

# **Joint Assessment of National Health Strategies and Plans**

## **Joint Assessment Tool: the attributes of a sound national strategy**

Version 2: September 2011

For further information go to: <http://www.internationalhealthpartnership.net/en/home>

## Introduction to the joint assessment of national health strategies and plans

Joint assessment is a shared approach to assessing the strengths and weaknesses of a national strategy<sup>1</sup>, which is accepted by multiple stakeholders, and can be used as the basis for technical and financial support. Joint assessment is not a new idea, but there are several reasons for renewed interest in the approach. There is strong consensus that sustainable development requires harmonized support to national processes. In health, the increased number of international actors in recent years has led to a resurgence of efforts to coordinate resource use and get more partners to support a single national health strategy. The presumed benefits of joint assessment include enhanced quality of national strategies and greater partner confidence in those strategies, thereby securing more predictable and better aligned funding. The inclusion of multiple partners in a joint assessment is also expected to reduce transaction costs associated with separate assessment processes.

An IHP+ inter-agency working group<sup>2</sup> developed this joint assessment tool, and its associated guidelines. These were reviewed by seven countries and tested by international agencies<sup>3</sup>, and endorsed by IHP+ partners at a steering group (SuRG) meeting in 2009 as ready for testing. In 2010, the tool was applied in several countries as part of the national health planning process<sup>4</sup>. The tool has also been used for the assessment of program strategies, and for other reviews of national plans<sup>5</sup>. Based on the lessons learned from these early applications of the tool, this version was developed under the oversight of a multi-agency group.

### How to use this tool, and its companion guidelines

The joint assessment tool is deliberately generic - it sets out the essential 'ingredients' of any sound national strategy but, given the diversity of country circumstances, it does not prescribe what those elements should contain. It can be used to assess an overall national health strategy or specific sub-sectoral and multi-sectoral strategies. It examines the strengths and weaknesses of five sets of attributes considered the foundation of any 'good' and comprehensive national strategy:

- **Situation analysis and programming:** clarity and relevance of strategies, based on sound situation analysis
- The **process** through which national plans and strategies have been developed
- **Costs and financing of the strategy**
- **Implementation and management arrangements**
- **Results, monitoring, review mechanisms**

It is not assumed that all the attributes will be detailed in the strategy or plan document itself – some aspects may be covered in other policy, strategy and operational documents. Assessment of a national health strategy includes a review of the strategy itself, and its alignment with national development frameworks; related multi-sectoral and sub-sectoral / disease specific strategies; monitoring and evaluation plan and budgetary processes. This means an assessment requires review of a portfolio of documents, not one single document. A companion set of Joint Assessment Guidelines, plus a 'Frequently Asked Questions' sheet are available at [www.internationalhealthpartnership.net](http://www.internationalhealthpartnership.net)

The way a joint assessment is carried out will be unique to each country, but based on some key principles: it will be country demand driven; be country led and build on existing processes; include an independent element, and engage civil society and other relevant stakeholders. The output is not a yes/no recommendation for funding. It will give an assessment of the strengths and weaknesses of the national strategy, and gives recommendations. Findings can be discussed by national stakeholders and partners and may be used to revise the strategy.

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<sup>1</sup> The term 'national strategy' is used here to include the various types of health plans and differing terminology used in countries, including health sector strategic plans, national health plans etc.

<sup>2</sup> A full list of agencies and institutions involved can be found on p6.

<sup>3</sup> Multi-stakeholder consultations held in: Burundi, Ethiopia, Ghana, Mali, Tajikistan, Viet Nam and Zambia.

<sup>4</sup> Countries that used the JANS tool in 2010 include Bangladesh, Ethiopia, Ghana, Nepal, Uganda, Vietnam and Zambia.

<sup>5</sup> The Global Fund used the tool in its first learning wave of national strategy applications for HIV/AIDS, TB and malaria. GAVI commissioned 26 country desk reviews of national strategies and related documents, using the JANS tool.

## JOINT ASSESSMENT ATTRIBUTES AND CRITERIA

Attributes	No.	Characteristics of the Attributes
<b>1. SITUATION ANALYSIS AND PROGRAMMING</b> Clarity and relevance of priorities and strategies selected, based on a sound situation analysis		
<b>Attribute 1:</b> National strategy is based on a sound situation and response analysis of the context (including political, social, cultural, gender, epidemiological, legal, governance, and institutional issues).	1.1	The situation analysis is based on a comprehensive and participatory analysis of health determinants and health outcome trends within the epidemiological, political, socio-economic and organizational context prevailing in the country.
	1.2	The analysis uses disaggregated data to describe progress towards achieving health sector policy objectives in line with primary health care: • Universal coverage, to improve health equity • Service delivery, to make health systems people-centred • Public policies, to promote and protect the health of communities • Leadership, to improve competence and accountability of health authorities.
	1.3	Analysis of past and current health sector responses and health financing arrangements identifies priority problems and areas for improvement
<b>Attribute 2:</b> National strategy sets out clear priorities, goals, policies, objectives, interventions, and expected results, that contribute to improving health outcomes and equity, and to meeting national and global commitments.	1.4	Objectives are clearly defined, measurable, realistic and time-bound.
	1.5	Goals, objectives and interventions address health priorities, access, equity, quality and health outcomes across all population sub-groups, especially vulnerable groups. This includes plans for financing health services that identify how funds will be raised; address financial barriers to access; and minimise risks of impoverishment due to health care.
<b>Attribute 3:</b> Planned interventions are feasible, locally appropriate, equitable and based on evidence and good practice, including consideration of effectiveness, efficiency and sustainability.	1.6	Planned approaches and interventions are based upon analysis of effectiveness and efficiency, and are relevant to the priority needs identified. The approaches to and pace of scale up look feasible considering past experience on implementation capacity, and identify ways to increase efficiency.
	1.7	The plan identifies and addresses key systems issues that impact on equity, efficiency and sustainability, including financial, human resource, and technical sustainability constraints.
	1.8	Contingency plans for emergency health needs (natural disasters and emerging/re-emerging diseases), in line with the International Health Regulations, are included in plans at all levels.
<b>Attribute 4:</b> An assessment of risks and proposed mitigation strategies are present and credible.	1.9	Risk analyses include potential obstacles to successful implementation. Mitigation strategies identify how these risks are being addressed.
<b>2. PROCESS</b> Soundness and inclusiveness of development and endorsement processes for the national strategy		
<b>Attribute 5:</b> Multi-stakeholder involvement in development of the national strategy and operational plans and multi-stakeholder endorsement of the final national strategy.	2.1	A transparent mechanism exists which ensures the lead of the government and meaningful participation of all stakeholders, so they can provide input systematically into strategy development and annual operational planning. Stakeholders include national and local government institutions; public representatives; civil society; private health care providers; and development partners.
<b>Attribute 6:</b> There are indications of a high level of political commitment to the national strategy.	2.2	Relevant sectoral and multi-sectoral policies and legislation, under the spirit of "health in all policies", are in place to allow successful implementation.
	2.3	The strategy notes challenges to implementing the needed regulatory and legislative framework and has approaches to overcome enforcement problems.
	2.4	Political commitment is shown by provision for maintaining or preferably increasing government's financing of the national strategy.
	2.5	High-level (e.g. national assembly) political discussion, and formal endorsement of the national health strategy and budget is planned, as appropriate to national context.
<b>Attribute 7:</b> The national strategy is consistent with relevant higher- and/or lower-level strategies, financing frameworks and plans.	2.6	The national health strategy, disease specific programmes and other sub-strategies are consistent with each other and with overarching national development objectives.
	2.7	In federal and decentralized health systems, there is an effective mechanism to ensure sub-national plans address main national-level goals and targets.

Attributes	No.	Characteristics of the Attributes
<b>3. COSTS AND BUDGETARY FRAMEWORK FOR THE STRATEGY Soundness and feasibility</b>		
<b>Attribute 8:</b> The national strategy has an expenditure framework that includes a comprehensive budget /costing of the program areas covered by the national strategy.	3.1	The strategy is accompanied by a sound expenditure framework with a costed plan that links to the budget. It includes recurrent and investment financing requirements to implement the strategy, including costs of human resources, medicines, decentralized management, infrastructure and social protection mechanisms. When appropriate, the framework includes costs for activities and stakeholders beyond the public health sector.
	3.2	Cost estimates are clearly explained, justified as realistic, and based on economically sound methods.
<b>Attribute 9:</b> The strategy has a realistic budgetary framework and funding projections. If the strategy is not fully financed, there are mechanisms to ensure prioritisation in line with overall objectives of the strategy,	3.3	Funding projections include all sources of finance, specify financial pledges from key domestic and international funding sources (including lending), and consider uncertainties and risks.
	3.4	Funding projections are realistic in the light of economic conditions, medium term expenditure plans, and fiscal space constraints.
	3.5	If the level of financing is unclear or there is a financing gap, then the priorities for spending are spelt out with the consequences for results (either by showing the plans and targets under high, low, and most likely funding scenarios, or by explaining the process for determining spending priorities).
<b>4. IMPLEMENTATION AND MANAGEMENT Soundness of arrangements and systems for implementing and managing the programmes contained in the national strategy</b>		
<b>Attribute 10:</b> Operational plans are regularly developed through a participatory process and detail how national strategy objectives will be achieved.	4.1	Roles and responsibilities of implementing partners are described. If there are new policies or approaches planned, responsibility for moving them forward to implementation is defined.
	4.2	There are mechanisms for ensuring that sub-sector operational plans – such as district plans, disease program plans and plans for agencies and autonomous institutions – are related and linked to the strategic priorities in the national health strategy.
<b>Attribute 11:</b> National strategy describes how resources will be deployed to achieve outcomes and improve equity, including how resources will be allocated to sub-national level and non-state actors.	4.3	The organization of service delivery is defined and the strategy identifies the roles and responsibilities of service providers and resources they require.
	4.4	Plans have transparent criteria for allocation of resources (human resources, commodities, funding) across programmes and to sub-national levels and non-state actors (where appropriate), that will help to increase equity and efficiency.
	4.5	Current logistics, information and management system constraints are described, and credible actions are proposed to resolve constraints.
<b>Attribute 12:</b> The adequacy of existing institutional capacity to implement the strategy has been assessed and there are plans to develop the capacity required.	4.6	Human resource (management and capacity) needs are identified, including staffing levels, skills mix, distribution, training, supervision, pay and incentives.
	4.7	Key systems are in place, and properly resourced, or there are plans for the improvements needed. This includes systems and capacity for planning and budgeting; technical and managerial supervision; and maintenance.
	4.8	Strategy describes approaches to meet technical assistance requirements for its implementation.
<b>Attribute 13:</b> Financial management and procurement arrangements are appropriate, compliant, and accountable. Action plans to improve public financial management (PFM) and procurement address weaknesses identified in the strategy and in other diagnostic work.	4.9	Financial management system meets national and international standards, and produces reports appropriate for decision-making, oversight and analysis. Strengths and weaknesses in financial management systems, capacity, and practices in the sector are identified, drawing on other studies. Action plans to strengthen PFM address fiduciary risks, are feasible within a reasonable timeframe and are fully costed,
	4.10	Procurement systems meet national and international standards. Areas requiring strengthening have been identified, drawing on other studies, and there is a realistic plan to address these.
	4.11	Reasonable assurance is provided by independent internal and external audits and by parliamentary oversight. Audits include assessment of value for money. Mechanisms for following up audit findings are in place and functional.
	4.12	It is clear how funds and other resources will reach the intended beneficiaries, including modalities for channelling and reporting on external funds. There are systematic mechanisms to ensure timely disbursements, efficient flow of funds and to resolve bottlenecks. In decentralized health systems, this includes effective sub-national fund flow processes and financial oversight.

Attributes	No.	Characteristics of the Attributes
<b>Attribute 14:</b> Governance, accountability, management and coordination mechanisms for implementation are specified.	4.13	Internal and multi-stakeholder external governance arrangements exist that specify management, oversight, coordination, and reporting mechanisms for national strategy implementation.
	4.14	Description of national policies relating to governance, accountability, oversight, enforcement and reporting mechanisms within the Ministry and relevant departments. Plans demonstrate how past issues on accountability and governance will be addressed, to fully comply with national regulations and international good practice.
<b>5. MONITORING, EVALUATION AND REVIEW Soundness of review and evaluation mechanisms and how their results are used</b>		
<b>Attribute 15:</b> The plan for monitoring and evaluation (M&E) is sound, reflects the strategy and includes core indicators; sources of information; methods and responsibilities for data collection, management, analysis and quality assurance.	5.1	There is a comprehensive framework that guides the M&E work, which reflects the goals and objectives of the national strategy.
	5.2	There is a balanced and core set of indicators and targets to measure progress, equity and performance.
	5.3	The M&E plan specifies data sources and collection methods, identifies and addresses data gaps and defines information flows.
	5.4	Data analysis and synthesis is specified and data quality issues are anticipated and addressed.
	5.5	Data dissemination and communication is effective and regular, including analytical reports for performance reviews and data sharing.
	5.6	Roles and responsibilities in M&E are clearly defined, with a mechanism for coordination and plans for strengthening capacity.
<b>Attribute 16:</b> There is a plan for joint periodic performance reviews and processes to feed back the findings into decision making and action.	5.7	There is a multi-partner review mechanism that inputs systematically into assessing sector or programme performance against annual and long term goals
	5.8	Regular assessments of progress and performance are used as a basis for policy dialogue and performance review.
	5.9	There are processes for identifying corrective measures and translating these into action, including mechanisms to provide feedback to sub-national levels and to adjust financial allocations.

**IHP+ Inter-Agency Working Groups are time-limited, and made up of technical experts from among IHP+ signatories. Agencies and countries represented on the original JANS Inter-Agency Working Group and the subsequent JANS Amendment Group (which agreed version 2) include:** AusAID; African Council for Sustainable Health Development; Ministry of HIV & AIDS, Burundi; Ministry of Health, Ethiopia; European Commission; GAVI Alliance; Integrated Social Development Centre, Ghana; Ministry of Health, Ghana; Global Fund to Fight AIDS, TB and Malaria; Health Global Access Project; Ministry of Health, Mali; Ministry of Foreign Affairs, The Netherlands; Roll Back Malaria; Ministry of Foreign Affairs, Spain; Treatment Action Group; Ministry of Health, Uganda; UNAIDS; UNFPA; UNICEF; Department for International Development, United Kingdom; World Bank; World Health Organisation.