National Policy Assessment for Soil Transmitted Helminth Control Programs

Facilitators Guide

STH Coalition

Basic Constructs of the Model

The self-assessment tool is a paper-based questionnaire designed to prompt an informed discussion among participants to reach a common view on the policies that support STH control.

A brief description of the self-assessment instrument is included on pages two and three in the tool. The self-assessment is based on the concept of a capability maturity model ® (CMM). CMM is a registered trademark of Carnegie Mellon University, which published the first CMM in 1993.

The CMM® concept was designed to help organizations adopt best practices in targeted domains. The basic idea is that processes in the targeted domain can be continuously improved to become more effective through increasing levels of process maturity.

The Levels of Capability Scale is described based on whether specific policies exist and how well they are implemented.

CMM Level Name	***General Description***
0 - Absent	No awareness of the need for this policy. Unfamiliar with the idea, concept, or activity.
1 - Initial	No written policy exists.
2 - Managed	Written policy exists but has not been implemented.
3 - Defined	Policy exists, and has been implemented (i.e. activities in place).
4 - Measured	Compliance to the policy is monitored and reviewed to ensure intended outcomes are achieved.
5 - Optimized	Data from policy implementation is used to inform decision making and/or resource allocation or improve the process.

Specific questions with closed-ended response options are offered. Discussion prompts are included as well as "key concepts." The facilitator poses the question and the group reaches agreement through discussion to rate the policy using the scale.

Questions can be reviewed in advance and revised to meet specific needs of the country; however, the basic construction of the scale is intended to remain consistent with the CMM constructs.

Purpose

- Provide guidance for facilitating a working session to conduct a policy assessment using the STH Policy Assessment.
- Describe guidelines and instructions to provide to participants.

Activity Preparation

- Estimate time
- Describe the activity
- Provide suggestions for who to invite and other considerations to plan a meeting.

Steps to Planning a Session

1. The facilitator(s) should familiarize themselves material prior to the meeting with the executive sponsor-or the individual that endorses the activity of conducting the assessment. . This includes understanding the basic constructs of the assessment model and reviewing the instructions for administration. Level of effort estimated is about 30-45 minutes.
2. The facilitator(s) should work in advance of meeting with the executive sponsor to determine the scope of the assessment. The self-assessment can be used to conduct a national, sub-national or local level assessment. This document assumes that a national-level assessment will be conducted. Changes can be made to the questionnaire if a sub-national (district) or local/village level assessment is more appropriate. Decisions regarding the meeting length and format should be discussed and planned prior to extending invitations.
3. Plan the meeting logistics:

- Determine meeting format
- Generate invitation list
- Determine roles and responsibilities
- Create an agenda
- Extend invitations

Meeting Format

A workshop format may be appropriate in some situations if this activity is relevant to a broader topic. This format may be optimal for engaging leaders across a single country for multiple counties (such as a meeting of NTD program managers).

Other options include offering multiple sessions with programs or individuals from various governmental departments or Ministries completing the assessment together. This format may work well for engaging multiple programs that either have common needs, or share platforms.

Who to Invite

The composition of the participants should be approached thoughtfully, and invitations to participate should include those individuals who are in decision-making roles, as well as those affected by decisions or who are responsible for carrying out the work.

Facilitators may consider conducting a stakeholder analysis to determine invitees that represent these roles as well as non-participants who may be part of the intended audience for receiving the assessment results.

Considerations for engagement

Ministry of Health

Ministry of Finance

Ministry of Education

Sanitation/public health

NTD program managers

Possible community representatives (Community drug distributors, teachers, Village/community health workers and other community leaders)

NGO partners

Roles and Responsibilities

The following chart is intended to assist a planning group to understand the roles and responsibilities for planning and hosting a meeting. The last column is provided for you to indicate who that individual is for your specific meeting.

Meeting Roles and Responsibilities

Participant	Description	Responsibility
Executive Sponsor	The Executive Sponsor is the highest level individual that endorses the assessment activity. May be a high ranking official in a relevant ministry or similar role.	• Ensures the activity is aligned with the government's goals. • Builds support for the assessment and use of the results to improve the programme activities. • Provides executive level support and selects or identifies the project manager and or facilitators. • Often the individual that secures resources, both human and financial, to carry out the assessment.
Facilitator/Project Manager	The meeting facilitator(s) or project manager is/are the individual(s) with overall responsibility for supporting achievement of the meeting goals and objectives. This may be a shared role.	• Contributes to design and execution of the activity. • Review meeting information in advance of meeting. • Arrange site logistics. • Determine needs for audio-visual aids or other logistics for the meeting. • Arranges for or provides documentation of the meeting including taking notes and recording the results. (Rapporteur) • Identify and invite participants, including those who will participate in various elements of the assessment. • Provides guidance during the meeting as needed for changes in activities, modification of the agenda and other decisions that may affect the success of the meeting. • Facilitates the transitions between agenda items. • May produce the output of the meeting (report or analysis of results).
Participants	All individuals who are present. Active participation is necessary during the meeting and self-assessment activity.	• Participants' degree of participation is at the sole discretion of the project sponsors at the Ministry or NTD Programme. • Sponsors may determine which individual are invited as to contribute to the assessment and which are invited as observers.
Observers	All individuals whose presence and active participation are optional during the session.	• Attendance of observers is approved by representatives of the sponsoring group (Ministry or program) • Observers are not actively participating in the meeting.
Subject Matter Experts	SMEs are individuals who have enough knowledge of the organizational level functions to respond to the questionnaire.	• SMEs may be invited to participate in activities specific to their functional area. For example, representatives from other NTD programs, or NGOS working closely with the government etc.

Administration Recommendations

Assessment document

- Facilitators may choose to provide hard copies to participants or present the assessment electronically, such as projected on a screen or via webinar.
- The greatest value of the self-assessment is the opportunity it provides to reach a shared view of the capabilities through discussion. Be sure to provide an ample amount of time to discuss the assessment.
- Facilitators may need to consider the optimal number of participants to include in the group discussion. For example, if a large number of participants are to be engaged, the facilitator may organize two or more discussion groups, each completing their own master copy of the responses.
- Responses may be captured on the Scoring Worksheet, a companion document. The Scoring Worksheet is designed to support documentation of brief notes and action items that may be discussed during the session. It may be helpful to designate an individual to take notes and document potential action steps in addition to capturing the highlights of the discussion.

Facilitating the Discussion

Describe the process for discussion and response

- The facilitator will read each question to the group.
- Discussion prompts, when provided, are offered only as a starting point. They are not intended to be all inclusive, nor are they required questions.
- For each question, collaboratively select an answer from the six response categories.
- If the section is not completed during the time allotted, please allow time at the end to discuss next steps.

Provide additional guidance and principles for the exercise

- The discussion is the value of the activity; not the act of completing the assessment or achieving a certain score.
- Acknowledge that the group may not reach consensus on each question. In those instances, we recommend rating the response at the lowest level for which agreement is reached.
- It is not uncommon for organizations, even successful ones, to be at relatively low levels of this model. This reflects the organizational challenges that are inevitable with formally establishing new ways of working and then rigorously evaluating that work.

Communicating Results

After the assessment, the facilitator or designee will need to determine an optimal way to communicate the results. This may be in the form of a written report, presentation, or action plan based on the NTD Program or Ministry's needs. The intent of the self-assessment is to identify "actionable items" which can be implemented to support increased capability. The Scoring Worksheet document may be a way to document next steps and key information that will be communicated broadly.