

# Oral PrEP Introduction Planning Toolkit

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## STEP 5 FACILITY READINESS ASSESSMENT



# About this toolkit

## WHAT IS THE PURPOSE AND CONTENTS OF THIS TOOLKIT?

- This toolkit was developed and used by the OPTIONS Consortium to support planning for the introduction of oral PrEP for HIV prevention in Kenya, Zimbabwe and South Africa.
- This toolkit is designed to help users in other countries plan for the introduction and rollout of oral PrEP

## WHO SHOULD USE THIS TOOLKIT?

This toolkit will be most relevant for:



**National governments and ministries of health/HIV agencies** to inform national and regional oral PrEP rollout and provide high-level guidance to counties/districts on what factors should be considered to ensure they are prepared to rollout oral PrEP



**Implementing organizations (e.g., NGOs)** to understand national and regional needs related to oral PrEP delivery and to support effective resource allocation



**Donors (e.g., USAID)** to initially scope country-specific needs and resource requirements

## HOW COULD THE TOOLKIT BE MORE USEFUL?

If you have thoughts, feedback, questions, requests for additional information or other resources that you would like to add to this toolkit, please contact us at [info@PrEPNetwork.org](mailto:info@PrEPNetwork.org).

*Please acknowledge USAID/OPTIONS with use of this toolkit.*

# This is the fifth tool in a series of six

# 1

## SITUATION ANALYSIS

**Understand current context for oral PrEP**

- Identify existing assets, gaps, challenges, and key questions for PrEP rollout
- Develop a landscape of key stakeholders and ongoing efforts

# 2

## PROJECT LANDSCAPE

**Assess findings & gaps in projects**

- Survey current and planned studies and implementation projects
- Identify key questions to inform implementation and assess gaps

# 3

## ROLLOUT SCENARIOS

**Inform where and how to rollout PrEP**

- Define rollout scenarios that differ by counties/districts or population groups
- Highlight considerations and trade-offs between different scenarios

# 4

## DISTRICT READINESS ASSESSMENT

**Assess district readiness for oral PrEP**

- Assess district/county readiness to introduce and scale oral PrEP
- Support sub-national planning for oral PrEP roll out and scale-up

# 5

## FACILITY READINESS ASSESSMENT

**Assess facility readiness for oral PrEP**

- Assess the readiness of healthcare facilities to deliver oral PrEP
- Identify areas that require additional investment

# 6

## PRIVATE SECTOR ASSESSMENT

**Identify opportunities for oral PrEP in the private sector**

- Understand if private sector channels could expand PrEP access
- Compare across channels for ability to effectively deliver PrEP

# Facility readiness assessment overview

## Purpose

A tool to assess healthcare facilities for readiness to deliver oral PrEP

## Method to develop tool

- Collect existing facility readiness assessment tools from countries where tools are already in use (see *list at right*)
- Interview implementing partners to identify strengths and challenges of tools in practice
- Develop a tool for use by other countries based on existing examples

## Countries included

- Kenya
- South Africa
- Zambia
- Zimbabwe






# Current facility readiness assessment tools range in format and depth

- Though all assessments are focused on oral PrEP, South Africa, Zambia and Zimbabwe have a broader focus on **HIV prevention services overall** while Kenya's tool is more narrowly focused on oral PrEP
- South Africa's tool and Zimbabwe's tool are the lengthiest though both provide a **level of prioritization** around essential criteria; Zambia's provides some guidance around areas of necessary investment based on a scoring system while Kenya's tool is a simple checklist with no guidance

Country	Format	Level of depth	Other notes
Kenya	<ul style="list-style-type: none"> <li>• Excel workbook</li> <li>• Comprised of Yes/No questions and 5-point rating for level of sufficiency</li> </ul>	<ul style="list-style-type: none"> <li>• 20 criteria</li> </ul>	Focused only on oral PrEP
South Africa	<ul style="list-style-type: none"> <li>• Online Google form, with option to print-out and complete by hand</li> <li>• Most are checklists or multiple choice questions</li> </ul>	<ul style="list-style-type: none"> <li>• 40+ criteria</li> <li>• 7 criteria are considered "core"</li> </ul>	More broadly focused on HIV prevention, including oral PrEP
Zambia	<ul style="list-style-type: none"> <li>• Excel workbook</li> <li>• Comprised of Yes/No questions and 5-point rating for level of sufficiency</li> </ul>	<ul style="list-style-type: none"> <li>• 20 criteria</li> </ul>	More broadly focused on HIV prevention, including oral PrEP
Zimbabwe	<ul style="list-style-type: none"> <li>• PDF form</li> <li>• Comprised of Yes/No questions and options to provide additional qualitative and quantitative information</li> </ul>	<ul style="list-style-type: none"> <li>• 35 criteria</li> </ul>	More broadly focused on HIV prevention, including oral PrEP

# Some criteria were consistent across facility readiness assessments

*The following criteria are evaluated across all facility readiness tools:*

 <b>Human Resources + Personnel</b>	<ul style="list-style-type: none"><li>• Presence of healthcare workers with <b>training on oral PrEP or experience delivering ART</b></li><li>• Presence of <b>implementing staff</b> (e.g., peer educators, counselors, community outreach staff)</li></ul>
 <b>Service Delivery</b>	<ul style="list-style-type: none"><li>• Connection to a lab for <b>lab-based services</b></li></ul>
 <b>Communications</b>	<ul style="list-style-type: none"><li>• Use of <b>information, education and communication (IEC) materials</b> to support client education and increasing awareness of HIV prevention options and oral PrEP</li></ul>
 <b>Commodity Management</b>	<ul style="list-style-type: none"><li>• Track record of <b>storing and distributing ARVs</b></li><li>• <b>Procurement</b> systems</li></ul>
 <b>Monitoring + Evaluation</b>	<ul style="list-style-type: none"><li>• Procedures and systems for <b>tracking and reporting</b> oral PrEP delivery</li><li>• Connection to <b>national reporting structure</b></li></ul>

# Additional criteria were used in some facility readiness assessments

*These additional criteria may be included depending on the specific areas of focus and desired level of*



## Human Resources/ Personnel

- Number of clinical, outreach and administrative staff
- Staff qualifications in terms of training/certification
- Focal staff person to integrate oral PrEP into existing services
- Training and mentorship capacity for staff
- Trained data management personnel



## Service Delivery

- Outreach model with person-centered delivery
- Tracing and referral processes
- Focus on specific key populations (KPs)
- Availability of tools or job aids for staff
- Link to adherence support programming
- Fee structure (prices of services)
- Private room for individual counseling and risk assessment
- Space in facility for additional drug storage
- Availability of prevention and testing services
- Availability of other prevention services (STI and TB screening, HIV testing, condoms)
- Integrated prevention approach with partners



## Communications

- Presence of PrEP champions



## Commodity Management

- Frequency and reason for stock-outs
- Security and compliance of stock room
- Commodity requirements for oral PrEP
- Site mapped to ordering points
- Information about suppliers



## Monitoring & Evaluation

- Presence of electronic patient monitoring systems
- Client identification, confidentiality and consent processes



## Finance & Regulations

- Signed MOU with the Department of Health
- Copy of integrated ART guidelines
- Sufficient resources to support oral PrEP rollout including additional lab testing and training
- Current funding gaps, duration and future plans

# Criteria to assess youth friendliness can also be integrated into a readiness assessment

While few existing facility readiness assessments explicitly include youth-focused criteria, they can be included for facilities serving AGYW or other youth audiences.

Suggested criteria include:

- Does the facility have a **policy or guidelines on youth-friendly** provision of services?
- Does the facility have **staff with necessary competencies** and training to provide equitable, non-judgmental services to young people?
- Does the facility have a process for integrating the **voices of young people** in designing and planning efforts?
- Has the facility identified a **focal person for youth-friendly** services?
- Is there **space** to provide services to young people?
- Does the facility have a process for **identifying and reviewing outreach hot spots** to reach young people?

*Additional dimensions of quality care for adolescents developed by the World Health organization (WHO) be found in appendix or on the [WHO website](#)*



# Based on these tools, OPTIONS developed a facility readiness tool for use by other countries

The accompanying Excel tool was developed based on existing tools used by countries today. The tool includes two options:

A “simple” assessment with a short list of core criteria that are essential to oral PrEP rollout (see accompanying Plan 4 PrEP Toolkit: Facility Readiness Assessment, “Basic Assessment” tab)

A “comprehensive” assessment that includes a longer list of criteria (see accompanying Plan 4 PrEP Toolkit: Facility Readiness Assessment, “Comprehensive Assessment” tab) that can be customized to each country’s needs and preferences

PLAN 4 PREP TOOLKIT FACILITY READINESS ASSESSMENT TOOL - BASIC VERSION			
<i>This tool was adapted from several existing facility readiness assessment tools from South Africa, Kenya, Zimbabwe and thank all of the contributing countries for their thought partnership and for making their tools accessible so that they can be shared with other countries implementing oral PrEP.</i>			
Facility		Date of assessment	
	Select Yes, No, or Some	Comments for additional internal clarification and information	
<b>Human Resources and Personnel</b>			
Does the facility have clinical staff to support oral PrEP delivery?			
Does the facility have outreach staff or partner organizations to support oral PrEP rollout (e.g., peer educators)?			
<b>Service Delivery</b>			
Does the facility offer prevention services such as HIV testing, PrEP, oral PrEP, family planning, STI screening or other SRH services? If yes, list services in comment box.			
Are there toolkits or job aids for service providers on HIV prevention and oral PrEP available?			
Is there a private screening room for clients?			
Is there a referral system or connection to labs for specialized laboratory tests (e.g., creatinine)?			

PLAN 4 PREP TOOLKIT FACILITY READINESS ASSESSMENT TOOL - COMPREHENSIVE VERSION			
<i>This tool was adapted from several existing facility readiness assessment tools from South Africa, Kenya, Zimbabwe and Zambia. We want to acknowledge contributing countries for their thought partnership and for making their tools accessible so that they can be shared with other countries implementing P</i>			
Facility		Date of assessment	
Size of clinic (# of clients served per day)		Opening schedule	
	Select Yes, No, or Some	Where appropriate please indicate on a scale of 0-5 (0 = weak/low/insufficient 5 = strong/high/sufficient)	Comments for additional internal clarification and information
<b>Human Resources and Personnel</b>			
* Does the facility have clinical staff to support oral PrEP delivery? Indicate the # of clinical staff in the comment box, specify number with relevant licenses / certifications			
Does the facility have outreach staff or partner organizations to support oral PrEP rollout (e.g., peer educators)? Indicate the # of outreach staff in the comment box			
Is there a training plan in-place that includes continuous mentorship and capacity building of healthcare workers on oral PrEP delivery (that includes addressing attitudes on oral PrEP)?			
Does the facility have time to add oral PrEP? Please specify how oral PrEP roll-out would be integrated into the facility management plan			
Does the facility work with implementing partners to support HIV prevention? Provide additional context on partners in the comment box.			
Has the facility identified a focal person or team to facilitate and			

Please see the Plan 4 PrEP Toolkit for this tool and other tools to support planning for oral PrEP rollout.

# The assessment tools provide criteria and a simple rating system to highlight areas of focus/investment

The facility readiness assessment tool contains:

- 1) A list of **questions/ criteria** that facilities preparing for oral PrEP delivery can answer based on current capabilities
- 2) Based on the answers to each question, the tools will **indicate areas where the facility may be strong and other areas where the facility may need to build additional capacity, capabilities or invest to introduce oral PrEP**

Screenshot of criteria in “Basic Assessment” tool

	Select Yes, No, or Some	Com
<b>Human Resources and Personnel</b>		
Does the facility have personnel with experience delivering ART or oral PrEP?		
Does the facility have appropriate personnel to implement oral PrEP (Service providers; Peer educators, Lay counselors and / or Community Health Volunteers)?	Yes Some No	
<b>Service Delivery</b>		
Does the facility offer additional prevention services such as testing, family planning, STI screening or SRH services?		

Screenshot of criteria and rating scale in “Basic Assessment” tool

	Select Yes, No, or Some	Implications
<b>Human Resources and Personnel</b>		
Does the facility have personnel with experience delivering ART or oral PrEP?	No	Little additional investment needed
Does the facility have appropriate personnel to implement oral PrEP (Service providers; Peer educators, Lay counselors and / or Community Health Volunteers)?	Yes	Moderate effort/investment required
<b>Service Delivery</b>		
Does the facility offer additional prevention services such as testing, family planning, STI screening or SRH services?	Some	Significant investment required

# The tool also includes an assessment for PrEP for pregnant and breastfeeding women

Provision of PrEP for pregnant and breastfeeding women (PBFW) is an increasing topic of attention in many countries scaling-up oral PrEP.

To guide implementation, in consultation with the Ministry of Health in Lesotho the CHOICE collaboration developed a facility readiness assessment tool that also assesses provision of oral PrEP in antenatal and postnatal care services.

## Screenshot of the tool

CHOICE Collaboration for HIV Prevention Options to Control the Epidemic			
PLAN 4 PrEP TOOLKIT			
FACILITY READINESS ASSESSMENT TOOL - PrEP PROVISION IN ANTENATAL AND POSTNATAL CARE SERVICES			
This tool was developed by the CHOICE Project and has been added to the Plan 4 PrEP Toolkit.			
<b>1.0 Health Facility Identification</b>			
1.1 Date of Visit			
1.2 Health Facility Name			
1.3 State / District			
1.4 Health Facility Number			
1.5 City / Town / Village			
1.6 Facility Type (select)	National Referral Hospital		
	Provincial /District Hospital		
	Health Centre / Clinic		
	Others (Specify)		
1.7 Facility Ownership (select)	Government / Public		
	Private-for-Profit		
	Faith-based		
	Others (Specify)		
1.8 Facility Location (select)	Urban		
	Peri-urban		
	Rural		
<b>2.0 Infrastructure and Equipment</b>			
Items	Yes	No	Comments
2.1. Does the health facility have space for ANC?			
2.2. Does the health facility have space for PNC?			
2.3. Does the health facility have space for private counselling for PrEP?			

# APPENDIX

# Kenya: Facility readiness assessment (excerpt)

County Readiness Self Assessment Tool for Differentiated Care		
Facility name:	Type of facility:	
Subtitle		
	Please indicate Yes or No	where appropriate please indicate on a scale of 0-5. 0= lowest 5= highest
<b>Service Delivery:</b>		
In this facility have health workers been trained on PrEP?		
Is the facility able to report to the national level on PrEP?		
Is there a referral site for specialised laboratory tests e.g. Serum Creatinine		
Has the facility had any previous experience with PrEP delivery e.g. through previous demo projects? If yes, please provide a list in the comments section		
Are toolkits and job aids for service providers available?		
<b>Communication &amp; Advocacy :</b>		
Is there any on-going general messaging available on PrEP awareness? If yes, please indicate on a scale		
Are any IEC materials available on PrEP for patients?		
Have any PrEP champions been identified?		
<b>Commodity Management:</b>		
What type is the facility? (Stand alone, ordering site, central site)		
Is this site mapped to ordering points?		
Does this facility handle ART commodities?		
Is there a designated person who does data management?		
What is the qualification of the designated personnel referred to above?		
Is designated personnel referred to above trained on commodity management?		
Are SOPs, Pharmacovigilance and LMIS data capturing tools available to the facility?		
Does the facility have SOPs on display?		

# South Africa: Facility readiness assessment (excerpt) See full tool [here](#).

## PrEP Facility Assessment Tool

Please complete the following survey based on the latest information available for your facility. Should you have any questions or additional comments/information, please contact Person X (email 1) or Person Y (email 2). Please complete this form as soon as possible.

### General Information

Description (optional; long answer text)

Please provide the name of your facility. (short answer text)

Please provide your facility address. (short answer text)

What are the hours of operation including outreach services? If you offer extended clinic hours, please list the day and time they are offered. (long answer text)

Please provide the name, phone number and email address of the point-of-contact person at your facility. (long answer text)

### Core Criteria

Description (optional; long answer text)

Do you have a signed MOU with the provincial or municipal DoH? (checkboxes)

- Yes
- In Process
- No
- Other (short answer text)

If you have an MOU signed with your provincial or municipal DoH, can you please tick all the services covered in your agreement: (check boxes)

- PHC
- HIV Prevention
- HIV treatment

# Zambia: Facility readiness assessment *(excerpt)*

DISTRICT Readiness Self Assessment Tool for PrEP			
District:			Date of assessment:
	Please select Yes or No	Where appropriate please indicate on a scale of 0-5. 0= weak/low/insufficient 5= strong/high/sufficient	Comments

## Leadership, Financing and Human Resources for Health:

Facility has a copy of the updated Integrated ART Guidelines			
Has the facility identified a focal person to facilitate integrate PrEP within existing service delivery			
Facility has sufficient resources to support roll-out of PrEP e.g. from existing in district budgets, ongoing implementing partner projects, on-going private sector activities? Please indicate the level of resource sufficiency.			
Are there resources available to support additional laboratory testing for PrEP patients e.g. Serum Creatinine? Please indicate the level of resource sufficiency			
Have NHCs and other community structures been sensitized on the integration of PrEP within existing services			
Has the facility identified appropriate personnel to implement PrEP (Service providers; Peer educators, Lay counselors and / or Community Health Volunteers)?			
Does the facility have capacity to train additional ART distributors? i.e. FP Providers; clinicians etc.			
Has the facility developed an outreach model (s) to facilitate a person-centred approach to PrEP distribution & decongest existing service delivery			

## Service Delivery:

Are toolkits and job aids or IEC materials for service providers on HIV prevention or PrEP available?			
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# Zimbabwe: Facility readiness assessment (*excerpt*)

B. Facility Human Resources						
12. For each of the healthcare workers below please indicate the number at the facility and how many can provide the indicated services						
	Total at facility	Trained in provision of ART ( <i>HIIT, Newlands Clinic, etc. at least one required</i> )	Currently providing OI/ART services	Can perform Rapid HIV Test ( <i>at least one required</i> )	Can provide adherence counselling for ART	Can package and dispense ARV medication ( <i>at least one required</i> )
Medical Doctor						
Clinical Officer						
Registered General Nurse						
Primary Care Nurse						
Nurse Aide						
Primary Counsellor						
Medical Lab Scientist						
Pharmacist						



# WHO: Dimensions of adolescent health services (1/2)

**EQUITABLE: All adolescents, not just some groups of adolescents, are able to obtain the health services that are available**

## Characteristics

Policies and procedures are in place that do not restrict the provision of health services.

Health care providers treat all adolescent clients with equal care and respect, regardless of status.

Support staff treat all adolescent clients with equal care and respect, regardless of status.

**ACCESSIBLE: Adolescents *are able to* obtain the health services that are available**

## Characteristics

Policies and procedures are in place that ensure that health services are either free or affordable to adolescents.

Point of service delivery has convenient working hours.

Adolescents are well informed about the range of reproductive health services available and how to obtain them.

Community members understand the benefits that adolescents will gain by obtaining the health services they need, and support their provision.

Some health services and health-related commodities are provided to adolescents in the community by selected community members, outreach workers and adolescents themselves .

**APPROPRIATE: *the right health services (i.e. the ones they need)* are provided to them**

## Characteristics

The required package of health care is provided to fulfil the needs of all adolescents either at the point of service delivery or through referral linkages.

# WHO: Dimensions of adolescent health services (2/2)

## **ACCEPTABLE: Adolescents *are willing to obtain the health services that are available***

### **Characteristics**

Policies and procedures are in place that guarantee client confidentiality.

Point of service delivery ensures privacy.

Health care providers are non-judgmental, considerate, and easy to relate to.

Point of service delivery ensures consultations occur in a short waiting time, with or without an appointment, and (where necessary) swift referral.

Point of service delivery has an appealing and clean environment.

Point of service delivery provides information and education through a variety of channels.

Adolescents are actively involved in designing, assessing and providing health services.

## **EFFECTIVE: The *right health services are provided in the right way, and make a positive contribution to their health***

### **Characteristics**

Health care providers have the required competencies to work with adolescents and to provide them with the required health services.

Health care providers use evidenced-based protocols and guidelines to provide health services.

Health care providers are able to dedicate sufficient time to deal effectively with their adolescent clients.

The point of service delivery has the required equipment, supplies, and basic services necessary to deliver the required health services.

# Criteria included across tools (1/2)

	Kenya	Zambia	South Africa	Zimbabwe
<b>Human Resources and Financing</b>				
Number of staff trained in ART/oral PrEP	X		X	X
Copy of updated integrated ART guidelines		X		
Staff trained for KPs, counseling, peer education, integration				X
Identify focal person to integrate oral PrEP into existing services		X		X
Sufficient resources to rollout oral PrEP		X	X	
Sufficient resources to support additional lab testing		X		X
Community structures been sensitized on integration of oral PrEP		X		
Identify appropriate personnel to implement oral PrEP		X	X	X
Capacity to train additional ART distributors		X		
Outreach model with person-centered approach to oral PrEP distribution		X	X	
Integration of partner supports in prevention				X
<b>Commodity Management</b>				
Facility type	X			X
Frequency and reasons for stock outs/extra stock available			X	X
Security and conditions of stock room			X	
Space for additional drugs				X
Site mapped to ordering points	X			
Experience handling ART commodities	X		X	X
Data management personnel and qualifications	X		X	
SOP and LMIS tools available	X	X	X	X
SOPs on data management on display	X			
Sensitized to updated LMIS	X	X		
Determine commodity requirements for oral PrEP		X		

# Criteria included across tools (2/2)

	Kenya	Zambia	South Africa	Zimbabwe
<b>Service delivery</b>				
Total number of clients served			X	X
Testing services available			X	X
Linkage to labs	X	X	X	X
Tracing and referrals processes			X	X
Focus on specific KPs				X
Continuous training in place for HCW			X	X
Report to national level	X	X	X	
Referral for lab tests	X	X	X	
Previous experience with oral PrEP	X		X	
Toolkits or job aids	X	X		
Linked to programs at district level that support adherence			X	
Facility's opening schedule			X	X
Availability of all services provided (testing, condoms, VMMC)			X	X
Fees (what are fees charged for and how much)				X
Privacy rooms for risk assessment/counseling				X
<b>Communications and advocacy</b>				
Ongoing messaging for PrEP awareness	X	X		X
IEC materials for patients	X	X	X	
PrEP champions	X	X		
<b>M&amp;E</b>				
Reporting channels	X		X	
Training on M&E tools	X	X		
Electronic patient monitoring system			X	X
Client confidentiality and consent processes			X	