieve UNGASS goals and MDGs, addressing human rights, gender equality, and issues of vulnerability and silence that fuel the epidemic. ❑ Advocacy and Communications strategies created that develop a deeper understanding of the epidemic and its underlying causes, and address issues of vulnerability, stigma and discrimination. ❑ Rights of People Living with HIV and AIDS (PLWHA) and vulnerable groups protected and promoted.	❑ How has stigma been addressed and PLWHA accepted and welcomed? ❑ How have gender and power relations been addressed? ❑ How have vulnerable groups been empowered? ❑ How are issues relating to migrants and mobile populations being addressed? ❑ How has media been energized to change discourse around HIV/AIDS?

3. How key development drivers serve as frameworks

6 Key drivers serve as frameworks for documentation

Key Drivers for documentation frameworks	Key questions to be addressed
Develop national capacities	❏ How do our programmes develop national capacities?
Promote national ownership	❏ How do our programmes enhance national ownership?
Advocate for and foster an enabling policy environment	❏ How do our programmes advocate for and foster an enabling policy environment?
Advocate for South-South solutions	❏ How do we seek South-South solutions?
Promote gender equality	❏ How do our programmes promote gender equality?
Forge strategic partnerships	❏ How do our programmes forge strategic partnerships for results?

4. Achievements of reach and scale

**Documentation needs to address strategic questions
about the scale and reach of interventions**

Key questions to be addressed
❏ How many people are reached directly by the interventions?
❏ How many people are reached indirectly or what is the (estimated) potential reach of these interventions?

Documentation of L4R needs to strike a balance between capturing inspiring, anecdotal experiences of participants and the sharper, strategic positioning our work requires. The transformational methodology of L4R has an impact on people's minds and hearts, while inspiring action to generate results. The challenge of effective documentation is to capture and record both the personal insights and the results they generate.

Annex V. Resource List for Leadership for Results

Books/Booklets/Communication Packages

- *Achieving Exceptional HIV/AIDS Responses for Development,* UNDP Human Development Viewpoint, 2004

- *Arts and Media: Transforming the Response to HIV/AIDS*, Gulan Kripalani, Shivaji Bhattacharya, Monica Sharma et al, UNDP, 2005

- *Breakthrough: UNDP's Response to HIV/AIDS*, UNDP, 2004

- *Choices* Supplement – *Access for All: UNDP Partnerships in HIV/AIDS and Development,* UNDP, 2004

- *Committed Leadership Can Reverse the Course of the HIV/AIDS Epidemic*, UNDP Human Development Viewpoint, 2004

- *Community Capacity Enhancement Handbook*, Moustapha Gueye, Daouda Diouf, Thebisa Chaava et al, UNDP, 2005

- *Community Capacity Enhancement Strategy Note*, Moustapha Gueye, Daouda Diouf, Thebisa Chaava et al, UNDP, 2005

- *HIV/AIDS Corporate Strategy,* UNDP, 2004

- *HIV/AIDS Thematic Guidance Note for National Human Development Reports*, Nadia Rasheed, Bjørg Sandkjær and Dace Dzenovska, UNDP, 2005

- *Leadership Development Programme Implementation Guide*, Monica Sharma, Allan Henderson, Serra Reid, et al, UNDP, 2005

- *Leadership Development Programme Strategy Note*, Monica Sharma, Allan Henderson, Serra Reid, et al, UNDP, 2005

- *Leadership for Results Booklet*, UNDP Strategic Management Team and Executive Team Meeting, 2004

- *Leadership for Results Catalogue,* UNDP, 2005

- *Mobilizing Artists and the Media for HIV/AIDS Action*, UNDP Human Development Viewpoint, 2004

- *Responding to HIV/AIDS: Measuring Results*, UNDP 2005

- *Reversing the HIV/AIDS Epidemic is not Possible without Community Action*, UNDP Human Development Viewpoint, 2004

- *Strategy Note and Guide on District Development Planning and Implementation,* Joseph Annan and Benjamin Ofosu-Koranteng, UNDP, 2005

- *Strategy Note and Guide on National Development Planning and Implementation*, Joseph Annan, UNDP, 2005

- *The Answer Lies Within – Leadership for Results: Arts and Media for Social Change,* UNDP, 2004

- *UNDP HIV/AIDS Communication Package*, Bangkok Conference, UNDP, 2004

- *Voices of Change, Voices of Action. Transforming the response to HIV/AIDS: An Ethiopian Experience,* UNDP, 2003

- *We Care Communication Package*, UNDP, 2004

Films/Videos	Other References
❏ *Mindwalk Directed* by Bernt Capra (based on the book The Turning Point by Fritjof Capra)	❏ *Emotional Intelligence* by Daniel Goleman (and workbook) (Bantam, 1995)
❏ *Everyday Creativity* by Dewitt Jones	❏ *Primal Leadership* by Daniel Goleman, Annie Mckee and Richard E.Boyatzis (Harvard Business School Press, 2002)
❏ *What the Bleep Do We Know* by Mark Vicente, Betsy Chasse, William Arntz	❏ *Leadership Without Easy Answers* by Ronald Heifetz (Harvard University Press, 1994)
	❏ *How The Way We Talk Can Change The Way We Work* by Robert Kegan and Lisa Laskow Lahey (Jossey-Bass, 2000)
❏ *Solo* by Mike Hoover	❏ *The Dance of Change* by Peter Senge (Doubleday/Currency, 1999))
❏ ***Capturing the Impact of Leadership Development Programme Around the World*** (UNDP production)	❏ *The Marriage of Sense and Soul* by Ken Wilber (Random House, 1998)
❏ *Arts and Media film from South Africa* (UNDP production)	❏ *The Web of Life* by Fritjof Capra (Anchor Books, 1996)
❏ *Community Capacity Enhancement Film from Ethiopia* (UNDP production)	❏ *Global Mind Change* by Willis Harman (Warner Books, 1990)
❏ *We Care Video* (UNDP production)	❏ *Leadership in the Context of Emerging Worlds* by W. Brian Arthur, Jonathan Day et al (Summary paper on an Ongoing Research Project, McKinsey – Society for Organizational Learning 1999-2000)

UNDP is the UN's global development network, advocating for change and connecting countries to knowledge, experience and resources to help people build better lives. UNDP is on the ground in 166 countries, working with them on their own solutions to global and national development challenges. As they develop local capacity, they draw on the people of UNDP and its wide range of partners.

World leaders have pledged to achieve the Millennium Development Goals, including the overarching goal of cutting poverty in half by 2015. UNDP's network links and coordinates global and national efforts to reach these Goals. The organization's focus is on helping countries build and share solutions to the challenges of:

• Democratic Governance
• Poverty Reduction
• Crisis Prevention and Recovery
• Energy and Environment
• HIV/AIDS

UNDP helps developing countries attract and use aid effectively. In all its activities, UNDP encourages the protection of human rights and the empowerment of women.

UNDP