



## Self-Assessment Checklist: HIV Prevention

The Code of Good Practice for NGOs Responding to HIV/AIDS ('the Code') states that in order to effectively prevent the spread of HIV, organisations should provide comprehensive HIV prevention programmes that incorporate multiple approaches.

Prevention programmes that ensure that the whole spectrum of prevention options is available to vulnerable populations have been shown to substantially reduce new HIV infection throughout the world.



### The Code identifies several key principles on HIV prevention:

- We provide and/or advocate for comprehensive HIV prevention programmes to meet the variety of needs of individuals and communities
- Our HIV programmes are integrated to reach and meet the diverse needs of PLHIV and affected communities
- Our prevention programmes ensure that individuals have access to and information about the use of commodities to prevent HIV infection
- We provide and/or advocate for comprehensive harm reduction programmes for people who inject drugs.
- Our prevention programmes enable individuals to develop the skills to protect themselves and others from HIV infection.

This self-assessment checklist will help you assess the degree to which your organisation is successfully implementing these principles. The questions are designed to be thinking points/guidelines to help you identify areas that are already at a 'good practice' level, and areas that need to be developed and strengthened.

### author

This checklist was developed by the International Council of AIDS Service Organizations (ICASO) in collaboration with the African Council of AIDS Service Organizations (AfriCASO).



## Self-Assessment Checklist: HIV Prevention

### Self-Assessment Instructions

This checklist should be completed by a group of three to five staff members who are involved with HIV prevention programming at your organisation.

Please indicate your answer to each question by marking the appropriate box.

- Y** Yes, we undertake this work/activity
- I** Insufficient, in preparation, or is not followed in practice
- N** No, we've not yet tackled this work/activity
- NR** Not relevant to our work

**Please be honest in completing this checklist.** It is expected that your scoring will vary between modules, depending on your area of expertise.

**There is no formalized scoring process for this assessment. Instead, we suggest that you look at the questions that you answered 'no' or 'insufficient' to, and then select areas that are most relevant for your organisation to improve upon in the short-term.**

### Action Plan

We challenge you to use this tool to identify areas that your organisation needs to strengthen in order to reach a 'good practice' level, and then develop a brief Action Plan that highlights examples of HOW you will improve your work on HIV prevention over the next six months. You can use the Action Plan template provided at the end of this module or create your own.

**There are eight Key Questions highlighted in the checklist in red.** These questions address fundamental issues that you need to consider first when assessing your organisation's HIV prevention programming. As you develop your Action Plan, keep these questions in mind. If you have answered 'no' to any of them, addressing these issues is a good starting point for improving your programmes.

#### How to save the Action Plan:

Complete the self-assessment module and Action Plan electronically, save the file and submit it to the Code Secretariat by email. The Secretariat will credit all NGOs that submit Action Plans as 'Implementing' NGOs and full signatories of the Code. After the period of six months, we will ask you to measure your progress against your Action Plan.

### the Code

The Code of Good Practice for NGOs Responding to HIV/AIDS (the 'Code') was created by a broad consortium of NGOs to provide a shared vision of good practice to which NGOs can commit and be held accountable.

The Code outlines principles and practices that are informed by evidence and underscore successful NGO responses to HIV. It identifies a series of areas that are key to HIV programming and articulates fundamental principles that should be applied to HIV programmes in each of these areas.

These principles are aspirational, setting out examples of good practice that NGOs can work towards over time.

**For more information on the Code, go to [www.hivcode.org](http://www.hivcode.org)**



# Checklist

Please indicate your answer by marking the appropriate box.

**Y** Yes, we undertake this work/activity

**I** Insufficient, in preparation, or being considered

**N** No, we've not yet tackled this work/activity

**NR** Not relevant to our work

## A

### We provide and/or advocate for comprehensive HIV prevention programmes to meet the variety of needs of individuals and communities

It is essential to utilise multiple prevention approaches in combination in order for them to be effective. This section will help you measure how well your organisation is providing HIV prevention programmes and activities.

#### A.1 Organisational support for comprehensive prevention programming

<input type="radio"/> <b>Y</b> <input type="radio"/> <b>I</b> <input type="radio"/> <b>N</b> <input type="radio"/> <b>NR</b>	<p><b>1. Does your organisation provide and/or advocate for a comprehensive approach to HIV prevention?</b></p> <p>This includes:</p> <ul style="list-style-type: none"> <li>• accessible and appropriate information about the risks of HIV infection for men, women and young people and the means of prevention in relation to these risks?</li> <li>• tailored information, education and communication (IEC) programmes?</li> <li>• access to and information about the use of commodities for prevention?</li> <li>• participatory skills training to enable people (particularly young people and women) to negotiate safer behaviour?</li> <li>• social marketing and community education programmes that mobilise communities and influence community norms to support and sustain safer behaviours?</li> <li>• access to voluntary counselling and testing (VCT), and treatment, care and support programmes?</li> <li>• advocacy efforts to address social, economic, legal and cultural barriers to effective HIV prevention?</li> </ul>
<input type="radio"/> <b>Y</b> <input type="radio"/> <b>I</b> <input type="radio"/> <b>N</b> <input type="radio"/> <b>NR</b>	<p><b>2. Does your organisation utilise a rights-based approach to HIV programming?</b></p>
<input type="radio"/> <b>Y</b> <input type="radio"/> <b>I</b> <input type="radio"/> <b>N</b> <input type="radio"/> <b>NR</b>	<p><b>3. Do all staff members involved in developing and implementing your organisation's HIV prevention programmes have a high level understanding of:</b></p> <ul style="list-style-type: none"> <li>• comprehensive HIV prevention?</li> </ul>



# Checklist

<input type="radio"/> Y <input type="radio"/> I <input type="radio"/> N <input type="radio"/> NR	• positive prevention strategies?
<input type="radio"/> Y <input type="radio"/> I <input type="radio"/> N <input type="radio"/> NR	• meaningful involvement of people living with HIV (MIPA)?
<input type="radio"/> Y <input type="radio"/> I <input type="radio"/> N <input type="radio"/> NR	• rights-based programming?
<input type="radio"/> Y <input type="radio"/> I <input type="radio"/> N <input type="radio"/> NR	• risk behaviours and factors affecting vulnerability to HIV infection?
<input type="radio"/> Y <input type="radio"/> I <input type="radio"/> N <input type="radio"/> NR	• an understanding of gender inequity (including violence against women, children and other marginalised people) and how it impacts on vulnerability to HIV infection?
<input type="radio"/> Y <input type="radio"/> I <input type="radio"/> N <input type="radio"/> NR	• participatory methodologies and processes for programme design, monitoring and evaluation to ensure accountability to, and input from people living with HIV (PLHIV), key populations <sup>1</sup> and affected communities?
<input type="radio"/> Y <input type="radio"/> I <input type="radio"/> N <input type="radio"/> NR	• how HIV prevention programmes can be linked to other HIV programmes, sexual and reproductive health services?
<input type="radio"/> Y <input type="radio"/> I <input type="radio"/> N <input type="radio"/> NR	<b>4. Has your organisation taken measures to ensure that its prevention programmes are accessible, inclusive and non-discriminatory?</b>
<input type="radio"/> Y <input type="radio"/> I <input type="radio"/> N <input type="radio"/> NR	5. Does your organisation promote the employment of PLHIV, members of key populations and affected communities (including women and young people) within your organisation as Board members, staff, and volunteers (as relevant)?
<input type="radio"/> Y <input type="radio"/> I <input type="radio"/> N <input type="radio"/> NR	6. Does your organisation have at least one staff member that is responsible for keeping up-to-date on new research (including evidence-informed interventions, risk factors for vulnerability to HIV infection and new prevention technologies)?

**Actions needed to support Section A.1:**

1. For the purposes of this guide key populations includes the following groups: sex workers and their clients, men who have sex with men (including gay and bisexual men), people who inject drugs and prisoners.



## Checklist

### A.2 We plan, monitor and evaluate programmes for effectiveness and in response to community need

Y  I  N  NR

Y  I  N  NR

Y  I  N  NR

1. Are your organisation's HIV prevention programmes based on:

• epidemiology of the HIV epidemic in your context?

• evidence-informed programme interventions?

• meaningful involvement of PLHIV (including men, women and young people), key populations, and members of affected communities?

Y  I  N  NR

2. Does your organisation have dedicated staff members to oversee the monitoring and evaluation (M&E) of your HIV prevention programmes?

Y  I  N  NR

3. Has an M&E framework been developed to track the success of your organisation's HIV prevention programming?

Y  I  N  NR

4. Does your organisation conduct periodic evaluations to ensure that your HIV programmes are achieving their intended outcomes?

Y  I  N  NR

5. Does your organisation routinely collect and analyze data for different aspects of your HIV prevention programming?

Y  I  N  NR

6. Are reports regularly developed on the outcomes of your organisation's programmes and disseminated widely?

#### Actions needed to support Section A.2:



## Checklist

### A.3 Our prevention programmes ensure that individuals have access to and information about the use of commodities to prevent HIV infection

Y  I  N  NR

1. Does your organisation promote and/or provide information on the full range of commodities to prevent HIV infection?

Y  I  N  NR

2. Does your organisation promote and/or provide the following specific tailored resources and commodities:

- condoms and lubricant?

Y  I  N  NR

- female condoms?

Y  I  N  NR

- sterile injecting equipment (or in its absence, commodities for effective sterilisation, such as bleach)?

Y  I  N  NR

- post-exposure prophylaxis (PEP) for people who have been raped?

Y  I  N  NR

- occupational and non-occupational PEP (as part of comprehensive HIV prevention, occupational health, and post-rape care service policies)?

Y  I  N  NR

- universal precautions (such as PEP and gloves)?

Y  I  N  NR

- antiretroviral (ARV) therapy for people living with HIV?

Y  I  N  NR

3. Does your organisation promote and/or provide targeted information that supports/complements the resources and commodities you provide?

Y  I  N  NR

4. Does your organisation promote and/or provide resources and commodities through outreach programmes and drop-in centres?

Y  I  N  NR

5. Does your organisation work with other local organisations to ensure that resources and commodities are provided through a variety of healthcare settings (such as sexual and reproductive health programmes)?

Y  I  N  NR

6. Does your organisation develop IEC materials on prevention commodities in partnership with key populations to ensure that the information provided is appropriate to their needs?

Y  I  N  NR

7. Does your organisation address HIV-related stigma, discrimination and gender inequality as barriers to the access/use of prevention commodities and services?



## Checklist

Y  I  N  NR

8. Does your organisation address violence (or the fear of violence) as a barrier to the use of prevention commodities and VCT services, and as a facilitator to the transmission of sexually transmitted infections?

**Actions needed to support Section A.3:**



# Checklist

## A.4 Our prevention programmes enable individuals to develop the skills to protect themselves and others from HIV infection

<input type="radio"/> Y <input type="radio"/> I <input type="radio"/> N <input type="radio"/> NR	1. Has your organisation identified key populations that its prevention programmes should reach, based on:
<input type="radio"/> Y <input type="radio"/> I <input type="radio"/> N <input type="radio"/> NR	<ul style="list-style-type: none"> <li>• local epidemiological evidence?</li> </ul>
<input type="radio"/> Y <input type="radio"/> I <input type="radio"/> N <input type="radio"/> NR	<ul style="list-style-type: none"> <li>• gender- and age-disaggregated data?</li> </ul>
<input type="radio"/> Y <input type="radio"/> I <input type="radio"/> N <input type="radio"/> NR	<ul style="list-style-type: none"> <li>• analysis of the sub-populations within key populations that are most vulnerable or at risk?</li> </ul>
<input type="radio"/> Y <input type="radio"/> I <input type="radio"/> N <input type="radio"/> NR	<ul style="list-style-type: none"> <li>• community assessment?</li> </ul>
<input type="radio"/> Y <input type="radio"/> I <input type="radio"/> N <input type="radio"/> NR	<ul style="list-style-type: none"> <li>• gaps in services provided by other organisations and institutions?</li> </ul>
<input type="radio"/> Y <input type="radio"/> I <input type="radio"/> N <input type="radio"/> NR	<b>2. Has your organisation developed a prioritised plan for how it will address the prevention needs of key populations that it has identified in the context of its work?</b>
<input type="radio"/> Y <input type="radio"/> I <input type="radio"/> N <input type="radio"/> NR	3. Does your organisation create and/or promote targeted IEC programmes to reach these key populations?
<input type="radio"/> Y <input type="radio"/> I <input type="radio"/> N <input type="radio"/> NR	4. Does your organisation involve PLHIV and vulnerable populations in the design, delivery, monitoring and evaluation of prevention programmes and IEC materials?
	This includes (as relevant to your context):
<input type="radio"/> Y <input type="radio"/> I <input type="radio"/> N <input type="radio"/> NR	<ul style="list-style-type: none"> <li>• PLHIV</li> </ul>
<input type="radio"/> Y <input type="radio"/> I <input type="radio"/> N <input type="radio"/> NR	<ul style="list-style-type: none"> <li>• men who have sex with men</li> </ul>
<input type="radio"/> Y <input type="radio"/> I <input type="radio"/> N <input type="radio"/> NR	<ul style="list-style-type: none"> <li>• sex workers and their clients</li> </ul>
<input type="radio"/> Y <input type="radio"/> I <input type="radio"/> N <input type="radio"/> NR	<ul style="list-style-type: none"> <li>• people who inject drugs</li> </ul>
<input type="radio"/> Y <input type="radio"/> I <input type="radio"/> N <input type="radio"/> NR	<ul style="list-style-type: none"> <li>• prisoners</li> </ul>
<input type="radio"/> Y <input type="radio"/> I <input type="radio"/> N <input type="radio"/> NR	<ul style="list-style-type: none"> <li>• transgender people</li> </ul>
<input type="radio"/> Y <input type="radio"/> I <input type="radio"/> N <input type="radio"/> NR	<ul style="list-style-type: none"> <li>• women and girls</li> </ul>
<input type="radio"/> Y <input type="radio"/> I <input type="radio"/> N <input type="radio"/> NR	<ul style="list-style-type: none"> <li>• children and young people</li> </ul>



## Checklist

Y  I  N  NR

• older people

Y  I  N  NR

• mobile populations

Y  I  N  NR

• populations in emergency situations

Y  I  N  NR

5. Does your organisation promote/advocate for effective social and behaviour change interventions for the general population?

**6. Do your organisation's HIV prevention programmes utilise positive prevention strategies to:**

Y  I  N  NR

• increase the self-esteem, confidence and ability of PLHIV (particularly women and girls) to protect their own health and to avoid passing on the infection to others?

Y  I  N  NR

• advocate for an ethical framework that respects the rights and needs of all PLHIV to enjoy sexual relationships, have reproductive choices and live a full and healthy life?

Y  I  N  NR

• advocate for a legal and policy environment to protect the rights of all PLHIV - including their sexual rights?

Y  I  N  NR

7. Does your organisation partner with networks of PLHIV to develop positive prevention programmes?

Y  I  N  NR

8. Does your organisation promote the employment of women and men living with HIV as direct service providers to other PLHIV, key populations and affected communities (for example as outreach workers, counsellors, treatment educators, service managers, etc)?

Y  I  N  NR

9. Does your organisation promote or provide prevention of mother to child HIV transmission (PMTCT) services that are linked to sexual and reproductive health services?

**Actions needed to support Section A.4:**



## Checklist

### A.5 We provide and/or advocate for comprehensive harm reduction programmes for people who inject drugs.

The Code defines the term *harm reduction* as the policies and programmes that aim to prevent or reduce the harms associated with injecting drug use.

Please answer the following questions if your organisation has programmes/ services targetting drug use.

Y  I  N  NR

1. Does your organisation work closely with networks of drug users and organisations providing harm reduction services?

Y  I  N  NR

2. Does your organisation provide a comprehensive package of HIV prevention information for injecting drug users?

Y  I  N  NR

3. Does your organisation support IEC programmes for people who inject drugs?

Y  I  N  NR

4. Does your organisation advocate for or provide access to treatment for drug dependence, including substitution treatments?

Y  I  N  NR

5. Does your organisation advocate for or provide safe and sterile needle injecting equipment?

Y  I  N  NR

6. Do your organisation's programmes use community outreach and/or drop-in strategies to provide information, resources and commodities?

Y  I  N  NR

7. Does your organisation provide information on HIV prevention for sexual partners of drug users?

**Actions needed to support Section A.5:**



# Checklist

## A.6 Addressing social, economic, legal and policy barriers to effective prevention

<input type="radio"/> <b>Y</b> <input type="radio"/> <b>I</b> <input type="radio"/> <b>N</b> <input type="radio"/> <b>NR</b>	<p>1. Does your organisation address the 'drivers of the epidemic' through its HIV prevention programmes by addressing:</p> <ul style="list-style-type: none"> <li>• stigma and discrimination as a barrier to effective prevention, both within your organisation and in the community?</li> <li>• gender inequality?</li> <li>• violence against and the exploitation of women, children and other vulnerable people?</li> <li>• human rights violations?</li> </ul>
<input type="radio"/> <b>Y</b> <input type="radio"/> <b>I</b> <input type="radio"/> <b>N</b> <input type="radio"/> <b>NR</b>	<p>2. Has your organisation researched the relevance of newly identified drivers of the epidemic and how they are relevant to your context?</p> <p>This includes:</p> <ul style="list-style-type: none"> <li>• concurrent sexual partnerships</li> <li>• intergenerational sex</li> <li>• low level of male circumcision</li> <li>• child sexual abuse linked to transactional sex</li> </ul>
<input type="radio"/> <b>Y</b> <input type="radio"/> <b>I</b> <input type="radio"/> <b>N</b> <input type="radio"/> <b>NR</b>	<p>3. Does your organisation advocate for policy change and/or for decision makers to address:</p> <ul style="list-style-type: none"> <li>• comprehensive prevention programming?</li> <li>• key drivers of the epidemic?</li> <li>• the newly identified drivers of the epidemic (as appropriate)?</li> <li>• the protection of human rights, particularly of women and girls, and sexual minorities?</li> </ul>
<input type="radio"/> <b>Y</b> <input type="radio"/> <b>I</b> <input type="radio"/> <b>N</b> <input type="radio"/> <b>NR</b>	<p>4. Does your organisation support and/or partner with other organisations and networks that advocate for the rights of key populations?</p>



## Checklist

Y  I  N  NR

5. Does your organisation advocate with key institutional stakeholders to promote access to prevention services and commodities for key populations?

Y  I  N  NR

6. Do your organisation's programmes address violence (and the fear of violence) as a barrier to accessing diagnosis and treatment for sexually transmitted infections, VCT and PMTCT services?

**Actions needed to support Section A.6:**



# Checklist

## B

### Our HIV programmes are integrated to reach and meet the diverse needs of PLHIV and affected communities

In order to prevent the transmission of HIV and respond effectively to its complex effects, organisations should integrate HIV prevention with a continuum of other services, and foster strategic partnerships with organisations providing complementary services.

This section will enable you to assess how effectively your organisation has integrated its HIV prevention programmes.

<input type="radio"/> Y <input type="radio"/> I <input type="radio"/> N <input type="radio"/> NR	1. Has HIV prevention been mainstreamed through all HIV programmes at your organisation?
<input type="radio"/> Y <input type="radio"/> I <input type="radio"/> N <input type="radio"/> NR	2. If you work in development, human rights or humanitarian programming, has your organisation mainstreamed HIV and gender in all of its programmes?
<input type="radio"/> Y <input type="radio"/> I <input type="radio"/> N <input type="radio"/> NR	<b>3. Has your organisation created partnerships and referral systems with other stakeholders providing complementary services?</b>  This includes: <ul style="list-style-type: none"> <li><input type="radio"/> Y   <input type="radio"/> I   <input type="radio"/> N   <input type="radio"/> NR   • a comprehensive HIV prevention package</li> <li><input type="radio"/> Y   <input type="radio"/> I   <input type="radio"/> N   <input type="radio"/> NR   • VCT services (including post-test clubs and peer support groups)</li> <li><input type="radio"/> Y   <input type="radio"/> I   <input type="radio"/> N   <input type="radio"/> NR   • treatment services</li> <li><input type="radio"/> Y   <input type="radio"/> I   <input type="radio"/> N   <input type="radio"/> NR   • care and support services</li> <li><input type="radio"/> Y   <input type="radio"/> I   <input type="radio"/> N   <input type="radio"/> NR   • sexual and reproductive health programmes (including PMTCT)</li> <li><input type="radio"/> Y   <input type="radio"/> I   <input type="radio"/> N   <input type="radio"/> NR   • other health programmes</li> <li><input type="radio"/> Y   <input type="radio"/> I   <input type="radio"/> N   <input type="radio"/> NR   • emergency relief programmes</li> <li><input type="radio"/> Y   <input type="radio"/> I   <input type="radio"/> N   <input type="radio"/> NR   • poverty and development programmes (aiming to improve food security, water and sanitation, education, livelihoods sustainability etc)</li> <li><input type="radio"/> Y   <input type="radio"/> I   <input type="radio"/> N   <input type="radio"/> NR   • human rights programmes and/or advocacy organisations</li> </ul>



## Checklist

Y  I  N  NR

4. Does your organisation promote the reinforcement of HIV prevention (including positive prevention messages and skills-building) through complementary services (such as home-based care)?

Y  I  N  NR

5. Does your organisation work with other service providers to support accessible and non-discriminatory HIV prevention, care, treatment and support services for key populations?

Y  I  N  NR

6. Are PLHIV, including women and young people, meaningfully involved in all aspects of the design, implementation and evaluation of your organisation's policies and programmes?

**Actions needed to support Section B:**



## Action Plan: HIV Prevention

In completing this self-assessment checklist, you are likely to have identified some areas that are in need of improvement and some that are already at a 'good practice' level.

Please complete the Action Plan table on the next page and highlight examples of how you

will improve your organisation's work on HIV Prevention over the next six months, thinking first about the Key Questions below. If you answer 'no' to any of these questions, it would be important for you to start here in improving your work!

### Key Questions

1. Do your organisation's programmes provide and/or advocate for a comprehensive approach to HIV prevention?
2. Has your organisation taken measures to ensure that its HIV prevention programmes are accessible, inclusive and non-discriminatory?
3. Are your organisation's HIV prevention programmes designed and/or promoted based on:
  - the epidemiology of the HIV epidemic in your context?
  - evidence-informed programme interventions?
  - meaningful involvement of PLHIV (including men, women and young people), key populations, and members of affected communities?
4. Does your organisation promote and/or provide targeted information that supports/complements the resources and commodities you provide?
5. Does your organisation address HIV-related stigma and discrimination and gender inequality as barriers to the access to or use of prevention commodities and services?
6. Has your organisation developed a prioritised plan for how it will address the prevention needs of key populations that it has identified in the context of its work?
7. Does your organisation's HIV prevention programmes utilise positive prevention strategies?
8. Has your organisation created partnerships and referral systems with other local and national stakeholders providing complementary services?

Please remember to save your completed action plan and email it to **info@hivcode.org** or send it to **PO Box 372, 1211 Geneva 19, Switzerland.**

Name of Organisation	Contact Person	Email Address
Signed		Date



## Action Plan: HIV Prevention

**Expected Outcomes**  
(What do we want to achieve?)

**Key Activities**  
(What do we need to do?)

**Action Points**  
(How do we do it?)

**Resources**  
(What kind of support do we need to do it?)

**Timeframe**  
(When will we do it?)
