



Trainer's Guide to the Policy Toolkit for Strengthening Health Sector Reform

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March 2001

Table of Contents

Introduction

Introduction to the Trainer's Guide	I-5
Purpose of the Trainer's Guide	I-5
Workshop Design and Adaptations	I-5
Staffing Needs	I-6
Workshop Materials	I-6
Supplies and Equipment	I-7
Training Room Arrangements	I-7
Tips for Leading the Workshop	I-8
Annex A: Workshop Goals	I-9
Annex B: Workshop Agenda	I-10
Annex C: Pre-Workshop Participant Interview	I-12
Annex D: Pre-Workshop Assignment	I-14

Section 1: Introductory Sessions

Session 1: Workshop Welcome, Expectations, and Overview	1-5
Overview	1-5
Objectives	1-5
Materials	1-5
Handouts	1-5
Special Preparation	1-5
Activities/Steps	1-6
I. Overview of Workshop Goals, Toolkit and Agenda	1-6
II. Paired Interviews and Workshop Expectations	1-6
III. Group Norms	1-7
Handout 1-A: Workshop Objectives	1-8
Handout 1-B: Workshop Agenda	1-9
Handout 1-C: Interview with a Colleague	1-11

Session 2: Introduction to the Policy Process	1-13
Overview	1-13
Objectives.....	1-13
Materials.....	1-13
Handouts	1-14
Activities/Steps	1-14
I. Introduction to Policy Process Framework.....	1-14
II. Understanding Political Decision-Making.....	1-15
III. Components of the Policy Process (technically-led domain)	1-15
Handout 2-A: PowerPoint Notes	1-17
Handout 2-B: Small Group Task—Understanding Political Decision-Making.....	1-26
Handout 2-C: Policy Process Framework	1-27
 Session 3: Selecting and Defining a Priority Policy.....	1-29
Overview:	1-29
Objective:	1-29
Materials:.....	1-29
Handouts:	1-29
Special Instructions	1-30
I. Selecting a Priority Policy	1-30
II. Defining the Priority Policy	1-30
III. Gallery Walk—Group Critique of Policy Definitions	1-31
Handout 3-A: PowerPoint Notes	1-32
Handout 3-B: Policy Team Task	1-36

Section 2: Stakeholder Analysis Tool

Session 4: Orientation to Stakeholder Analysis	2-5
Overview	2-5
Objectives.....	2-5
Materials.....	2-5
Handouts	2-5
Activities/Steps	2-6
I. Introduction to Stakeholder Analysis—Positional Map Exercise	2-6
II. Key Points/Main Steps in Stakeholder Analysis.....	2-6
Handout 4-A: Sample Positional Map	2-8
Handout 4-B: PowerPoint Notes	2-10
 Session 5: Identifying Key Stakeholders.....	2-15
Overview:	2-15
Objectives.....	2-15
Materials.....	2-15
Handouts	2-15
Activities/Steps	2-16
I. Overview of Stakeholder Identification	2-16
II. Policy Team Task—Making a List of Potential Stakeholders	2-16

Handout 5-A: PowerPoint Notes	2-18
Handout 5-B: Worksheet for Stakeholder Identification	2-21
Session 6: Conducting Stakeholder Interviews and Filling-In the Stakeholder Table	2-25
Overview	2-25
Objectives	2-25
Materials	2-26
Handouts	2-26
Special Preparation	2-26
Activities/Steps	2-26
I. Overview of the Stakeholder Interview and Data Transfer Steps	2-26
II. Conducting a Practice Interview	2-28
III. Demonstration and Practice—Filling in the Stakeholder Table	2-29
Handout 6-A: PowerPoint Notes	2-31
Handout 6-B: Sample Interview Questionnaire for “Deconcentration of MOH”	2-35
Handout 6-C: Definitions of Stakeholder Characteristics and Instructions for Filling-in Stakeholder Table	2-40
Handout 6-D: Sample Stakeholder Table	2-44
Handout 6-E: Sample Interview Questionnaire	2-46
Handout 6-F: Sample Reference Chart	2-50
Session 7: Analyzing and Using the Stakeholder Data	2-53
Overview	2-53
Objectives	2-53
Materials	2-53
Handouts	2-54
Activities/Steps	2-54
I. Demonstration of Data Analyses	2-54
II. Applying Stakeholder Analysis to “Real World” Context	2-55
Handout 7-A: PowerPoint Notes	2-56
Handout 7-B: Power and Leadership Analysis	2-61
Handout 7-C: Partially Completed Stakeholder Table	2-63
Handout 7-D: Knowledge Levels Analysis	2-65
Handout 7-E: Potential Key Alliances	2-67

Section 3: Advocacy Strategy Tool

Session 8: Orientation to Advocacy	3-5
Overview	3-5
Objectives	3-5
Materials	3-5
Handouts	3-6
Activities/Steps	3-6
I. Definition and Rationale for Advocacy	3-6
II. Overview of a Strategic Approach to Advocacy	3-6
Handout 8-A: PowerPoint Notes	3-8
Handout 8-B: Strategic Approach to Advocacy	3-12

Session 9: Setting an Advocacy Objective and Identifying and Analyzing Target Audiences	3-13
Overview	3-13
Objectives.....	3-13
Materials.....	3-13
Handouts	3-14
Activities/Steps	3-14
I. Review of Advocacy Steps 1 and 2	3-14
II. Defining and Drafting Advocacy Objectives	3-14
III. Identify and Analyze Target Audiences	3-15
Handout 9-A: PowerPoint Notes	3-17
Handout 9-B: Audience Identification Worksheet	3-26
Handout 9-C: Audience Knowledge, Position and Interests Worksheet	3-28
 Session 10: Advocacy Activities: Communicating with Policymakers	3-31
Overview	3-31
Objectives.....	3-31
Materials.....	3-31
Handouts	3-31
Special Preparation.....	3-32
Activities/Steps	3-32
I. Using Data as a Resource for Influencing Policymakers	3-32
II. Developing Effective Messages for Target Audiences	3-32
III. Making a Communication Plan & Policy Presentation	3-34
Handout 10-A: PowerPoint Notes	3-36
Handout 10-B: Message Content Worksheet	3-43
Handout 10-C: Communication Plan Worksheet	3-45
Handout 10-D: Policy Team Task	3-47
Handout 10-E: Tips for Making Presentations	3-48
 Session 11: Policy Team Presentations	3-49
Overview	3-49
Objectives.....	3-49
Materials.....	3-49
Handouts	3-49
Special Preparation.....	3-50
Activities/Steps	3-50
I. Policy Presentations and Feedback	3-50
II. Final Steps in Developing/Implementing an Advocacy Strategy	3-51
Handout 11-A: PowerPoint Notes	3-52
 Optional Session: Advocacy Activities—Building Networks, and Coalitions	3-55
Overview	3-55
Objectives.....	3-55
Materials.....	3-55
Handouts	3-55
Activities/Steps	3-56
I. Planning an Advocacy Network	3-56

II. Guidelines for Organizing and Working with Coalitions.....	3-57
Handout Optional Session-A: PowerPoint Notes	3-58
Handout Optional Session-B: Task: Building an Advocacy Network	3-62
Handout Optional Session-C: Guidelines for Joining and Participating in Coalitions	3-63

Section 4: Conflict Negotiation Tool

Session 12: Orientation to Conflict Negotiation and Interpersonal Communication Skills	4-5
Objectives.....	4-5
Materials	4-5
Handouts	4-6
Special Preparation	4-6
Activities/Steps	4-7
I. Personal Perceptions about Conflict; Intro to Conflict Negotiation	4-7
II. Analyzing the Components of a Conflict Situation	4-8
III. Interpersonal Communication Skills	4-9
IV. Overview of Interest-Based Negotiation; Practice Identifying Interests	4-10
Handout 12-A: PowerPoint Notes	4-14
Handout 12-B: Interpersonal Communication Skills	4-24
Handout 12-C: Negotiation Preparation Worksheet	4-29
Session 13: Conflict Negotiation Simulations	4-33
Overview	4-33
Objectives.....	4-33
Materials	4-33
Handouts	4-33
Special Preparation	4-34
Activities/Steps	4-34
I. Negotiation Simulation Assignment and Preparation (90 minutes)	4-34
II. Negotiation Simulations	4-35
Handout 13-A: Small Group Assignment: Conflict Negotiation Simulation	4-38
Handout 13-B: Conflict Negotiation	4-39
Handout 13-C: Negotiation Preparation Worksheet	4-43
Handout 13-D: Conflict Simulation Observer's Guide	4-45
Handout 13-E: PowerPoint Notes	4-47

Wrap-up Session and Evaluation

Session 14: Final Summary of Toolkit and Action Planning	5-5
Overview	5-5
Objectives.....	5-5
Materials	5-5
Handouts	5-5
Activities/Steps	5-6
I. Summary of Tools	5-6
II. Action Planning	5-6
Handout 14-A	5-7

Workshop Evaluation: Managing the Political Process: A Critical Challenge for Health Sector Reform	5-9
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Introduction to the Trainer's Guide

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Table of Contents

Introduction to the Trainer's Guide	I-5
Purpose of the Trainer's Guide	I-5
Workshop Design and Adaptations	I-5
Staffing Needs	I-6
Workshop Materials	I-6
Supplies and Equipment	I-7
Training Room Arrangements	I-7
Tips for Leading the Workshop	I-8
Annex A: Workshop Goals	I-9
Annex B: Workshop Agenda	I-10
Annex C: Pre-Workshop Participant Interview	I-12
Annex D: Pre-Workshop Assignment	I-14

Introduction to the Trainer's Guide

Purpose of the Trainer's Guide

This Trainer's Guide is a companion piece to the "Policy Toolkit for Strengthening Health Sector Reform". It offers a comprehensive workshop package for helping participants acquire a better understanding of the policy process and develop their skills in the Toolkit's three policy management tools: Stakeholder Analysis, Developing an Advocacy Strategy and Conflict Negotiation. By participating in the Toolkit training, health reform managers gain not only new insights and expertise, but also greater confidence to lead the policy process.

Workshop Design and Adaptations

The workshop goals and agenda are presented in Annex A and B at the end of this introduction section. The basic design template is a five-day skill-building workshop for approximately 20-25 participants who are technical members of reform teams and/or policy managers in health sector reform. The workshop design mirrors the sequence of the Toolkit. It starts with an introduction to the policy process and then focuses on each of the tools in the order in which they are likely to be used during the policy process, beginning with Stakeholder Analysis followed by Developing an Advocacy Strategy and Conflict Negotiation.

The overall workshop methodology adheres closely to the following principles of adult learning:

- ▶ It is self-directed—participants take responsibility for selecting a policy issue and setting the pace of the practice exercises;
- ▶ It draws on participants' experiences;
- ▶ Participants gain knowledge and skills they can use immediately in their reform work;
- ▶ It is highly participatory, offering many opportunities for practice, feedback and reflection;
- ▶ It encourages peer exchange and networking; and
- ▶ It creates a climate of mutual respect among participants and trainers.

One important design element to note is the use of “Policy Teams” where participants self-select into small groups to practice the steps in stakeholder analysis and advocacy planning. The Policy Team methodology serves two purposes: 1) it provides participants an opportunity to practice the tools on a policy issue that is real and of immediate importance, and 2) the small-group setting promotes a collegial exchange of ideas, opinions, and assistance. Exactly how you organize these teams will depend on the composition and interests of your particular participant group. If your participants are all from the same country, they could form the teams around a single or several priority health reform policies. If your participants are attending from different countries, then they should group by country with each team selecting a policy that is a current priority for their respective national reform agenda. The size and number of Policy Teams may be adjusted to accommodate larger or smaller participant groups.

As with any good training process, the workshop design should be tailored to address the needs of your group. The Pre-Workshop Interview Questions (Annex C) will help you assess your participants’ health sector reform experiences, interests, and expectations for the workshop. The session plans themselves contain suggestions for shortening and/or refocusing some of the activities. If you need to shorten the overall workshop timeframe, consider reducing the content by covering only two of the three tools, rather than cutting back the practice activities. Without the practice and reflection, the workshop won’t achieve its skill-building goals.

Staffing Needs

Given the complexity of the workshop and the participatory nature of the activities, there should be at least two and preferably three training staff for a group of 20 –25 participants. Collectively, the trainers should have expertise in health sector reform, policy management, and group facilitation, and everyone should be very familiar with the Policy Toolkit and the session designs before the start of the workshop.

Once the trainers are together at the workshop site, you will need to clarify roles and responsibilities for coordinating and leading the sessions. In this type of intensive training, it is helpful to work in co-training teams and rotate the roles of lead trainer and support trainer(s).

Workshop Materials

The Trainer’s Guide includes hard copy and electronic versions of the following documents: a pre-workshop participant interview; a pre-workshop assignment for participants, workshop goals and agenda, session outlines, PowerPoint slide presentations, handout materials, and workshop evaluation form.

Each session outline includes trainer instructions, the relevant PowerPoint note pages, and copies of all handouts needed in the session. The instructions for all small group tasks are printed in shaded boxes to make it easy for you to find and copy onto flipcharts.

The pre-workshop assignment included in Annex D is optional, but recommended. Review and adapt it to fit your circumstances. At a minimum, try to send each participant the following to read before arrival:

- ▶ Introduction to the Policy Toolkit
- ▶ At-a-Glance sections for each tool
- ▶ Workshop Goals and Agenda

At the beginning of the workshop, each participant should be provided a complete Policy Toolkit binder and a smaller workshop binder containing all of the handout materials organized by session. It is helpful to have extra copies of the worksheets used in the practice exercises. Other miscellaneous materials (promotional brochures, report summaries, etc.) may be displayed on a Resource Table in the main training room.

The final section of the Trainer's Guide includes a Workshop Evaluation Form and suggestions for conducting follow-up interviews with participants after approximately 6 months.

Supplies and Equipment

You may use a PowerPoint projector or overhead projector and transparencies for the slide presentations included in most of the sessions. Since these presentations are simple and brief, it is probably easier to use an overhead projector system. A third option is to use flipchart presentations, in which case you will need to allow time to copy the material onto the charts.

The Policy Process diagram (see Session 2 slides and handout) should be reproduced as a wall chart, approximately 1 x 1.5 meters in size, to hang in the main training room throughout the workshop week.

The other materials and supplies needed for the workshop are standard: flipcharts, markers, tape, blank transparencies, note pads, pens, pencils, and so forth.

Training Room Arrangements

Since the workshop involves frequent small group activities, the most efficient arrangement is to place round or rectangular tables in a staggered fashion across the room and seat 4-5 participants at each table. For a workshop group of 20-25, the main training room should be large enough to accommodate about six of these work tables and chairs.

The front of the main training room should have ample space for the projector equipment, a large screen, two flipchart easels, and a small trainer's table. Since participants will be filling-in worksheets and writing and posting information on flipcharts, excellent lighting is essential.

Depending on the size of your group, you will also need two or three breakout rooms. These should be sufficiently large to accommodate 10-12 people seated around a large table along with one or two

flipchart stands. The breakout rooms should be in close proximity to the main training salon to avoid losing time in moving people back and forth.

Tips for Leading the Workshop

- ▶ Make the slide presentations more interactive and less lecture-oriented.
- ▶ Keep in mind that by turning down the lights for PowerPoint projection, you may also be turning down the level of participation from the group. Consider using the overhead projector instead.
- ▶ For easy reference purposes, ask participants to have both the Policy Toolkit binder and the workshop binder with them everyday in the training room.
- ▶ Write all small group task instructions on flipcharts so everyone can see and refer back to them. Use large letters and check legibility from the back of the room.
- ▶ Have extra copies of worksheets available in the training room.
- ▶ During plenary discussions, try to engage each of the participants at one time or another. If two or three people tend to dominate the conversation, try these techniques:
 - ▷ Recognize the person's contribution and redirect the question to someone else.
 - ▷ Avoid looking directly at the person.
 - ▷ Ask the person to summarize his or her ideas so others can contribute.
- ▶ If a few people want to continue a discussion past the time limits you have set, suggest they continue the dialogue informally during breaks or meal times.
- ▶ Be observant of the interactions and group dynamics in the Policy Teams. Are one or two members dominating the discussions? Is one person doing most of the writing or scribing on flipchart? Are some people watching but not joining in actively? If a team is struggling, intervene and make a suggestion that will help them get back on track.
- ▶ As with any multiple day workshop, it's a good idea to begin the morning with a "warm-up" exercise and close the afternoon with a "wrap-up". A warm-up activity basically energizes participants and sets the stage for the day's activities in a light, enjoyable way. The "wrap-up" summarizes the day and previews tomorrow's activities.
- ▶ Toward the end of each break, you will likely need to give people a two-minute warning and then go around inviting them to come back into the training room and take their seats. If people lag behind, go ahead and start the session without them. This models the group norms and encourages people to be more prompt the next time.

Annex A

Workshop Goals

During the course of the workshop, participants will:

- ▶ Analyze the successes and challenges they have experienced in managing the policy process and implementing health care reform.
- ▶ Gain an understanding of their potential roles as “policy champions”, i.e., those who initiate and move forward a particular reform process.
- ▶ Learn to use the PHR Policy Toolkit for Strengthening Health Sector Reform, including tools for stakeholder analysis, developing an advocacy strategy, and conflict negotiation.
- ▶ Develop specific action plans for applying the strategic tools to current or future priority reform programs in their respective countries.
- ▶ Network with other health reform professionals in the region for the purposes of information exchange, consultation, and dissemination of best practices/lessons learned.

Annex B

Workshop Agenda

Managing the Political Process: A Critical Challenge for Health Sector Reform
Sample Workshop Calendar

Opening Evening	DAY 1	DAY 2	DAY 3	DAY 4	DAY 5
	<p>INTRO SESSIONS</p> <p>8:15 Startup</p> <p>8:30 Session 1: Workshop Welcome</p> <p>10:00 Break</p> <p>10:15 Session 2: Intro to Policy Framework</p>	<p>8:15 Startup</p> <p>8:30 Session 6: Conducting Stakeholder Inter-views; Filling in Table (break included)</p> <p>11:00 Session 7: Analyzing & Using Stakeholder Data</p>	<p>8:15 Startup</p> <p>8:30 Session 10: Communicating with Policymakers (continued)</p> <p>9:30 Session 10: Assignment & Prep for Team Presentations (break included)</p> <p>11:00 Session 11: Policy Team Presentations</p>	<p>8:15 Startup</p> <p>CONFLICT NEGOTIATION TOOL</p> <p>8:30 Session 12: Orientation to Conflict Negotiation & Communication Skills (break included)</p>	<p>8:15 Startup</p> <p>8:30 Session 13: Conflict Negotiation Simulations—Practice & Debrief (break included)</p> <p>WRAP-UP SESSIONS</p> <p>11:15 Session 14: Summary of Toolkit & Action Planning</p>
Lunch	Lunch 12:15	Lunch 12:15	Lunch 12:15	Lunch 12:15	Lunch 12:15
<p>Opening Reception</p> <p>Official Welcome</p> <p>Remarks from MOH dignitaries and other visitors.</p>	<p>1:30 Session 3: Selecting/Defining Priority Policy</p> <p>3:00 Break</p> <p>STAKEHOLDER ANALYSIS TOOL</p> <p>3:15 Session 4: Orientation to Stakeholder Analysis</p> <p>4:00 Session 5: Identifying Key Stakeholders</p> <p>5:15 Wrap-up/Preview Tomorrow</p>	<p>ADVOCACY TOOL</p> <p>1:30 Session 8: Orientation to Advocacy</p> <p>2:15 Session 9: Advocacy Objectives & Identifying Target Audiences (break included)</p> <p>4:15 Session 10: Communicating with Policymakers</p> <p>5:15 Wrap-up/Preview Tomorrow</p>	<p>1:30 Session 11: Policy Team Presentations (continued) and Final Advocacy Steps</p> <p>3:30 Remainder of afternoon for “rest and relaxation.”</p>	<p>1:30 Session 12 continued</p> <p>3:00 Break</p> <p>3:15 Session 13: Conflict Negotiation Simulations—Assignment & Prep</p> <p>4:45 Wrap-up/Preview Tomorrow</p>	<p>1:30 Session 14: Action Planning (continued)</p> <p>2:30 Workshop Evaluation & Closure</p> <p>**Note** Optional Session on Building Networks & Coalitions may be scheduled before action planning if desired</p>

Annex C

Pre-Workshop Participant Interview

Background information (this information to be offered at beginning of interview or redrafted as a memo and emailed ahead):

On behalf of _____ (workshop sponsor), I want to welcome you to our workshop on “Managing the Policy Process”. The workshop will be held in _____ (location) on _____ (date). At a later date, we’ll send you further information about travel, lodging and other logistical arrangements.

Thank you for your willingness to participate in this phone interview. Before I begin, I’d like to give you an overview of the workshop, explain the purpose of the interview, and answer any questions you may have.

The overall purpose of the workshop is to further develop your skills in managing the policy process through which health reforms are designed and implemented. The workshop will focus on three policy management tools: Stakeholder Analysis, Developing an Advocacy Strategy, and Conflict Negotiation. At the workshop, we will introduce a Policy Toolkit that describes these three tools in detail and offers guidelines and worksheets for applying them to country-specific reform activities.

We are expecting approximately ____ participants, representing health reform teams from ____ countries. To make the workshop as relevant as possible, we would like to interview each of you regarding the priority policies in which you are currently involved. The interview will take approximately 30 minutes. Your specific answers to the questions will be kept confidential. We appreciate your time and attention. Do you have any questions about the workshop before we begin?

Interview Questions

1. What is your current position and role in health sector reform?

2. How long have you been involved in these reform efforts?

3. Which reform policies/programs are current priorities for your health sector reform team and MOH?
4. Which one of these priority policies would you like to address/get help on during the workshop?
Why?
5. What is the current status of this policy? What tasks/activities have been carried out in an effort to define and implement the policy?
6. What has been your particular role/involvement/participation in this policy process?
7. Have you ever participated in planning and conducting a stakeholder analysis for the purpose of identifying key supporters and opponents of a new policy? If yes, please describe that experience.
8. What types of advocacy activities have you been involved in planning and/or coordinating? (E.g., coalitions, networks, communication campaigns, lobbying, etc.). Please describe.
9. Have you ever participated in a formal conflict negotiation meeting for settling a dispute around a particular policy issue? How did the negotiation turn out?
10. What are your expectations for the workshop?
11. What will it take for you to think, at the end of the week, that this workshop was successful and worth your valuable time?

Thank you for sharing your experience and perspective with us. We'll be back in touch with you in a few weeks with more information. We are looking forward to meeting and working with you soon.

Annex D

Pre-Workshop Assignment

To make the workshop experience as relevant and substantive as possible, we ask you to please complete the following task before your arrival:

1. Select one or two priority policies for health care reform in your country. The selected policies should meet the following criteria:
 - ▷ The policy should be specific and “definable”. Avoid selecting a policy that has not been thought through or is too general to be defined in concrete terms.
 - ▷ The policy should be socially or politically controversial so that it merits the investment of resources required to determine what aspects are controversial and to whom.
 - ▷ The policy should be key to current reform efforts.
2. For each of the selected policies, draft a brief definition or description of the main ideas and concepts. Here is a sample definition:

Sample Policy Definition—Deconcentration of the MOH

The permanent delegation of decision-making power to provincial directors, area chiefs, and hospital directors in:

 - ▷ naming and managing personnel
 - ▷ buying equipment and supplies
 - ▷ utilizing funds generated by the facilities
3. Write a brief description (2 or 3 phrases) of the current status or situation of the selected policy. (Where is the policy in the implementation process?)

4. For each of the selected policies, collect and bring with you any available data that could serve to mobilize support for the policy (for example, studies on the need and potential benefits of the policy). Consider bringing: statistical analyses, country profiles, polls/public opinion surveys, etc.

Please bring the policy descriptions and supporting data with you to the workshop. Also bring samples of communication tools (e.g., brochures, newsletters, posters, press releases, fact sheets, etc.) which relate to your selected policies.

In addition, please read the following sections of the Policy Toolkit before the start of the workshop:

- ▷ Section 1 “Introduction to the Toolkit and the Policy Process”
- ▷ Section 2 “Stakeholder Analysis Guidelines”

Section 1

Introductory Sessions

Session 1: Workshop Welcome, Expectations,
and Overview

Session 2: Introduction to the Policy Process

Session 3: Selecting and Defining a Priority
Policy

Introductory Sessions

Table of Contents

Session 1: Workshop Welcome, Expectations, and Overview	1-5
Overview	1-5
Objectives	1-5
Materials	1-5
Handouts	1-5
Special Preparation	1-5
Activities/Steps	1-6
I. Overview of Workshop Goals, Toolkit and Agenda	1-6
II. Paired Interviews and Workshop Expectations	1-6
III. Group Norms	1-7
Handout 1-A: Workshop Objectives	1-8
Handout 1-B: Workshop Agenda	1-9
Handout 1-C: Interview with a Colleague	1-11
Session 2: Introduction to the Policy Process	1-13
Overview	1-13
Objectives	1-13
Materials	1-13
Handouts	1-14
Activities/Steps	1-14
I. Introduction to Policy Process Framework	1-14
II. Understanding Political Decision-Making	1-15
III. Components of the Policy Process (technically-led domain)	1-15
Handout 2-A: PowerPoint Notes	1-17
Handout 2-B: Small Group Task – Understanding Political Decision-Making	1-26
Handout 2-C: Policy Process Framework	1-27

Session 3: Selecting and Defining a Priority Policy.....	1-29
Overview:	1-29
Objective:	1-29
Materials:	1-29
Handouts:	1-29
Special Instructions	1-30
I. Selecting a Priority Policy	1-30
II. Defining the Priority Policy	1-30
III. Gallery Walk—Group Critique of Policy Definitions	1-31
Handout 3-A: PowerPoint Notes	1-32
Handout 3-B: Policy Team Task	1-36

Workshop Welcome, Expectations, and Overview

Time: 1 hour, 30 minutes

Overview

This opening session provides an opportunity for participants and workshop staff to get acquainted and begin focusing on the overall workshop theme of managing the policy process. The session begins with a short orientation to the workshop goals and agenda followed by an interview exercise where participants learn about each other's experiences in health sector reform and their expectations for this workshop. The activities set an appropriate tone for the rest of the week by actively involving participants and highlighting their experiences in health sector reform.

Objectives

- ▶ Get acquainted with other participants and training staff.
- ▶ Review the workshop goals and agenda, and share individual expectations regarding the potential outcomes for the week.

Materials

- ▶ PowerPoint Slides 1-5
- ▶ Flipchart with Group Norms (see Step III.1)

Handouts

- ▶ Participant Workshop Binder (see Introduction section of this manual)
- ▶ Complete Toolkit Binder
- ▶ Handout 1-A: Workshop Goals
- ▶ Handout 1-B: Workshop Agenda
- ▶ Handout 1-C: Questions for Paired Interviews

Special Preparation

Most workshops begin with an opening reception during which participants have an opportunity to casually meet and mingle, and visiting dignitaries offer their official welcome speeches. As designed, Session 1 would be scheduled the morning after such an opening reception.

The getting acquainted activity included under Step II.1 is designed for participants who do not know one another well. If your group is different, then you may want to alter it or substitute another icebreaker.

Activities/Steps

I. Overview of Workshop Goals, Toolkit and Agenda (20 minutes)

1. Welcome participants to the workshop. Introduce the training team and identify their roles for the week.
2. Using Slides 1-5, present the overall workshop goals and briefly introduce the Policy Toolkit. Also, orient the participants to their workshop notebooks and any other materials you have provided.
3. Refer the group to the Workshop Agenda in their notebooks and review the week's activities. Highlight the participatory and "hands-on" nature the workshop, and explain to participants that they will self-select into "Policy Teams" (or country teams) to practice parts of the stakeholder analysis and advocacy tools.
4. Answer any questions participants may have about the general design.

II. Paired Interviews and Workshop Expectations (60 minutes)

1. Explain the two purposes of this activity—to help people get better acquainted and to identify expectations they have of the workshop. Ask participants to pair with someone they do not know well, then give them the following assignment (Handout 1-C):

Interview with a Colleague

Please introduce yourself to your colleague and get acquainted with one another by conducting a brief interview using the questions listed below. Take turns asking each other the questions and make a few notes so you will remember the new information. Be prepared to present your colleague to the rest of the group.

Interview Questions:

1. Who are you? (Name, where you are from, your profession, current position)
2. What is your history or background in health sector reform? (selected highlights)
3. What is something unusual about you that we would not be able to guess by looking at you or by talking to you in casual conversation?
4. What are 2- 3 major expectations you have for this workshop? (Discuss with your partner)

2. Once participants have finished their interviews, invite each pair to come forward to the front of the room and introduce one another to the rest of the group. Encourage brevity. As the participants identify their expectations for the workshop, list them on flipchart.
3. At the end of the introductions, ask participants to make observations about the group: What does this group have in common? What are the interesting differences in your background or experience? What else would you like to know about one another? Close the exercise by commenting on the degree of experience and expertise represented among members in the group. Encourage participants to use one another as resources throughout the week.
4. Show the list of expectations you compiled during the introductions and ask participants if they would like to add anything else. Afterwards, go through the list, and explain how and where in the agenda their various expectations will be met. If some expectations are clearly not going to be covered, acknowledge that too.

III. Group Norms (10 minutes)

1. Post the partial list of group norms (you select as you wish) and say that these are some ground rules you like to follow when running a workshop. Ask the group to accept or modify these norms and to add others to the list. Once you are finished, hang the list in a prominent place in the training room. Here are a few suggested norms:
 - ▷ Start on time—End on time
 - ▷ Maintain a flexible, responsive schedule (it's possible to be flexible and stay on schedule)
 - ▷ Only one person talks at a time
 - ▷ Any question is a good question
 - ▷ Cell phones are turned off during sessions
2. Before closing the session, make any other “housekeeping” announcements that will help the participants get comfortable in the training setting.

Handout 1-A

Workshop Goals

During the course of the workshop, participants will:

- ▶ Analyze the successes and challenges they have experienced in managing the policy process and implementing health care reform.
- ▶ Gain an understanding of their potential roles as “policy champions”, i.e., those who initiate and move forward a particular reform process.
- ▶ Learn to use the PHR Policy Toolkit for Strengthening Health Sector Reform, including tools for stakeholder analysis, developing an advocacy strategy, and conflict negotiation.
- ▶ Develop specific action plans for applying the strategic tools to current or future priority reform programs in their respective countries.
- ▶ Network with other health reform professionals in the region for the purposes of information exchange, consultation, and dissemination of best practices/lessons learned.

Handout 1-B

Workshop Agenda

Managing the Political Process: A Critical Challenge for Health Sector Reform

Sample Workshop Calendar

Opening Evening	DAY 1	DAY 2	DAY 3	DAY 4	DAY 5
	<p>INTRO SESSIONS</p> <p>8:15 Startup</p> <p>8:30 Session 1: Workshop Welcome</p> <p>10:00 Break</p> <p>10:15 Session 2: Intro to Policy Framework</p>	<p>8:15 Startup</p> <p>8:30 Session 6: Conducting Stakeholder Inter-views; Filling in Table (break included)</p> <p>11:00 Session 7: Analyzing & Using Stakeholder Data</p>	<p>8:15 Startup</p> <p>8:30 Session 10: Communicating with Policymakers (continued)</p> <p>9:30 Session 10: Assignment & Prep for Team Presentations (break included)</p> <p>11:00 Session 11: Policy Team Presentations</p>	<p>8:15 Startup</p> <p>CONFLICT NEGOTIATION TOOL</p> <p>8:30 Session 12: Orientation to Conflict Negotiation & Communication Skills (break included)</p>	<p>8:15 Startup</p> <p>8:30 Session 13: Conflict Negotiation Simulations— Practice & Debrief (break included)</p> <p>WRAP-UP SESSIONS</p> <p>11:15 Session 14: Summary of Toolkit & Action Planning</p>
Lunch	Lunch 12:15	Lunch 12:15	Lunch 12:15	Lunch 12:15	Lunch 12:15
<p>Opening Reception</p> <p>Official Welcome</p> <p>Remarks from MOH dignitaries and other visitors.</p>	<p>1:30 Session 3: Selecting/ Defining Priority Policy</p> <p>3:00 Break</p> <p>STAKEHOLDER ANALYSIS TOOL</p> <p>3:15 Session 4: Orientation to Stakeholder Analysis</p> <p>4:00 Session 5: Identifying Key Stakeholders</p> <p>5:15 Wrap-up/ Preview Tomorrow</p>	<p>ADVOCACY TOOL</p> <p>1:30 Session 8: Orientation to Advocacy</p> <p>2:15 Session 9: Advocacy Objectives & Identifying Target Audiences (break included)</p> <p>4:15 Session 10: Communicating with Policymakers</p> <p>5:15 Wrap-up/ Preview Tomorrow</p>	<p>1:30 Session 11: Policy Team Presentations (continued) and Final Advocacy Steps</p> <p>3:30 Remainder of afternoon for “rest and relaxation.”</p>	<p>1:30 Session 12: continued</p> <p>3:00 Break</p> <p>3:15 Session 13: Conflict Negotiation Simulations— Assignment & Prep</p> <p>4:45 Wrap-up/ Preview Tomorrow</p>	<p>1:30 Session 14: Action Planning (continued)</p> <p>2:30 Workshop Evaluation & Closure</p> <p>**Note** Optional Session on Building Networks & Coalitions may be scheduled before action planning if desired</p>

Introduction to the Policy Process

Time: 1 hr., 45 minutes

Overview

This session introduces the conceptual framework of the policy process and underscores the need for health reform teams to understand the political arenas in which they work and strategically manage the stages of policy formulation and implementation. The session activities are organized to give participants a brief overview of the whole framework and then focus in depth on each of the two major parts of the policy process: a) the initial political decision-making which sets policy direction, and b) the technically-led process through which new policies are legitimized and implemented.

Objectives

- ▶ Understand both the politically led and technically led domains of the policy process through which health reforms are determined and implemented.
- ▶ Begin a dialogue about the role of the reform team in the strategic management of the policy process.
- ▶ Understand the links between policy management and the three tools featured in the Toolkit.

Materials

- ▶ Large-size wall chart of the Policy Process Framework
- ▶ PowerPoint Slides 1-15

Handouts

- ▶ 2-A: PowerPoint Notes for Slides 1-15
- ▶ 2-B: Small Group Task: Understanding Political Decision-Making
- ▶ 2-C: Policy Process Framework

Activities/Steps

I. Introduction to Policy Process Framework (20 min.)

1. Review the session objectives.
2. Using slides 1-5 and the large wall chart of the Policy Process diagram, briefly describe the conceptual framework of the process. Include these key points in your discussion:
 - ▷ Health sector reform is an inherently political process; this framework can help you assess the political reality, determine where you and your reform agenda are within the policy process, and identify key tasks you will need to complete to see the reform through to implementation.
 - ▷ The framework has two major parts: a politically dominated process and a technically dominated process. The politically dominated part (top section of the diagram) is essentially concerned with setting the direction for new health reform, that is, with determining the “What”. The technically dominated part of the process (bottom section of the diagram) is concerned with getting the policy implemented. It is the “How” of the process.
 - ▷ Health reform teams need to be policy “champions” to move a policy through the implementation phase.
 - ▷ The more strategically you manage the process, the more likely you will reach your goal.

Trainer Note: This first look at the policy process is more of an overview than a detailed walk-through. Later steps will include a closer review of each of the components of the process.

Trainer Note: For this exercise to be successful, table group members will need to be from the same country. If your workshop group is too diverse to form country teams, have participants divide into mixed groups. Instruct them to focus their energy on the discussion questions and skip the flowchart task.

Small Group Task: Understanding Political Decision-Making

Drawing from your experiences in health sector reform, **have a discussion** around the following questions:

- How are ideas or issues generated for a new or revised policy?
- How is the proposed issue introduced into the formal decision-making process?
- What is the process for discussing, debating, and altering the proposal?
- Who are the actors involved?
- How is the proposal approved or rejected?
- What is the time frame for discussing and approving the proposal?
- If approved, what are the steps to implement the policy?

Based on your collective experiences, **create a flowchart or diagram** that synthesizes and illustrates the political decision-making process as you understand it. Select someone from your table group to present the flowchart to the large group.

Time for task: 40 minutes

II. Understanding Political Decision-Making (70 minutes)

1. Show slide 6 (or use the Political Process wall chart) and ask participants to focus for the next few minutes on the politically-driven part of the process (i.e., the “what”). Give them Handout 2-B, “Small Group Task-Understanding Political Decision-making” and Handout 2-C, “Policy Process Framework”. Review the task and have them work on it at their table groups.
2. Provide each group with a flipchart and markers. As they begin, check to ensure everyone is clear on the assignment and on track. After 30 minutes, give the groups a ten-minute warning.
3. Have each group present their flowchart and synthesis of their small group discussion. Allow 3-4 minutes for each presentation. At the end, ask participants to identify common themes among the various flowcharts. If it hasn’t already been mentioned in the discussion, have participants comment on the degree to which they have been directly involved in this level of policy development. Use this final question to transition into the next activity on the components of the implementation process.

III. Components of the Policy Process (technically-led domain) (30 minutes)

1. Show the sample policy on deconcentration of the MOH (slide 7). Ask participants to imagine that this policy is a top priority for health reform in their country, then use it as a concrete example or case to illustrate the five stages/components of the technically led part of the policy process (slides 8-12). Draw from the groups’ discussions and flowcharts to demonstrate how the “deconcentration policy” might get formulated and legitimized, and then continue on through each of the other four stages. Highlight the major tasks that fall under each of the stages (draw your information from Table 1.1 on page 1-4 in the Toolkit). Emphasize that the policy process is more iterative, less sequential in the real world than implied in this model.
2. Discuss the roles of the State, public officials, technical reform teams, and the private sector including NGOs and for-profit service providers, etc. Ask: “Who plays what role in this part of the policy process?” Also ask: “When in the policy process is it most beneficial to have input from end-users?”
3. Introduce the Policy Toolkit as a management guide for navigating the policy process. Using slides 13-15, present the three tools and explain how they relate to the various stages in the policy process. Emphasize that the tools have been carefully crafted for use either singularly or in combination with each other. Key points include:

Stakeholder Analysis Tool—

- ▷ Helps you identify the interested parties and assess their support for a particular policy, their underlying interests and if and why those interests should be taken into account.
- ▷ Most useful at the **policy formulation and legitimization phase**; resulting information informs the next stages of constituency building and resource mobilization.

Advocacy Strategy Tool—

- ▷ Helps you determine your advocacy objectives, identify target audiences, take stock of available support and information sources, determine a strategy for reaching your objectives, and develop key messages to persuade policymakers to take desired actions.

Trainer Note: Underscore that health sector reforms do not happen haphazardly, rather they require myriad tasks to advance toward implementation. Reform teams have unique knowledge and expertise to contribute to these tasks and to the management of the overall policy process.

- ▷ Needed in all stages of the policy process, but particularly essential for **constituency-building and resource mobilization**. Successful implementation of health care reform needs widespread support and substantial financial, human, and technical resources.

Conflict Negotiation Tool—

- ▷ Helps you anticipate, contain, and resolve disputes that arise when parties with different interests need to work toward mutually acceptable solutions.
 - ▷ Useful at all stages, but most critical during **resource mobilization** (competing uses and users create conflict) and **implementation design and organizational structuring** (changes in roles and new ways of doing business tend to provoke conflict).
4. Use any remaining time to field questions. Close the session by explaining that, as a group, you will further explore the policy process framework throughout the workshop. Post a wall chart version of the Policy Process Framework in the training room for the duration of the workshop.

Handout 2-A

PowerPoint Notes



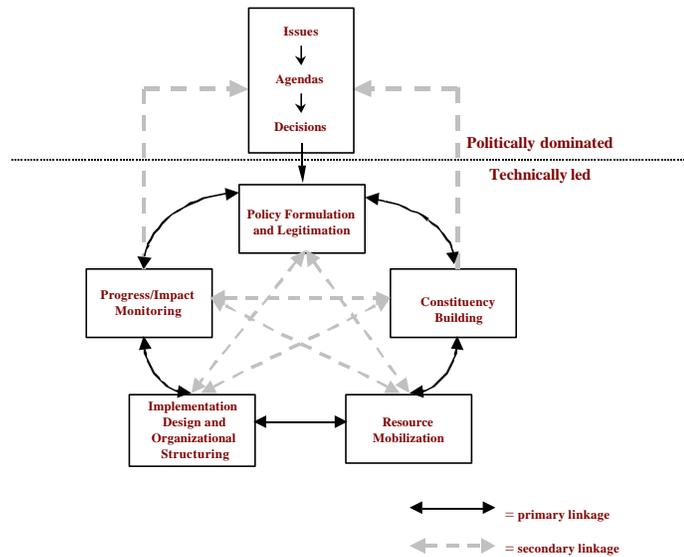
Introduction to the Policy Process and its Components



First Step: Understand the Policy Process

“A conceptual framework of the policy process can guide your efforts by helping you determine where you are and where you need to be.”

The Policy Process



Role of the Policy Champion

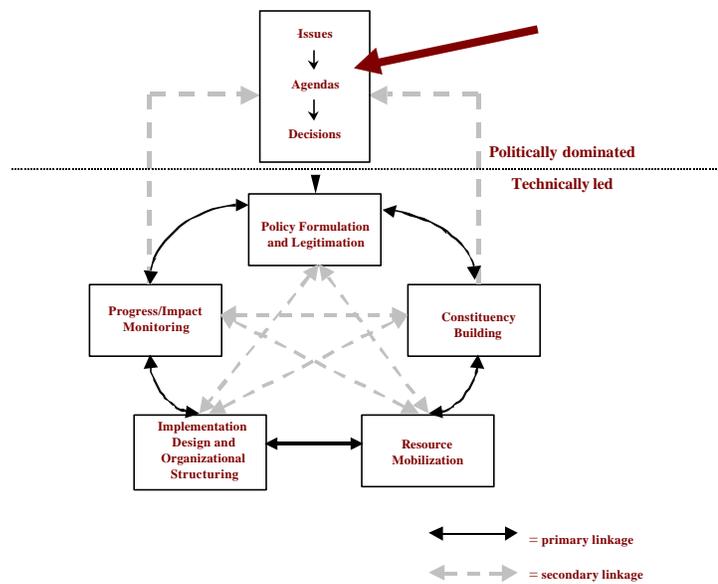
“Policy champions are persons or teams who are willing and able to lead and manage the policy process.”

Role of the Policy Champion

- ▲ Focus the discussion on reform issues
- ▲ “Facilitate” the policy process
- ▲ Discuss themes / problems / solutions
- ▲ Build consensus for health sector reform
- ▲ Seize and create opportunities to promote reform



The Policy Process



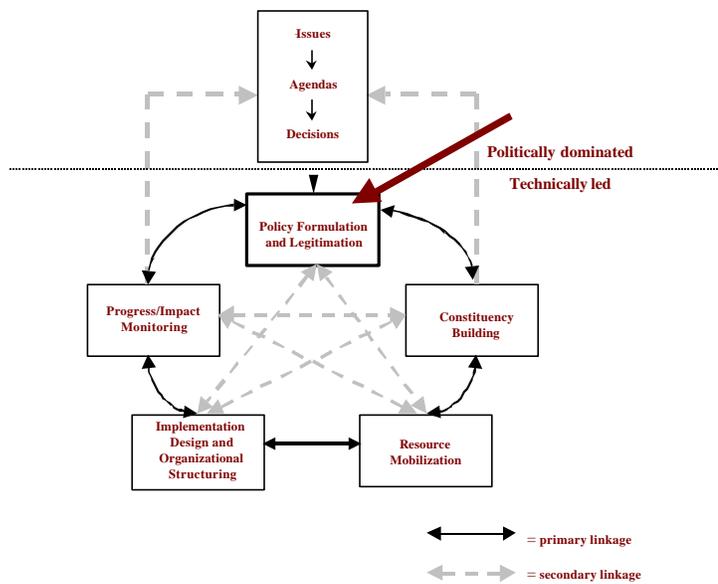
Example of a Health Reform Policy

De-concentration of the MOH: the permanent delegation of decision-making power to provincial directors, area chiefs, and hospital directors in:

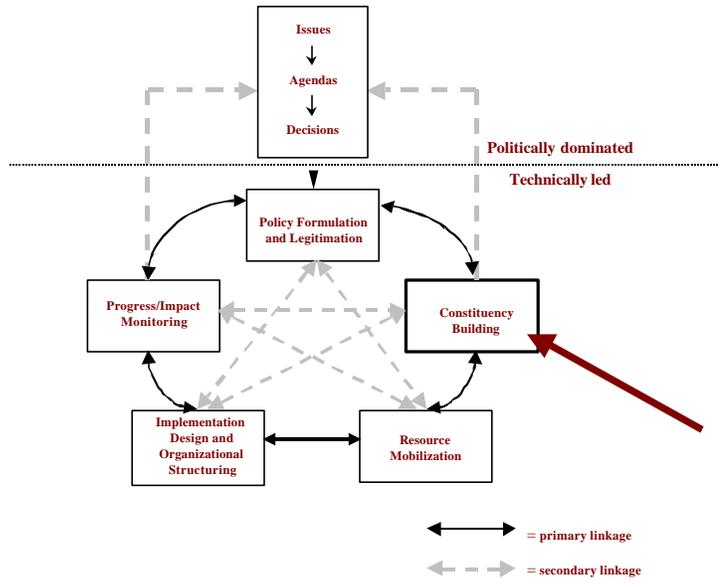
- ▲ naming and managing personnel
- ▲ buying equipment and supplies
- ▲ utilizing funds generated by facilities



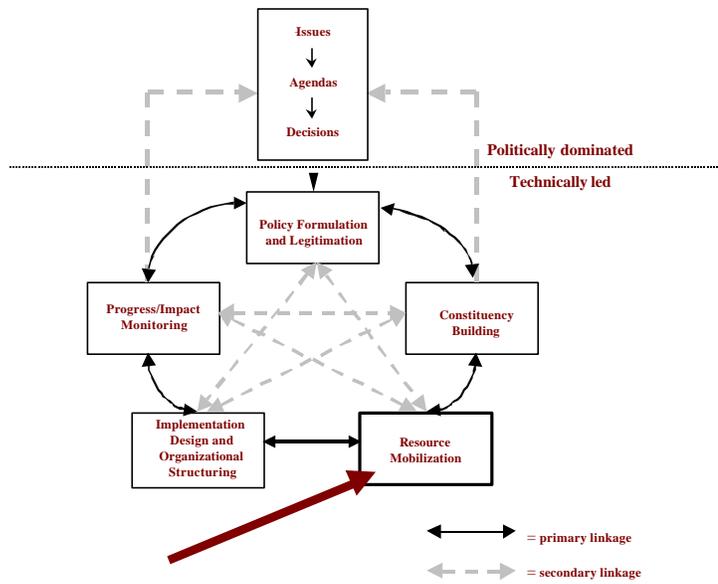
The Policy Process



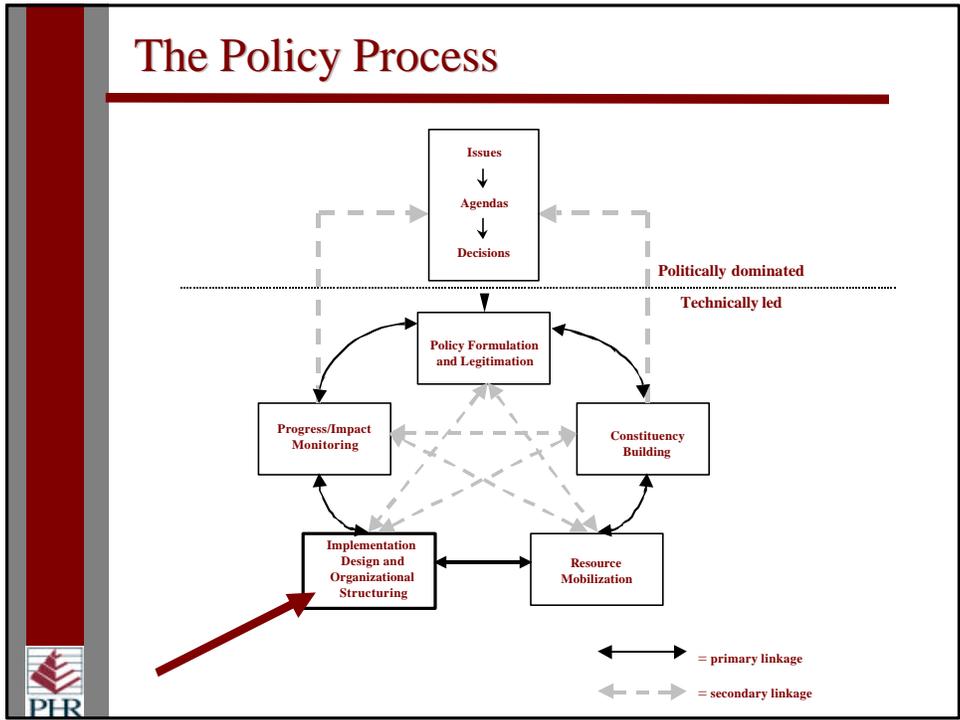
The Policy Process



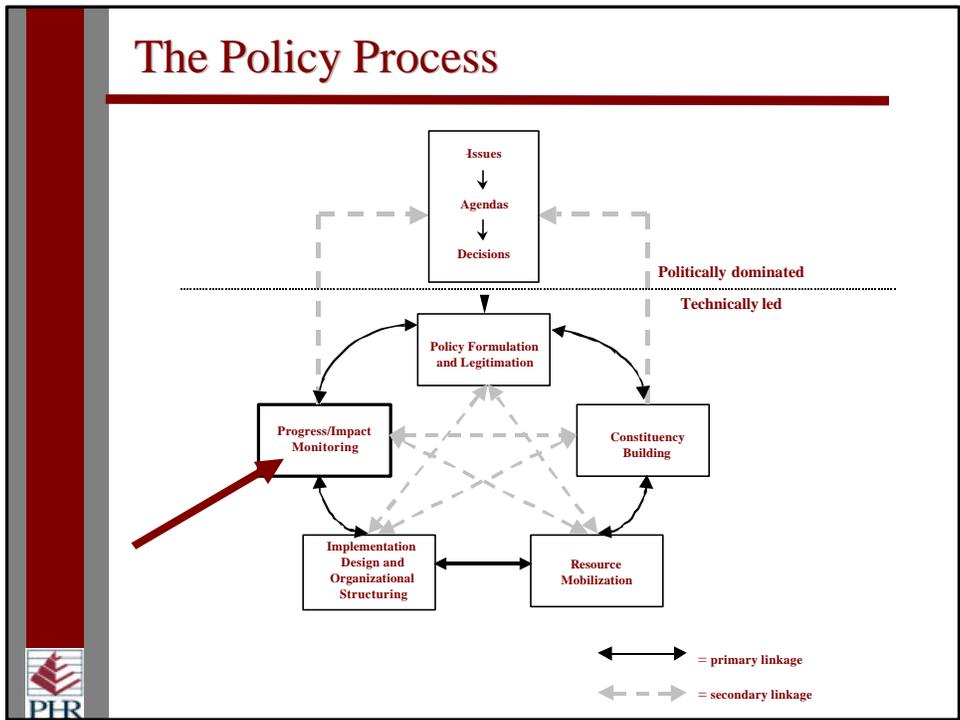
The Policy Process



The Policy Process



The Policy Process



Stakeholder Analysis Tool

Why? To identify interested parties and assess their support for their policy

When? Policy formulation and legitimization phase



Advocacy Strategy Tool

Why? To determine advocacy objective, identify target audiences, assess available support and data sources and develop a strategy for persuading policy makers to take action.

When? Constituency building and resource mobilization phases



Conflict Negotiation Tool

Why? To anticipate, contain, and resolve disputes that inevitably arise during the policy process

When? Useful at all stages, but critical during resource mobilization and implementation design / organizational structuring phases.



Handout 2-B

Small Group Task— Understanding Political Decision-Making

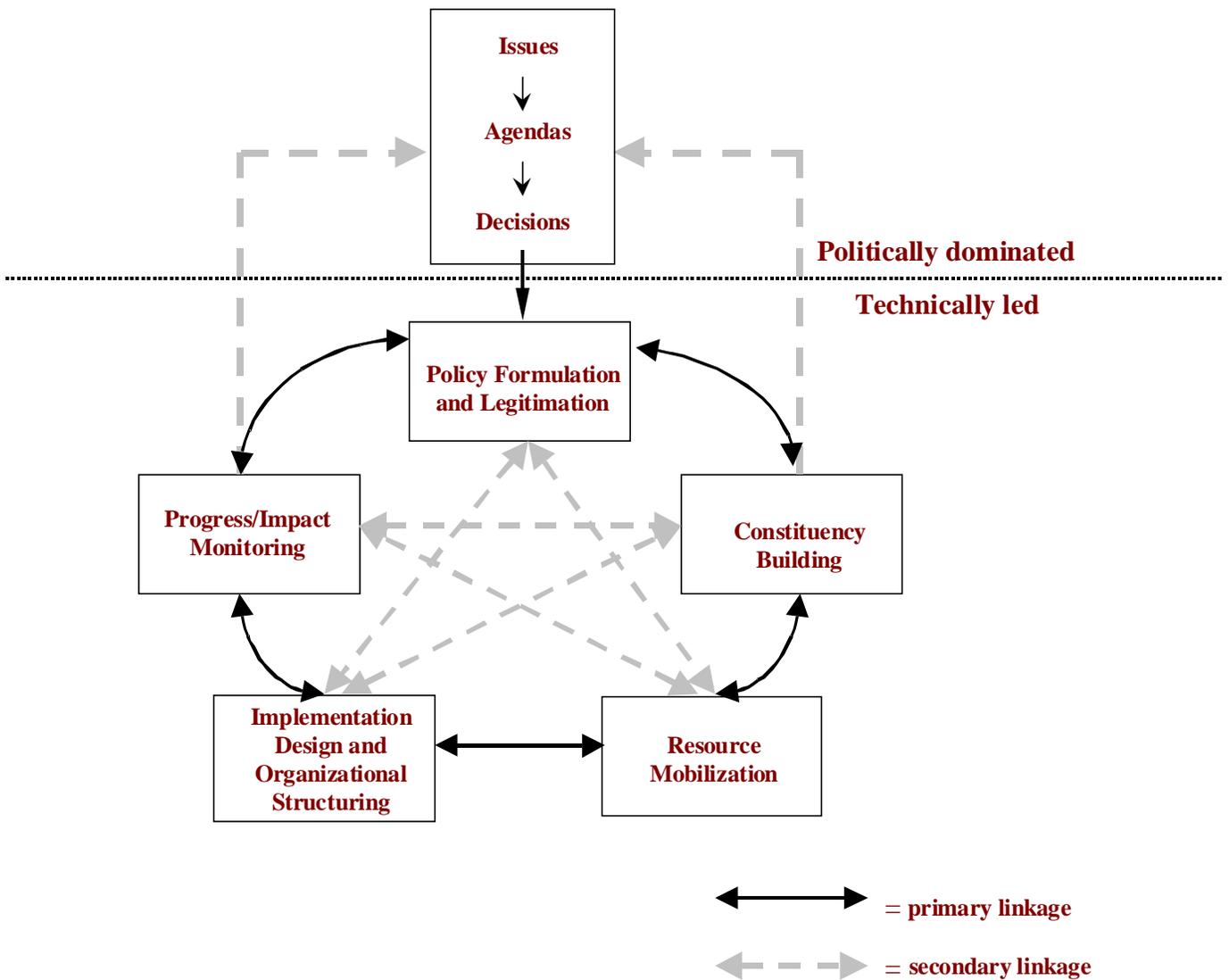
Drawing from your experiences in health sector reform, **have a discussion** around the following questions:

- How are ideas or issues generated for a new or revised policy?
- How is the proposed issue introduced into the formal decision-making process?
- What is the process for discussing, debating, and altering the proposal?
- Who are the actors involved?
- How is the proposal approved or rejected?
- What is the time frame for discussing and approving the proposal?
- If approved, what are the steps to implement the policy?

Based on your collective experiences, **create a flowchart or diagram** that synthesizes and illustrates the political decision-making process as you understand it. Select someone from your table group to present the flowchart to the large group.

Handout 2-C

Policy Process Framework



Selecting and Defining a Priority Policy

Time: 1 hour, 30 minutes

Overview:

In this session, participants self-select into “Policy Teams” where they will choose a priority policy to use to practice the steps in stakeholder analysis and advocacy planning. Exactly how you organize these teams will depend on the composition and interests of your particular participant group. If your participants are all from the same country, they could form the teams around a single or several priority health reform policies. If your participants are attending from different countries, then they should group by country with each team selecting a policy that is a current priority for their respective national reform agenda. Once the groups are formed, each team will draft a concrete, action-oriented definition of their selected policy and share it with the other teams in the room. The policy definition task is a critical prerequisite to the subsequent sessions and practice exercises—team members must be clear and in agreement on what their policy means.

Objective:

- ▶ Select and define a priority policy that is appropriate for stakeholder analysis and advocacy efforts.

Materials:

- ▶ PowerPoint Slides 1-6

Handouts:

- ▶ 3-A: PowerPoint Notes
- ▶ 3-B: Policy Team Task: Policy Definition
- ▶ Descriptions of current priority health sector reform policies (pre-drafted by participants)

Special Instructions

To the extent possible, participants should be asked to review and select a priority policy before their arrival at the workshop. (See the Pre-Workshop Assignment in Annex D of the Introduction section of this manual.) Collect their policy descriptions when they arrive and familiarize yourself with them before the session. If the pre-work assignment isn't feasible, then help people make an appropriate selection here and proceed on to drafting the policy definition and goal.

I. Selecting a Priority Policy (20 minutes)

1. Explain the objective of the session. Make certain participants understand that they are selecting a policy that they will use in several of the practice planning exercises during the workshop.
2. Review Slides 1-3, "Criteria for Selecting a Priority Policy" and "Sample Policies". Refer participants to the boxes on page 2-5 in their Toolkits for the same information.
3. Have participants discuss and organize themselves into Policy Teams as follows:
 - ▷ Participants may group by country and then discuss and select one of their priority policies.
 - ▷ If from the same country, participants may identify several priority policies and self-select into Policy Teams to work on one.

Examples of policies include: decentralization or deconcentration of the Ministry of Health, reallocation of resources, rationing of health services, and so forth. Afterward, go around the room and have each team or individual state their selected policy.

II. Defining the Priority Policy (40 minutes)

1. Explain that the next step is to define the policy in concrete and clear terms so that decision-makers and other stakeholders will have a common understanding of it. Display and review Slide 4, "Guidelines for Defining the Policy", then show Slides 5 and 6, "Sample Health Reform Policy Definitions" and use them to illustrate your points. Refer participants to the boxes on page 2-5 of their Toolkit for the same information.
2. Ask participants to work in their policy teams to draft a definition of their selected policy. The task is stated in the box below:

Policy Team Task: Policy Definition

1. Using the guidelines below, draft a definition for your selected policy.
 - Use clear and non-technical language
 - Be as specific as possible
 - Be action oriented (What action does the government need to take to implement the reform policy?)
 - Highlight the positive aspect of the policy
2. Once you have finished your draft definition, write it on flipchart and post it on the wall.

Time for Task: 35 minutes

Trainer Note: The ideal scenario is to have participants self-select into four or five different policy teams.

3. Assist the policy teams as appropriate. Give the groups a five-minute time check.

III. Gallery Walk—Group Critique of Policy Definitions (30 minutes)

1. Once all the teams' definitions are posted on the wall, invite participants to walk around the room reading and critiquing each one. Encourage people to ask for clarifications as needed. Provide large-size "sticky notes" (e.g., Post-It Notes) so people can write down their comments and suggestions and attach them directly to the flipchart papers. You and other associate trainers should also participate in the critique, adding your specific comments as appropriate. As you review the policy definitions and read the feedback written on the sticky notes, highlight comments or suggestions that are relevant for all the teams, regardless of their specific policy.
2. Ask each policy team to take the comments and suggestions and use them to improve or redraft their policy definition. Assist any team that may be experiencing difficulty finalizing their definition.
3. Ask participants to re-hang their revised policy definitions in a designated area and leave them there for the duration of the workshop.

Trainer Note: It can be quite challenging to develop specific, action-oriented definitions of policies that are usually stated in more global and general terms. Be prepared to provide additional time and assistance to the teams during this part of the session.

Handout 3-A

PowerPoint Notes

Criteria for Selecting a Priority Policy

- ▲ The policy should be specific and “definable” in concrete terms so that everyone understands what it means.
- ▲ The policy should directly support current health reforms.
- ▲ The policy should be critical to implementation of your health reforms
- ▲ The policy should be politically viable, but controversial enough so that it merits the investment of resources required to carry out a stakeholder analysis and advocacy strategies.
- ▲ The time is opportune to build support for the policy or make decisions and take action regarding the policy.



Sample Policies

- ▲ **Appropriate** for stakeholder analysis and advocacy planning:
 - ❖ De-concentration of the ministry of health (MOH)
 - ❖ Resource allocation based on performance
 - ❖ Hospital autonomy / decentralization
 - ❖ Prospective budgeting at the hospital level



Sample Policies

- ▲ **NOT Appropriate** for stakeholder analysis and advocacy planning:
 - ❖ Health sector reform (too general)
 - ❖ Modernization of MOH (too general)
 - ❖ Providing computers for all MOH offices (not a central or priority health reform topic)
 - ❖ Increasing national spending on health (may not be a controversial topic for the health sector)



Guidelines for Defining the Policy

- ▲ Use clear and non-technical language
- ▲ Be as specific as possible
- ▲ Be action oriented (What action does the government need to take to implement the reform policy?)
- ▲ Highlight the positive aspect of the policy



Sample Policy Definitions

▲ **Sample 1:** De-concentration of the MOH

The permanent delegation of decision-making power to provincial directors, area chiefs, and hospital directors in:

- ❖ naming and managing personnel
- ❖ buying equipment and supplies
- ❖ utilizing funds generated by the facilities



Sample Policy Definitions

▲ **Sample 2:** MOH resource allocation based on performance

To provide resources to ministry facilities based on the volume of services they provide and whether they meet client needs. The specific resources that would be allocated based on results include:

- ❖ facility and general administrative budgets
- ❖ personnel allocations
- ❖ equipment distribution



Handout 3-B

Policy Team Task: Policy Definition

1. Using the guidelines below, draft a definition for your selected policy.

Guidelines:

- Use clear and non-technical language
- Be as specific as possible
- Be action oriented (What action does the government need to take to implement the reform policy?)
- Highlight the positive aspect of the policy

2. Once you have finished your draft definition, write it on a flipchart and post it on the wall.

Time for Task: 35 minutes

Section 2

Stakeholder Analysis Tool

Session 4: Orientation to Stakeholder Analysis

Session 5: Identifying Key Stakeholders

Session 6: Conducting Stakeholder Interviews
and Filling In the Stakeholder Table

Session 7: Analyzing and Using the Stakeholder
Data

Stakeholder Analysis Tool

Table of Contents

Session 4: Orientation to Stakeholder Analysis	2-5
Overview	2-5
Objectives	2-5
Materials	2-5
Handouts	2-5
Activities/Steps	2-6
I. Introduction to Stakeholder Analysis—Positional Map Exercise	2-6
II. Key Points/Main Steps in Stakeholder Analysis	2-6
Handout 4-A: Sample Positional Map	2-8
Handout 4-B: PowerPoint Notes	2-10
Session 5: Identifying Key Stakeholders	2-15
Overview:	2-15
Objectives	2-15
Materials	2-15
Handouts	2-15
Activities/Steps	2-16
I. Overview of Stakeholder Identification	2-16
II. Policy Team Task—Making a List of Potential Stakeholders	2-16
Handout 5-A: PowerPoint Notes	2-18
Handout 5-B: Worksheet for Stakeholder Identification	2-21
Session 6: Conducting Stakeholder Interviews and Filling In the Stakeholder Table	2-25
Overview	2-25
Objectives	2-25
Materials	2-26
Handouts	2-26
Special Preparation	2-26
Activities/Steps	2-26
I. Overview of the Stakeholder Interview and Data Transfer Steps	2-26
II. Conducting a Practice Interview	2-28

III. Demonstration and Practice—Filling in the Stakeholder Table	2-29
Handout 6-A: PowerPoint Notes	2-31
Handout 6-B: Sample Interview Questionnaire for “Deconcentration of MOH”	2-35
Handout 6-C: Definitions of Stakeholder Characteristics and Instructions for Filling-in Stakeholder Table	2-40
Handout 6-D: Sample Stakeholder Table	2-44
Handout 6-E: Sample Interview Questionnaire	2-46
Handout 6-F: Sample Reference Chart	2-50
Session 7: Analyzing and Using the Stakeholder Data	2-53
Overview	2-53
Objectives	2-53
Materials	2-53
Handouts	2-54
Activities/Steps	2-54
I. Demonstration of Data Analyses	2-54
II. Applying Stakeholder Analysis to “Real World” Context	2-55
Handout 7-A: PowerPoint Notes	2-56
Handout 7-B: Power and Leadership Analysis	2-61
Handout 7-C: Partially Completed Stakeholder Table	2-63
Handout 7-D: Knowledge Levels Analysis	2-65
Handout 7-E: Potential Key Alliances	2-67

Orientation to Stakeholder Analysis

Time: 45 minutes

Overview

This short orientation establishes the rationale for Stakeholder Analysis by underscoring the need for comprehensive, *objective* data about key stakeholders, and then walks participants through the steps in the process. The sample positional map exercise at the beginning of the session captures participants attention and vividly illustrates the potential applications for the data generated through the analysis process.

Objectives

- ▶ Clarify the uses and benefits of stakeholder analysis as a fundamental tool for managing the policy process, and how it fits with the other policy tools.
- ▶ Describe the key components and steps in a comprehensive stakeholder analysis

Materials

- ▶ PowerPoint Slides 1-6
- ▶ Policy Teams' policy definitions posted on wall (from Session 3)

Handouts

- ▶ 4-A: Sample Positional Map
- ▶ 4-B: PowerPoint Notes

Activities/Steps

Trainer Note: The positional map is one of several potential products of stakeholder analysis. Showing the sample map here at the beginning of the stakeholder analysis module captures participants interest and helps to quickly convince them of the value of the analysis tool in managing the policy process. Don't spend too much time deciphering the map here—you will return to it again in Session 7, Analyzing and Using the Stakeholder Data, and at the beginning of the module on advocacy planning.

Trainer Note: You can either pose these questions to the plenary group or ask participants to discuss them for a few minutes in their table groups and then share insights in plenary.

I. Introduction to Stakeholder Analysis—Positional Map Exercise (25 minutes)

1. Review the objectives for the session.
2. Introduce Stakeholder Analysis by showing participants Slide 2, Sample Positional Map. Refer participants to the map in their notebooks (Handout 4-A) so they can follow along with you during the exercise. Explain enough background on the chart so that participants will be able to “read” it themselves. Point out the following aspects:
 - ▷ The map shows who the main actors or stakeholders are and which ones support or oppose the policy.
 - ▷ It also shows how important the support or opposition is (indicated by shading or color) to the success of the policy and where these stakeholders are by sector.
3. Ask participants to analyze the map and answer the following questions:
 - ▷ What does the map tell you about these particular stakeholders?
 - ▷ Based on the map, how would you characterize the support for (or status of) this policy?
 - ▷ What strategies for building support might you consider? (Demonstrate the key point that managing the policy process means thinking and planning strategically and then taking action to change certain people's positions. It is important to determine whose support you really need and then work to achieve it.)
4. Solicit from the group examples of how policy managers currently obtain the kind of information presented in the positional map. How do you know who favors and opposes your policies? How do you know their levels of power and leadership relative to your proposed reform? Explain that stakeholder analysis provides answers to these and other key questions in managing the policy process. Use this discussion to establish the rationale for Stakeholder Analysis, underscoring the need for comprehensive, *objective* data about key stakeholders.

II. Key Points/Main Steps in Stakeholder Analysis. (20 minutes)

1. Using Slides 3-6, review key points and steps in stakeholder analysis, linking it to the policy process and the other two tools in the Toolkit. Underscore the following points:
 - ▷ This approach uses a methodology that is transparent, objective, and systematic. Stakeholder analysis results can help reform managers tell higher level officials things they may not want to hear—the process is more defensible and increases the clout of the reform team.
 - ▷ Stakeholder analysis generates much of the data you need to begin developing your advocacy strategies.
 - ▷ In applying the tool, it is critical to assign objective values to interview data. The methodology may seem tedious at times, but the results are credible and replicable.
 - ▷ The analysis does not guarantee success for your policy, but it can maximize your chances and minimize some of the risk of failure.

2. Make clarifications as needed, but defer questions that will be covered during subsequent practice exercises. Use “sticky notes” to capture any pending questions people may have and post them in the “Parking Lot”. Explain to participants that they will practice several of the steps in stakeholder analysis in their Policy Teams.

Trainer Note: The idea here is to outline the main steps and features of the tool, not to explain all of the details included in the guidelines. Participants will have opportunities to “experience” several of the main components of stakeholder analysis over the course of the next few sessions.

Handout 4-A

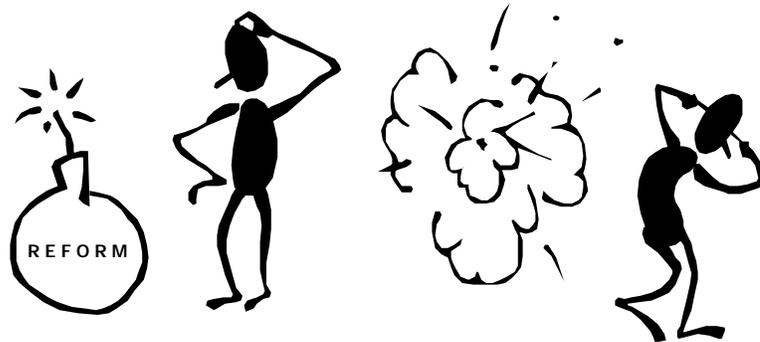
Sample Positional Map

		Support		Neutral	Opposition	
		High	Moderate		Moderate	High
Political Sector: Intern'l & National		Int'l Donor B Regional Org.		Local Politicians		
		Int'l Donor A Reform Project				
Public Sector					Ministry of Finance	
Technical Secretariat (policy origin)						
MOH	Central Level	Minister of Health			Central Directors	
	Prov/Local Level	Prov. Dir.	Area Dir. Hosp. Dir.			
External Labor Sector				Nurses Assoc.	Medical Assoc.	Hosp. Work. Assoc. Workers' Assoc. Labor Union A Labor Union B

Handout 4-B

PowerPoint Notes

Stakeholders Analysis

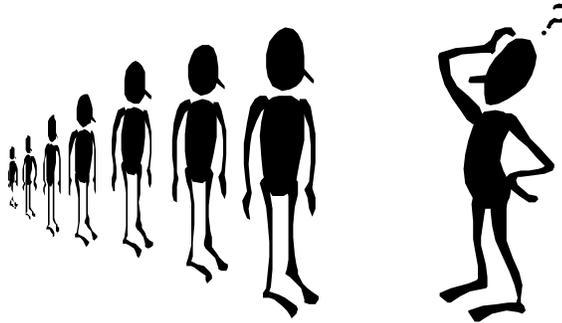


A tool that provides key information for avoiding political failures in health sector reforms



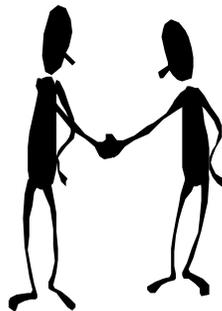
		Support		Neutral	Opposition	
		High	Moderate		Moderate	High
Political Sector: Intern'l & National		Int'l Donor B Regional Org.		Local Politicians		
		Int'l Donor A Reform Project			Ministry of Finance	
Technical Secretariat (policy origin)						
MOH	Central Level		Minister of Health		Central Directors	
	Prov/Local Level	Prov. Dir.	Area Dir. Hosp. Dir.			
External Labor Sector				Nurses Assoc.	Medical Assoc.	Hosp. Work. Assoc. Workers' Assoc.
					Labor Union B	Labor Union A

Who Are the Stakeholders?

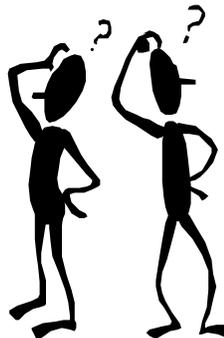


What are their positions and interests towards the policy?

Support



Neutral



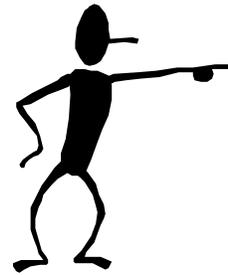
Oppose



What is their ability to affect the implementation of the policy?



Power



Leadership



The Process

- ▲ Identify stakeholders
- ▲ Interview the stakeholders
- ▲ Organize the information obtained
- ▲ Analyze the information
- ▲ Use the information to take action or make a decision



Identifying Key Stakeholders

Time: 1 hour

Overview:

Now that participants have an overview of the stakeholder analysis tool (from Session 4), they are ready to begin practicing some of the steps in the process. This session focuses on identifying key stakeholders, an extremely critical step if the analysis is to be successful. Working in their Policy Teams, participants first identify a range of potential stakeholders (public/private and national/international sectors) for their selected policy, and then determine which ones may be key. Group discussion centers on guidelines for selecting the “right” type and number of stakeholders in relation to the funds available to carry out the interviews.

Objectives

- ▶ Identify potential stakeholder groups for national-level [and facility-level] health reform policies.
- ▶ Distinguish between potential and priority stakeholders in the context of managing the policy process.
- ▶ Develop a list of possible stakeholders related to the selected policy.

Materials

- ▶ PowerPoint Slides 1-3
- ▶ Definition of “Stakeholder” written on flipchart (see Activity I, Step 1)
- ▶ Policy Teams’ policy definitions posted on wall (from Session 2)

Handouts

- ▶ 5-A: PowerPoint Notes
- ▶ 5-B: Worksheet for Stakeholder Identification

Refer participants to Annex 2-A, “Sample General List of Stakeholders” in Toolkit.

Activities/Steps

I. Overview of Stakeholder Identification (15 minutes)

1. Show and explain to the group the following definition of “stakeholder”:
“A stakeholder is anyone who has a vested interest in the policy being promoted”
2. Show the group Slide 2, “Possible Sectors to Consider” when composing a list of potential stakeholders. Ask them to suggest possible stakeholder groups under each sector category and list these on flipchart.
3. Show slide 3, “Worksheet for Identifying Stakeholders” and refer participants to the Annex 2-A, “Sample General List of Stakeholders” in their Toolkits. Review the categories of information (sectors, sub-sectors, internal/external to MOH, # to be interviewed, and reason chosen/relationship to policy). Ask participants to comment on why each category of information is important.

Trainer Note: If some participants are working on reforms at the facility level, then adjust the stakeholder groupings accordingly. See the facility-level stakeholder list in Box.2.3 on page 2-6 of the Toolkit.

II. Policy Team Task—Making a List of Potential Stakeholders. (45 minutes)

1. Refer participants to Handout 5-B, “Worksheet for Identifying Stakeholders” and ask them to complete the following task in their Policy Teams:
2. As the teams work on the task, check-in once to make sure they are on track. Provide clarifications and assistance as appropriate. After about 20-25 minutes, give the teams a five-minute warning.

Policy Team Task—Identifying Potential Stakeholders

- Using the handout worksheet, identify all of the potential stakeholders for your selected policy.
- For each stakeholder individual or group you identify, fill-in the pertinent information on the chart: inter/external to MOH; # to be interviewed; reason chosen/relation to policy.

Time for Task: 25-30 minutes

3. Once the teams are finished, ask for comments on the task:
 - ▷ Were there any problems identifying the various groups or individuals? Please explain.
 - ▷ What percentage of the people on your list are external versus internal? Why is this significant?
 - ▷ How many total people do you have listed as potential stakeholders to interview? What does this imply about resources needed to carry out the interviews?
 - ▷ Given limited resources, what are some ways you can prioritize the stakeholders on your list?

In reference to the last question, explain to the group that it is helpful to consult with two or three people (in their country or region) who have extensive knowledge of the health sector, its actors, and the power of those actors to influence the policy. Using these experts' input, they should prioritize their

lists to include *only those individuals who have a direct interest in the policy and could significantly help or obstruct its implementation.*

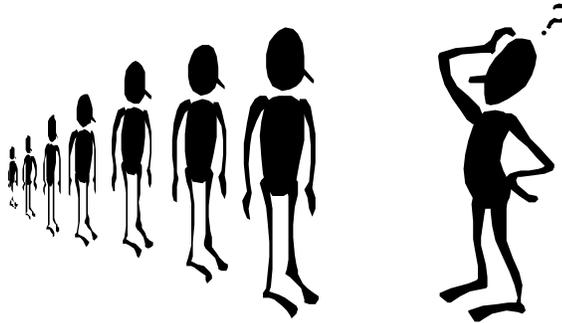
4. As a final step, ask the teams to go through their list of potential stakeholders and to put a star or checkmark next to several of the people they would consider “priority”. This sub-list should include people they know to be supportive of their proposed policy as well as people who are opposed. Explain that they will use some of these actors as case examples during the next session, “Conducting Interviews and Filling-In the Stakeholder Table”.

Trainer Note: It may be useful to mention when and under what circumstances end-users might be considered priority stakeholders. End users usually affect a policy indirectly by reacting to the incentives created by the policy or reformed systems, not by directly changing the policy and systems themselves. As such, they are generally not considered priority stakeholders in the context of this analysis.

Handout 5-A

PowerPoint Notes

Identify the Stakeholders



Potential Sectors to Search for Stakeholders

- ▲ Public sector
- ▲ Political sector
- ▲ Social sector
- ▲ Private sector
- ▲ International sector



Worksheet for Stakeholder Identification

Sector	Institution & position	Internal/external	# to be interviewed	Relation to the policy
Public				



Handout 5-B

Worksheet for Stakeholder Identification

Sector	Institution and Position	Internal/ External to the Policy Origin	Number to be Inter- viewed	Relation to the Policy
Social				
Private				

Sector	Institution and Position	Internal/ External to the Policy Origin	Number to be Inter- viewed	Relation to the Policy
International				
Others				

Conducting Stakeholder Interviews and Filling In the Stakeholder Table

Time: 2 hours, 15 minutes

Overview

In Session 6, participants become familiar with the core components of the stakeholder analysis process—gathering the interview data and transforming it into a systematized format from which clear comparisons and analyses can be made. The data transformation also facilitates the concise presentation of information to the policymakers who will use it.

Continuing to work in their Policy Teams, participants conduct practice interviews with key “stakeholders” (role-played by colleagues) and then learn to translate the interview responses into the Stakeholder Table. Transferring the responses to the table accurately requires the use of several tools—the completed interview guides, the reference chart, the definitions of the stakeholder characteristics, and the Stakeholder table itself. Given the complexity of the tools and steps introduced here, this session calls for careful preparation and management on the part of workshop facilitators.

Objectives

- ▶ Become familiar with the different tools used to construct the interview questionnaire and transpose/analyze the data.
- ▶ Conduct and document a stakeholder interview for the selected policy.
- ▶ Transfer the narrative data from the interview onto the Stakeholder Table (a concise and systematized format).

Materials

- ▶ PowerPoint Slides 1-5
- ▶ Flipchart with instructions for the “Policy Team Task: Practice Interviews” (see Step II.1)
- ▶ Flipchart version of Stakeholder Table (to demonstrate the data transfer in Step III.1)
- ▶ Policy Teams’ policy definitions posted on wall.

Handouts

- ▶ 6-A: PowerPoint Notes
- ▶ 6-B: Sample Interview Questionnaire for “Deconcentration of MOH” (with handwritten definition)
- ▶ 6-C: Definitions of Stakeholder Characteristics and Instructions for Filling-in Stakeholder Table
- ▶ 6-D: Sample Stakeholder Table
- ▶ 6-E: Sample Interview Questionnaire (with blank spaces for filling in the policy definitions for practice)
- ▶ 6-F: Sample Reference Chart

Special Preparation

1. This session requires particularly careful preparation and management of worksheets and other materials. Familiarize yourself with all of the tools listed above—the Stakeholder Characteristics, Interview Questionnaire, Stakeholder Table, and Reference Chart—so that you can lead the group clearly and smoothly through the activities here.
2. Familiarize yourself with the priority stakeholder lists each Policy Team developed during Session 5. You may need to help one or more teams select the Stakeholders they want to role-play in the practice interviews and/or assign a training staff member to play the role of a Stakeholder (see Activity II-1).
3. If you are conducting a shortened version of this workshop and you do not have time for participants to conduct the practice interviews (Activity II), then focus on the “deconcentration” questionnaire (Handout 6B) and create a case example of a completed questionnaire. (I.e., pretend you have just interviewed Stakeholder X and you have a completed questionnaire ready to enter onto the Stakeholder Table.) Use the case example to walk the group through the data transfer process.

Activities/Steps

I. Overview of the Stakeholder Interview and Data Transfer Steps (20 minutes)

1. Introduce the objectives for the session. Using the overhead slides, explain the Questionnaire and Stakeholder Characteristics on which the questionnaire is based. Refer participants to the Sample Questionnaire for Deconcentration of MOH (Handout 6-B) and the Definitions of Stakeholder

Characteristics (Handout 6-C) so they can follow along as you discuss the tool. During your explanation, include the following key points:

- ▷ The stakeholder analysis team should review and adapt the characteristics and definitions provided in the Toolkit (Annex 2-B) to their policy being analyzed and the particular culture of the country. It is critical that team members have a common understanding of each definition.
 - ▷ Once the characteristics are adapted and defined, the team then adapts the questionnaire, the Stakeholder Table, and the Reference Chart (which will be explained in a moment).
 - ▷ When developing/adapting the questionnaire, the questions should be clearly stated, specific, and open-ended wherever possible, requiring the stakeholder to provide more than a simple “yes” or “no”. If necessary, more than one question may be asked to collect data on a particular stakeholder characteristic, but doing this repeatedly will extend the overall length of the questionnaire beyond the ideal 2-hour time limit.
 - ▷ The questionnaire should include an introductory section that the interviewer can read to the stakeholder. This introduction states the objective of the interview, identifies who is collecting the information, explains what will be done with the information, and assures the stakeholder that all responses will remain anonymous.
 - ▷ The definition of the policy should be given to the stakeholder during the interview, but not until after the interviewer has explored and established the stakeholder’s level of understanding and knowledge about the policy in question.
2. Show the slides of the Stakeholder Table and the Reference Chart and refer participants to the samples in their notebooks (Handouts 6-D and 6-F). Explain the data transfer step and the table and chart as follows:
- ▷ The data transfer step allows the stakeholder analysis team to take the lengthy answers from the interviews and arrange them into a concise and systematized format.
 - ▷ The table is formatted to protect anonymity and highlight the most significant data.
 - ▷ The Reference chart is developed after the questionnaire and the table because it incorporates the specific interview questions and the column titles from the table. The reference chart serves a dual purpose—it provides a means of checking that all of the stakeholder characteristics are covered in the questionnaire, and it aids the actual transfer of information from the questionnaire to the table. During the data transfer, the Reference Chart serves as a key for locating the data while the Stakeholder Table is where the actual synthesized data is entered.
 - ▷ Once the table is filled in with all the interview data, the team can then develop clear comparisons among the different stakeholders and concisely present the information to the policymakers for use (as participants saw with the Positional Map).
- Briefly describe each of the columns in the table and show how the questionnaire and the reference chart relate to it. Answer any clarification questions the group may have, but ask participants to hold other comments or concerns until after the practice exercises.
3. In preparation for the next activity, have the policy teams write in the definition of their policy on the Sample Interview Questionnaire (Handout 6-E). This is the questionnaire they will use as a guide during their practice interviews.

Trainer Note: Participants will understand these tools better once they have practiced with them. Many of their questions will be answered through the hands-on experience.

II. Conducting a Practice Interview (70 minutes)

1. Explain to participants that they will now practice conducting a mini-interview with other members of their policy team. Carefully review the interview assignment (display the bold steps on flipchart):

Policy Team Task: Practice Interviews

- **Assign Stakeholder and Interviewer Roles:** Each Policy Team will conduct one or more interviews, depending on the size of the group. Half the team will play the role of “Stakeholders” (determined from your respective list of “priority stakeholders”). The other half will play the role of “Interviewers”. For example, if you have 4 people on your team, two will be Interviewers and the other two will be Stakeholders. If you have an odd number of people on your team, one of the training staff will join your team and play the role of a Stakeholder, or if staff are limited, the extra person may serve as a note-taker for one of the Interviewers.
- **“Get into the character” of your assigned role:** Those of you playing the “Stakeholder” roles should respond as you think that person would (e.g., respond as the Vice-Minister of Finance, as the Director of a national labor syndicate, etc.) Be as “natural” as possible in your portrayal. If someone feels uncomfortable with an assigned role, tell the training staff and we’ll make an adjustment within your team. Those of you playing the Interviewer’s role should model good interview skills (see the tips listed below). Each pair may take approximately 10 minutes to get set-up and assume your respective roles.
- **Conduct a 30-minute interview.** Using the questionnaire, each Interviewer will conduct a short interview with the assigned Stakeholder. Interviewers should try to ask as many of the questions as possible in the 30-minute time frame and should take careful notes during the meeting. You will use your notes afterwards to fill-in the Stakeholder Table.
- **Return to the large group prepared to use your interview data.** After all the teams have finished their interviews, we will reassemble in the plenary group and practice entering the data into the Stakeholder Table.

2. If some of the participants have had experience conducting this type of interview, ask them to share some tips on how to do it effectively. Make sure the following points are covered:
 - ▷ Interviewers should stick to the protocol established by the team.
 - ▷ Ask open-ended questions (What do you understand “deconcentration to mean?”).
 - ▷ Avoid adding phrases or using gestures that may influence or lead the interviewee (e.g., “of course/of course not”, “for sure,” “that’s true, isn’t it”, nodding the head in the form of “yes” or “no”, etc.)
 - ▷ If the stakeholder doesn’t understand the question, you may rephrase it, but make a note of the way you reworded it. If the second attempt doesn’t work, move on to the next question.
 - ▷ You may clarify the stakeholder’s responses as needed, but don’t try to summarize.

3. Have the Policy Teams conduct the interviews. After about 25 minutes, give each interview pair a 5-minute warning.
2. Have a short debriefing discussion about the interview experience. Ask:
 - ▷ What insights did you gain about conducting this type of interview? New concerns?
 - ▷ How well did the protocol function in terms of helping you learn the interviewees opinions and knowledge about policy?
 - ▷ How do you think you would adapt this process to suit your particular policy and cultural context?

Offer the following final suggestions for arranging and conducting the interviews:

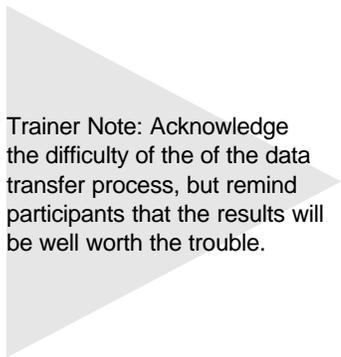
- ▷ Interviews should be scheduled at a time and place convenient for the stakeholder.
- ▷ If the stakeholder cancels an interview, try to reschedule at a later time rather than meet with his or her representative.
- ▷ Whenever possible, assign two interviewers to each interview so that one person can guide the conversation and the other person can take notes.
- ▷ Immediately following the interview, the interviewers should work to enter the stakeholder's answers into the computer. The data should be entered as literally as possible, without summarizing what the stakeholder was "trying" say.

Trainer Note: Suggest to the interview pairs that they find a quiet and comfortable space to conduct their interviews. Once the pairs are situated and have begun the interview, do not interrupt unless someone is way off course.

III. Demonstration and Practice—Filling in the Stakeholder Table (45 minutes)

1. In this step you will demonstrate the process of transferring the data from the questionnaire to the Stakeholder Table. First, ask one of the interview pairs to volunteer their data for the demonstration. Then, identify and display all the tools you will use in this process:
 - ▷ Questionnaire w/ answers filled in from the interview
 - ▷ Definitions of Stakeholder Characteristics
 - ▷ Reference Chart (displayed on the overhead projector)
 - ▷ Stakeholder Table (flipchart version displayed across the front of the room)
2. Using the volunteered data, walk the group through the process of transferring the data for each of the characteristics (see Annex 2-B, Definitions of Stakeholder Characteristics and Instructions for Filling-In the Stakeholder Table). Show how the Reference Chart is used to locate the relevant data for each of the questions on the questionnaire. Write the actual entries onto the flipchart version of the Stakeholder Table so participants can follow you. Focus on the classification of position (supporter, neutral, opponent) and the resources-power-leadership index. Underscore the following points:
 - ▷ Under the second part of the knowledge column (D2), the policy definition given by the stakeholder should be noted in his or her own words.
 - ▷ There is a need to reconcile any discrepancy in the stakeholder's self-reported position and how others perceive that position. When the stakeholder says he/she is opposed to the policy, then it is assumed to be accurate information (albeit subjective) because the person has little incentive to misrepresent his or her position. If a stakeholder says he/she is neutral or supportive to the policy, then it is wise to cross-reference the opinions of others because the stakeholder may have an incentive to misrepresent his/her position.

- ▷ A stakeholder's power is defined here as "his or her resources and the ability to mobilize them." Resources may be of any type—human, financial, technological, political, etc. The power index is derived by the average of two ratings: a) the amount of resources (3= many, 2=some, 1=few) and b) the ability to make decisions regarding the use of those resources (scale of 3, 2, or 1).
 - ▷ Once all of the stakeholders' data have been entered onto the table, the team needs to review the final rankings to ensure consistent scoring.
 - ▷ Throughout the data transfer process, the team should stay focused on the content of the actual data and use the tools to help them sort through and represent the information as accurately and completely as possible.
3. Ask each interview pair to enter the data from their interviews onto their Sample Stakeholder Table (Handout 6-D). Since this data transfer step can seem confusing on the first try, you and the other training staff should be prepared to assist anyone who wants help. After they have finished, address any new questions or concerns.
 4. Thank the teams for their hard work and perseverance. Preview the next session on "Analyzing and Using the Data".

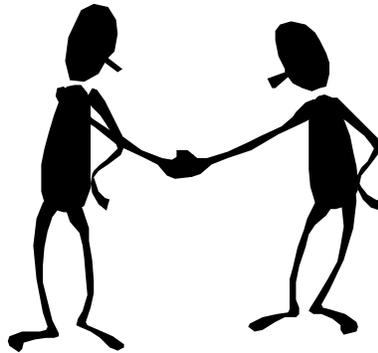


Trainer Note: Acknowledge the difficulty of the of the data transfer process, but remind participants that the results will be well worth the trouble.

Handout 6-A

PowerPoint Notes

Interview the Stakeholders



Obtain Primary Information about Characteristics

- ▲ Their understanding of the policy
- ▲ Their interests in the policy (advantages and disadvantages)
- ▲ Their position towards the policy (supporter, neutral, opposition)
- ▲ Necessary conditions to change their position



Obtain Primary Information about Characteristics

- ▲ Their power to affect the success of the policy (resources)
- ▲ Their leadership (ability to take action against or in favor of the policy)
- ▲ With which organizations they would form alliances
- ▲ Their opinions about the positions of other stakeholders



Organize the Information

Stakeholder Table

(summarizes information obtained from interviews)

A ID. #	B Position & Organization	C Intern/ Extern E	D Knowledge		E Position			F Interests Advant/ disadvant	G Alliances Organizations mentioned	H Resources		I Power Resources average	J Leader Yes No
			1 Level	2 Definition	1 Self S, MS, N, MO, O	2 Others S, O, N, ID, N, MO, O	3 Final S, MS, N, MO, O			1 Quantity	2 Ability to mobilize		
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Handout 6-B

Sample Interview Questionnaire for “Deconcentration of MOH”

Sample Stakeholder Interview Questionnaire

Date: ___/___/___

ID #: _____

City: _____

INTRODUCTION:

We are from _____ and we are conducting a study on behalf of _____ to explore the opinions of several important actors who are interested in the improved management of the Ministry of Health. As an important actor in the health sector, it is crucial for us to obtain your opinion and that of your organization.

We plan to conduct about 35 to 40 interviews to produce a general report on the opinions of the major health sector actors. The information obtained through these interviews will be for the direct use of the consultants on the analysis team, and will be presented in a general report to _____ without identifying individual opinions.

We would now like to ask you a few specific questions about your opinion regarding _____.

YOUR OPINION:

1. Have you heard of the policy on _____?
2. If so, how did you hear of it?
3. What do you understand _____ to mean?

_____ *has defined* _____ *as* _____

4. What are the potential benefits to you and your organization of _____ as _____ has defined it?

5. What are the potential disadvantages to you and your organization of _____ as _____ has defined it?

6. Which of these categories best describes your opinion on _____ as _____ has defined it? (*Read answer options and circle answer given.*)

- a) I strongly support it
- b) I somewhat support it
- c) I do not support nor oppose it
- d) I somewhat oppose it
- e) I strongly oppose it

If stakeholder answers a, b, or c, continue below. If stakeholder answers d or e, pass to question #10.

For those who answer "a," "b," or "c" to question #6:

7. Which aspects of _____ do you support?

8. For those aspects of _____ that you do support,

- a) In what manner would you demonstrate this support?
- b) Would this support be public?

- c) What conditions would have to exist for you to express this support?
 - d) How quickly would you be able to mobilize your support?
 - e) Would you take the initiative in supporting _____, or would you wait for others to do so?
 - f) Would you have many, some, or no resources to dedicate to supporting this policy?
 - g) Would you ally with any other persons or organizations in these actions? Which persons/organizations?
9. Under what conditions would you choose NOT to support _____?

For those who answered "d" or "e" to question #6:

10. Which of the following aspects of _____ do you oppose:
11. For those aspects that you oppose:
- a) In what manner would you demonstrate this opposition?
 - b) Would this opposition be public?
 - c) What conditions would have to exist for you to express this opposition?
 - d) How quickly would you be able to mobilize your opposition?
 - e) Would you take the initiative in opposing _____, or would you wait for others to do so?
 - f) Would you have many, some, or no resources to dedicate to opposing this policy?
 - g) Would you ally with any other persons or organizations in these actions? Which persons/organizations?

12. Under what conditions would you come to support _____?

We would now like to ask you a few specific questions about your opinion regarding others' opinions of the implementation of _____.

OTHER SUPPORTERS:

13. What other organizations, departments within an organization, or persons do you think would support _____? *(Probe for MOH and non-MOH stakeholders)*

14. What do you think these supporters would gain from the _____?

OTHER OPPOSORS:

15. What other organizations, departments within an organization, or persons do you think would oppose _____? *(Probe for MOH and non-MOH stakeholders)*

16. What do you think these opponents would gain from preventing _____?

Handout 6-C

Definitions of Stakeholder Characteristics and Instructions for Filling-in Stakeholder Table

Definitions of Stakeholder Characteristics and Instructions for Filling in Stakeholder Table

- A. **I.D. #:** given the stakeholder on the questionnaire.
- B. **Position and organization:** Position the stakeholder has and the organization that he/she works for.
- C. **Internal/External:** Internal (I)—stakeholders that work within the organization that is promoting or implementing the policy; all other stakeholders are considered external (E).
- D. **Knowledge of policy:** This column is divided into two parts. The first part, D1, is the level of accurate knowledge the stakeholder has regarding the policy under analysis. This knowledge should be rated from 3 to 1: 3 – a lot; 2 – some; 1 – none. Final rankings should be reviewed to ensure consistent scoring among all of the stakeholders.

The second part of the column, D2, is to record how each stakeholder defines the policy in question. The information gathered in question #3 of the questionnaire should be noted here in the stakeholder's own words.

- E. **Position: Supports/Opposes/Neutral:** Position refers to the stakeholder's status as a supporter or opponent of the policy. The position of the stakeholder can be obtained by gathering information directly from the stakeholder (i.e., self-reporting); and through information gathered indirectly from other stakeholders or secondary information (i.e., others' perceptions). Thus, the reporting in this column represents the self-reported classification (column E1), the classification by others (column E2), and a final classification considering both (column E3). The position of the stakeholder should be reported from this final classification (column E3).

Stakeholders who agree with the implementation of the policy are considered supporters (S); those who disagree with the policy are considered opponents (O); and those who do not have a clear opinion, or whose opinion could not be discerned, are considered neutral (N). Those who express some agreement, but not total agreement with the policy should be classified as moderate supporters (MS). Finally those who express some, but not total, opposition to the policy should be classified as moderate opponents (MO). Thus, in column E1, the position of the stakeholder as they state it in the interview should be entered (S, MS, N, MO, or O).

In column E2, the position of the stakeholder as perceived by other stakeholders and/or from secondary information should be entered with a reference to the ID number of the person who stated that opinion. For example, S 32 would mean that stakeholder number 32 stated in his or her interview that the stakeholder under analysis would support the policy. In column E2, the position of the stakeholder as others perceive it should be entered (S, MS, N, MO, or O) with the ID number for each opinion.

Lastly, in column E3, the final determination for the position of the stakeholder should be entered (after entering data from all interviews). This position should take into account the self-reported position as well as other stakeholders' opinions. S, MS, N, MO, and O can be entered in this column.

- F. **Interest:** Interest refers to the interest the stakeholder has in the policy—or the advantages and disadvantages that the implementation of the policy may bring to him or her or his or her organization. Advantages and disadvantages mentioned by each of the stakeholders should be entered into this column in as much detail as possible, since the information will be used primarily in developing conclusions and strategies for dealing with the stakeholders' concerns.

- G. **Alliances:** “a union or relationship” (Webster, 1984). Alliances are formed when two or more organizations collaborate to meet the same objective, in this case to support or oppose the policy in question. Any organizations that are mentioned by the stakeholder in the questions related to this item (see connection chart in Annex 7 for specific question references) should be entered in this column.
- H. **Resources:** “a source of support or aid” (Webster, 1984). Resources can be of many types—human, financial, technological, political, and other. The analysts should consider the stakeholder’s access to all of these resources.

The resource category is divided into two parts: the quantity of resources that a stakeholder has within his or her organization or area, and the ability to mobilize those resources. The quantity of resources should be classified by the analysts as 3 – many, 2 – some, 1 – few and inserted into column H1 of the stakeholder table. Final rankings should be reviewed to ensure consistent scoring among all stakeholders.

The ability of the stakeholder to mobilize resources should be quantified in terms of 3 – the stakeholder can make decisions regarding the use of the resources in his or her organization or area; 2 – the stakeholder is one of several persons that makes decisions regarding the use of resources; 1 – the stakeholder cannot make decisions regarding the use of the resources. This score should be inserted into column H2. For example, if the stakeholder has personnel that work for him or her, it can be concluded that the stakeholder has the ability to mobilize these resources because he or she has direct influence over them.

- I. **Power:** “the capacity or ability to accomplish something...strength, force or might” (Webster, 1984). Here, power refers to the ability of the stakeholder to affect the implementation of the health reform policy due to the strength or force he or she possesses.

Since “power” is defined here as the combined measure of the amount of resources a stakeholder has and his or her capacity to mobilize them, the two resource scores implied should be averaged, resulting in a power index between 3 and 1: 3 – high power, 2 – medium power, and 1 – little power. The final rankings should be reviewed to ensure consistent scoring among all stakeholders.

- J. **Leadership:** “to direct the activity...to start, begin...front, foremost” (Webster, 1984). Leadership is specifically defined here as the willingness to initiate, convoke, or lead an action for or against the health reform policy. The stakeholder either has this characteristic (“yes”) or lacks it (“no”). This is represented with “yes” or “no.”

Handout 6-D

Sample Stakeholder Table

Handout 6-E

Sample Interview Questionnaire

Sample Stakeholder Interview Questionnaire

Date: ___/___/___

ID #: _____

City: _____

INTRODUCTION:

We are from _____ and we are conducting a study on behalf of _____ to explore the opinions of several important actors who are interested in the improved management of the Ministry of Health. As an important actor in the health sector, it is crucial for us to obtain your opinion and that of your organization.

We plan to conduct about 35 to 40 interviews to produce a general report on the opinions of the major health sector actors. The information obtained through these interviews will be for the direct use of the consultants on the analysis team, and will be presented in a general report to _____ without identifying individual opinions.

We would now like to ask you a few specific questions about your opinion regarding _____.

YOUR OPINION:

1. Have you heard of the policy on _____?
2. If so, how did you hear of it?
3. What do you understand _____ to mean?

_____ *has defined* _____ *as* _____

4. What are the potential benefits to you and your organization of _____ as _____ has defined it?

5. What are the potential disadvantages to you and your organization of _____ as _____ has defined it?

6. Which of these categories best describes your opinion on _____ as _____ has defined it? (*Read answer options and circle answer given.*)

- a) I strongly support it
- b) I somewhat support it
- c) I do not support nor oppose it
- d) I somewhat oppose it
- e) I strongly oppose it

If stakeholder answers a, b, or c, continue below. If stakeholder answers d or e, pass to question #10.

For those who answer "a," "b," or "c" to question #6:

7. Which aspects of _____ do you support?

8. For those aspects of _____ that you do support,

- a) In what manner would you demonstrate this support?
- b) Would this support be public?

- c) What conditions would have to exist for you to express this support?
 - d) How quickly would you be able to mobilize your support?
 - e) Would you take the initiative in supporting _____, or would you wait for others to do so?
 - f) Would you have many, some, or no resources to dedicate to supporting this policy?
 - g) Would you ally with any other persons or organizations in these actions? Which persons/organizations?
9. Under what conditions would you choose NOT to support _____?

For those who answered "d" or "e" to question #6:

10. Which of the following aspects of _____ do you oppose:
11. For those aspects that you oppose:
- a) In what manner would you demonstrate this opposition?
 - b) Would this opposition be public?
 - c) What conditions would have to exist for you to express this opposition?
 - d) How quickly would you be able to mobilize your opposition?
 - e) Would you take the initiative in opposing _____, or would you wait for others to do so?
 - f) Would you have many, some, or no resources to dedicate to opposing this policy?
 - g) Would you ally with any other persons or organizations in these actions? Which persons/organizations?

12. Under what conditions would you come to support _____?

We would now like to ask you a few specific questions about your opinion regarding others' opinions of the implementation of _____.

OTHER SUPPORTERS:

13. What other organizations, departments within an organization, or persons do you think would support _____? *(Probe for MOH and non-MOH stakeholders)*

14. What do you think these supporters would gain from the _____?

OTHER OPPOSORS:

15. What other organizations, departments within an organization, or persons do you think would oppose _____? *(Probe for MOH and non-MOH stakeholders)*

16. What do you think these opponents would gain from preventing _____?

Handout 6-F

Sample Reference Chart

D		E				F	G	H		I	J
Knowledge		Position				Interests	Alliances	Resources		Power	Leader
1	2	1 Self	2 Others		3 Final	Advant./	Organizations	1	2 Ability to	Resources	Yes
Level	Definition	S, MS,	S, MS,	I.D.	S, MS,	distadv.	mentioned	Quantity	mobilize	average	No
1, 2, 3		N, MO, O	N, MO, O	#	N, MO, O			3, 2, 1	3, 2, 1	3, 2, 1	
#1	#3	#6	#13	# on quest.	Working	#4	#8c	#8f	#8b		#8a
#2		#7	#14	# on quest.	group	#5	#8e	or	#8c	Average	#8b
#3		#10	#15	# on quest.	analysis	#7	#8g	#11f	#8d	of	#8c
		or	#16	# on quest.	of columns	#9	or		or	H1&H2	#8e
		#6			E.1 and E.2	or	#11c		#11b		or
		#10			Refer to info.	#4	#11e		#11c		#11a
		#12			in column F	#5	#11g		#11d		#11b
					for strength	#10					#11c
					of position.	#12					#11e

Analyzing and Using the Stakeholder Data

Time: 1 hour

Overview

In this final session on stakeholder analysis, participants experiment with the different analyses than may be conducted on the data. Such an analysis should focus is on comparing information and developing conclusions about the stakeholders' relative importance, knowledge, interests, positions, and possible allies regarding the policy in question. Participants also share lessons learned about displaying, disseminating, and explaining analysis results. The session closes with a discussion about the adaptations and applications of the tool.

Objectives

- ▶ Become familiar with the main types of analyses (knowledge, position, power, etc.) that may be conducted on the Stakeholder data.
- ▶ Understand the steps involved in organizing, disseminating and explaining the results of the stakeholder analysis.
- ▶ Identify the opportunities and challenges participants might expect to encounter in the analysis process.
- ▶ Offer ideas for adapting the process to local realities.

Materials

- ▶ PowerPoint slides 1-8
- ▶ Pending Issues/Questions still posted on the Parking Lot chart

Handouts

- ▶ Handout 7-A: PowerPoint Notes
- ▶ Handout 7-B: Power and Leadership Analysis
- ▶ Handout 7-C: Partially Completed Stakeholder Table (this sample created for demonstration only)
- ▶ Handout 7-D: Knowledge Levels
- ▶ Handout 7-E: Potential Key Alliances
- ▶ Handout 4-A: Sample Position Map (see Session 4 handouts)

Activities/Steps

I. Demonstration of Data Analyses (30 minutes)

1. Explain to the group that the steps you have covered so far (preparing/adapting the tools, identifying and interviewing key stakeholders, processing the data) are only half of the equation; the other equally important half of the process is analyzing and using the data to encourage policymakers to take action. Briefly display slide 2, Sample Positional Map, to illustrate this final part of the analysis process and to remind participants about the potential use of the information entered on the Stakeholder Table. (This is the same Positional Map you used in Session 4, Orientation to Stakeholder Analysis.) Finally, review the key steps in the analysis.
2. Ask the group to list several “Key Questions” they would expect the interview data to answer. For example, the data should answer the questions: Who is important? What do they know? Where is the support/ opposition? Who might work together in alliance? And so forth. Write their suggested Key Questions on flipchart and add any additional questions you think are important.
3. Start with the key question, “Who is important?” Display Slide 3, Power and Leadership Analysis Chart and refer participants to their corresponding chart (Handout 7-B). Using Slide 4 and Handout 7-C, Partially Completed Stakeholder Table, show the group how to distill the data from the table to answer the question (Who is important?) and chart the analysis.
4. Using Slides 4-6 and Handouts 4-A, 7-D and 7-E, show the other types of analyses that are possible including:
 - ▷ Position Map (which they saw earlier)
 - ▷ Knowledge Levels cross-referenced with power/leadership
 - ▷ Potential Key Alliances

As you show each type of analysis, ask participants to link it back to the key questions (Which question/s does this analysis answer for you?). Also ask them what possible strategies they might develop based on the conclusions they draw from the analysis. Here are a couple of examples from the case shown in the Toolkit (deconcentration of MOH):

- ▷ Knowledge levels cross-referenced with power/leadership analysis—This indicates that two of the most powerful stakeholder groups have little understanding of the policy. As such, these groups would be priority targets for communication strategies. If the knowledge levels are also cross-referenced with the position analysis, then we see that these same two groups are

moderate-to-high opponents of the policy. Perhaps with better communication of the objectives and basic tenets of the policy on the part of its proponents, the opposition could be reduced. Policy proponents could also examine what these two groups said specifically about the policy's advantages and disadvantages to tailor or fine-tune their advocacy messages.

- ▷ Key alliance analysis cross-referenced with power/leadership and position analyses—This reveals a cluster of labor opponents that, if aligned, could pose a significant threat. Policy proponents would be prudent to develop strategies to separate these stakeholder groups. One way might be to appeal to the stated interests of one or two of the groups in an effort to draw them more toward a neutral position. The Conflict Negotiation Tool will offer skill-building and practical ideas for how to reach out to and influence opponent groups.

Use the points in Slides 7-8 as a way to summarize the steps and strategic uses of the Stakeholder data analyses.

5. Ask participants to briefly comment on their experiences in presenting data results and recommendations to policymakers. Take a few examples of “lessons learned”, and suggest they review the Toolkit for more ideas and instructions on presentation and dissemination.

Trainer Note: Rather than conduct this discussion in plenary, you have the option to divide participants into small groups and give each group one of the tools to review. Have them report on their conclusions from the analysis and possible strategies they would recommend. If you decide to do this part of the session in small groups, then conduct Activity B in the full group.

Small Group Discussion—Applying Stakeholder Analysis

- What opportunities are there for applying stakeholder analysis in the context of your policy work?
- Given limited resources, how would you adapt the Stakeholder Analysis process to make it more feasible but still maintaining its integrity? What are ideas for getting funding to support the process?
- What do you think your role should be/can be in the various phases of the Stakeholder Analysis process?

II. Applying Stakeholder Analysis to “Real World” Context (30 minutes)

1. Ask participants to have a brief discussion in their table groups (i.e., grouped by country or policy). Ask them to address the following questions:
2. After about 15 minutes, have the small groups share their responses to each of the questions. Have all the groups give their answers to Question #1 first, then proceed to Question #2 and so on. Note any outstanding issues and post in them in the Parking Lot for review at a later point.
3. Encourage participants to study the Stakeholder Analysis Guidelines for in-depth information and instructions for carrying out the process. Thank everyone for their participation in the Policy Teams and in plenary discussions.

Handout 7-A

PowerPoint Notes

Organize and Analyze Information



		Support		Neutral	Opposition	
		High	Moderate		Moderate	High
Political Sector: Intern'l & National		Int'l Donor B Regional Org.		Local Politicians		
		Int'l Donor A Reform Project				
Public Sector					Ministry of Finance	
Technical Secretariat (policy origin)						
MOH	Central Level	Minister of Health			Central Directors	
	Prov/Local Level	Prov. Dir.	Area Dir. Hosp. Dir.			
External Labor Sector					Hosp. Work. Assoc.	
				Medical Assoc.	Workers' Assoc.	
				Nurses Assoc.	Labor Union A	
					Labor Union B	

Who is Important: Power & Leadership Analysis

Group 1: Leadership/ High Power	Group 2: Leadership/ Medium Power	Group 3: No Leadership/ Medium-High Power
<div style="border: 1px solid black; padding: 5px; margin-bottom: 5px; background-color: #f4a460;">Minister of Health</div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px; background-color: #f4a460;">Ministry of Finance</div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px; background-color: #f4a460;">Labor Union A</div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px; background-color: #f4a460;">Labor Union B</div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px; background-color: #f4a460;">Workers' Associations</div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px; background-color: #f4a460;">Medical Association</div>	<div style="border: 1px solid black; padding: 5px; margin-bottom: 5px; background-color: #f4a460;">Local Politicians for Regions A & B</div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px; background-color: #f4a460;">Hospital Directors in Regions A & B</div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px; background-color: #f4a460;">Area Directors for Regions A & B</div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px; background-color: #f4a460;">Hospital Workers Associations</div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px; background-color: #f4a460;">Nurses' Association</div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px; background-color: #f4a460;">International Donor A</div>	<div style="border: 1px solid black; padding: 5px; margin-bottom: 5px; background-color: #fff9c4;">Provincial Directors, MOH</div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px; background-color: #fff9c4;">Central Directors, MOH</div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px; background-color: #fff9c4;">International Donor B</div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px; background-color: #fff9c4;">Reform Project</div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px; background-color: #fff9c4;">Regional Organization</div>

Organize the Information

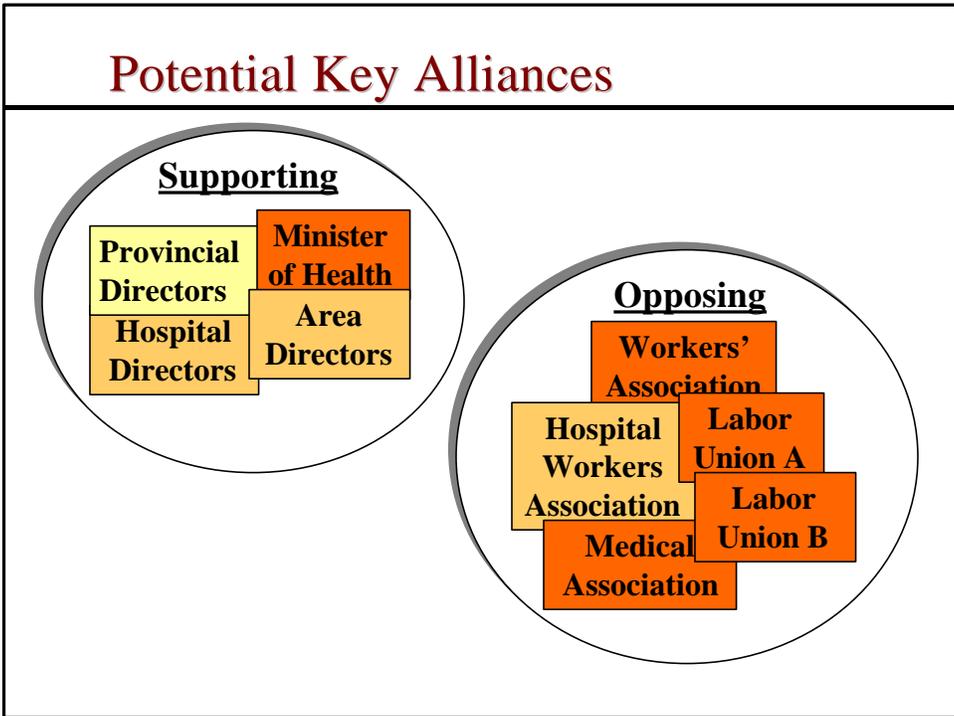
Stakeholder Table

(summarizes information obtained from interviews)

A	B	C	D		E			F	G	H		I	J
			1	2	1 Self S.M.S.	2 Others S.O.N.I.D.	3 Final S.M.S.			1	2 Ability to mobilize		
ID.#	Position & Organization	Intern/Extern	Level	Definition	N,MO,O	N,MO,O	#	N,MO,O	Interests Advant/disadvant	Alliances Organizations mentioned	Quantity	3,2,1	3,2,1
1													
2													
3													
4													
5													
6													
7													
8													
9													
10													
11													
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14													
15													
16													
17													
18													
19													
20													
21													
22													
23													
24													
25													



Knowledge Levels		
Group 1: Low (priority for communication strategy)	Group 2: Medium	Group 3: High
<p>Local Politicians for Regions A & B</p> <p>Ministry of Finance</p> <p>International Donor B</p> <p>Hospital Workers Associations</p> <p>Workers' Associations</p>	<p>Minister of Health</p> <p>Provincial Directors, MOH</p> <p>Medical Association</p> <p>Regional Organization</p> <p>Nurses' Association</p> <p>International Donor A</p>	<p>Labor Union A</p> <p>Hospital Directors in Regions A & B</p> <p>Area Directors for Regions A & B</p> <p>Labor Union B</p> <p>Reform Project</p> <p>Central Directors, MOH</p>



Analyze the Information

- ▲ Identify which are the most important stakeholders
- ▲ Identify stakeholder positions
- ▲ Cross-reference importance with stakeholder knowledge and/or position
- ▲ Identify potential alliances



With the resulting information, you can...

- ▲ Design plans for communication, advocacy, and/or conflict negotiation
- ▲ Make strategic personnel changes
- ▲ Inform and open, consensus-building process
- ▲ Make strategic changes in the implementation process



Handout 7-B

Power and Leadership Analysis

Who is Important: Power & Leadership Analysis

Group 1: Leadership/ High Power	Group 2: Leadership/ Medium Power	Group 3: No Leadership/ Medium-High Power
<div style="text-align: center;"> <div style="border: 1px solid black; background-color: #f4a460; padding: 5px; margin-bottom: 10px;">Minister of Health</div> <div style="border: 1px solid black; background-color: #f4a460; padding: 5px; margin-bottom: 10px;">Ministry of Finance</div> <div style="border: 1px solid black; background-color: #f4a460; padding: 5px; margin-bottom: 10px;">Labor Union A</div> <div style="border: 1px solid black; background-color: #f4a460; padding: 5px; margin-bottom: 10px;">Labor Union B</div> <div style="border: 1px solid black; background-color: #f4a460; padding: 5px; margin-bottom: 10px;">Workers' Associations</div> <div style="border: 1px solid black; background-color: #f4a460; padding: 5px;">Medical Association</div> </div>	<div style="text-align: center;"> <div style="border: 1px solid black; background-color: #f4c48c; padding: 5px; margin-bottom: 10px;">Local Politicians for Regions A & B</div> <div style="border: 1px solid black; background-color: #f4c48c; padding: 5px; margin-bottom: 10px;">Hospital Directors in Regions A & B</div> <div style="border: 1px solid black; background-color: #f4c48c; padding: 5px; margin-bottom: 10px;">Area Directors for Regions A & B</div> <div style="border: 1px solid black; background-color: #f4c48c; padding: 5px; margin-bottom: 10px;">Hospital Workers Associations</div> <div style="border: 1px solid black; background-color: #f4c48c; padding: 5px; margin-bottom: 10px;">Nurses' Association</div> <div style="border: 1px solid black; background-color: #f4c48c; padding: 5px;">International Donor A</div> </div>	<div style="text-align: center;"> <div style="border: 1px solid black; background-color: #ffffcc; padding: 5px; margin-bottom: 10px;">Provincial Directors, MOH</div> <div style="border: 1px solid black; background-color: #ffffcc; padding: 5px; margin-bottom: 10px;">Central Directors, MOH</div> <div style="border: 1px solid black; background-color: #ffffcc; padding: 5px; margin-bottom: 10px;">International Donor B</div> <div style="border: 1px solid black; background-color: #ffffcc; padding: 5px; margin-bottom: 10px;">Reform Project</div> <div style="border: 1px solid black; background-color: #ffffcc; padding: 5px;">Regional Organization</div> </div>

Handout 7-C

Partially Completed Stakeholder Table

A	B	C	D		E				F	G	H		I	J
ID	Position/ Organization	Internal/ External	Knowledge		Position				Interests	Alliances	Resources		Power	Leader
			Level	Definition	Self s,ms n, mo, o	Other s,ms n, mo, o	ID#	Final s,ms m. mo, o	adv/ disadv.	organizations mentioned	Quantity 3, 2,1	Ability to Mobilize	resources aver. 3,2,1	Yes/No
#1	Vice-Minister MOH	Int	2	xxxxxx	MS	MS	#12, 4	MS	xxxxxx	Prov. & Area Dirs. Hospitals	3	3	3	Yes
#2	Mayor, Region A	Ext	1	xxxxxx	N	MO N	#4	N	xxxxxx	None	2	3	2	Yes
#3	Asst. Dir. Medical Assoc.	Ext	2	xxxxxx	MO	MO O	#5,8, #4	MO	xxxxxx	Nurse & Hospital. Workers Assoc.	3	3	3	Yes
#4	Area Dir. MOH	Int	3	xxxxxx	MS	MS N		MS	xxxxxx	MOH Reg. Hospitals	2	2	2	Yes
#5	President Nurses Assoc.	Ext	2	xxxxxx	N	N	#7, 11	N	xxxxxx	Med. Assoc.	2	3	2	Yes
#6	Vice-Minister Finance	Ext	1	xxxxxx	N	MO O	#1, 12 #10	MO	xxxxxx	none	3	3	3	Yes
#7	Central Dir. MOH	Int	3	xxxxxx	MO	MO	#1, 10	MO	xxxxxx	none	3	1	2	No
#8	International Donor Rep. A	Ext	1	xxxxxx	S	S	#10, 1	S	xxxxxx	Reform Project	2	3	2	Yes
#9	Asst. Dir., Labor Union A	Ext	3	xxxxxx	O	MO O		O	xxxxxx	Labor Union B Medical Assoc.	3	3	3	Yes
#10	Internat. Donor Rep B	Ext	1	xxxxxx	S	S	#8	S	xxxxxx	Hosp. Dir.	2	2	2	No
#11	Hosp. Dir. Region A, MOH	Int	3	xxxxxx	MS	MS	#4, 12	MS	xxxxxx	MOH, Area Dir.	2	2	2	Yes
#12	Prov. Dir. MOH	Int	2	xxxxxx	S	S	#4,# 1	S	xxxxxx	MOH, Area Dir.	3	2	2	No
#13	Exec. Dir. Workers' Assoc.	Ext	1	xxxxxx	O	O	#5, 11	O	xxxxxx	Med. Assoc, Labor Unions	2	3	3	Yes

Handout 7-D

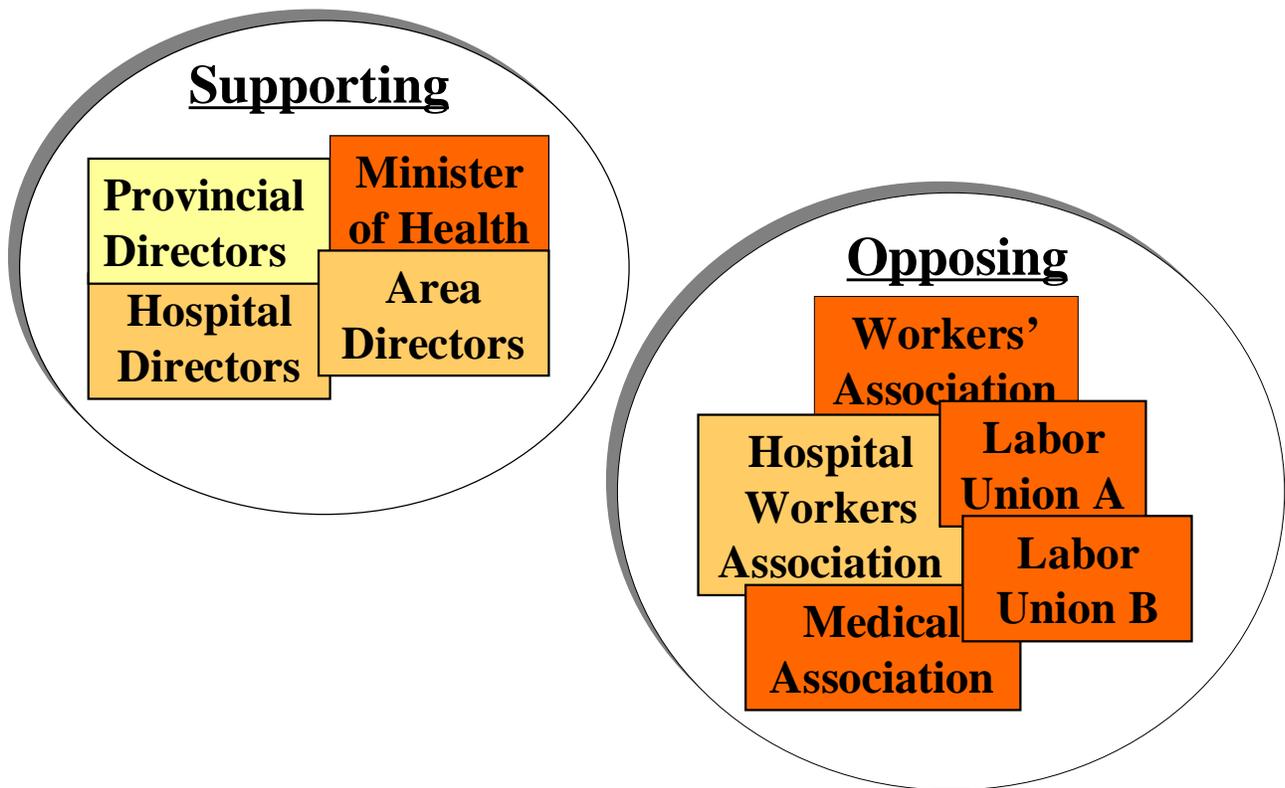
Knowledge Levels Analysis

Knowledge Levels

Group 1: Low (priority for communication strategy)	Group 2: Medium	Group 3: High
<div style="text-align: center;"> <div style="border: 1px solid black; padding: 5px; margin-bottom: 10px;">Local Politicians for Regions A & B</div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 10px;">Ministry of Finance</div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 10px;">International Donor B</div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 10px;">Hospital Workers Associations</div> <div style="border: 1px solid black; padding: 5px;">Workers' Associations</div> </div>	<div style="text-align: center;"> <div style="border: 1px solid black; padding: 5px; margin-bottom: 10px;">Minister of Health</div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 10px;">Provincial Directors, MOH</div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 10px;">Medical Association</div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 10px;">Regional Organization</div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 10px;">Nurses' Association</div> <div style="border: 1px solid black; padding: 5px;">International Donor A</div> </div>	<div style="text-align: center;"> <div style="border: 1px solid black; padding: 5px; margin-bottom: 10px;">Labor Union A</div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 10px;">Hospital Directors in Regions A & B</div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 10px;">Area Directors for Regions A & B</div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 10px;">Labor Union B</div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 10px;">Reform Project</div> <div style="border: 1px solid black; padding: 5px;">Central Directors, MOH</div> </div>

Handout 7-E

Potential Key Alliances



Section 3

Advocacy Strategy Tool

Session 8: Orientation to Advocacy

Session 9: Setting an Advocacy Objective and Identifying and Analyzing Target Audiences

Session 10: Advocacy Activities: Communicating with Policymakers

Session 11: Policy Team Presentations

Optional Session: Advocacy Activities — Building Networks and Coalitions

Advocacy Strategy Tool

Table of Contents

Session 8: Orientation to Advocacy	3-5
Overview	3-5
Objectives	3-5
Materials	3-5
Handouts	3-6
Activities/Steps	3-6
I. Definition and Rationale for Advocacy	3-6
II. Overview of a Strategic Approach to Advocacy	3-6
Handout 8-A: PowerPoint Notes	3-8
Handout 8-B: Strategic Approach to Advocacy	3-12
Session 9: Setting an Advocacy Objective and Identifying and Analyzing Target Audiences	3-13
Overview	3-13
Objectives	3-13
Materials	3-13
Handouts	3-14
Activities/Steps	3-14
I. Review of Advocacy Steps 1 and 2	3-14
II. Defining and Drafting Advocacy Objectives	3-14
III. Identify and Analyze Target Audiences	3-15
Handout 9-A: PowerPoint Notes	3-17
Handout 9-B: Audience Identification Worksheet	3-26
Handout 9-C: Audience Knowledge, Position and Interests Worksheet	3-28
Session 10: Advocacy Activities: Communicating with Policymakers	3-31
Overview	3-31
Objectives	3-31
Materials	3-31
Handouts	3-31
Special Preparation	3-32
Activities/Steps	3-32

I. Using Data as a Resource for Influencing Policymakers	3-32
II. Developing Effective Messages for Target Audiences	3-32
III. Making a Communication Plan & Policy Presentation	3-34
Handout 10-A: PowerPoint Notes	3-36
Handout 10-B: Message Content Worksheet	3-43
Handout 10-C: Communication Plan Worksheet	3-45
Handout 10-D: Policy Team Task	3-47
Handout 10-E: Tips for Making Presentations	3-48
Session 11: Policy Team Presentations	3-49
Overview	3-49
Objectives	3-49
Materials	3-49
Handouts	3-49
Special Preparation	3-50
Activities/Steps	3-50
I. Policy Presentations and Feedback	3-50
II. Final Steps in Developing/Implementing an Advocacy Strategy	3-51
Handout 11-A: PowerPoint Notes	3-52
Optional Session: Advocacy Activities—Building Networks and Coalitions	3-55
Overview	3-55
Objectives	3-55
Materials	3-55
Handouts	3-55
Activities/Steps	3-56
I. Planning an Advocacy Network	3-56
II. Guidelines for Organizing and Working with Coalitions	3-57
Handout Optional Session-A: PowerPoint Notes	3-58
Handout Optional Session-B: Task: Building an Advocacy Network	3-62
Handout Optional Session-C: Guidelines for Joining and Participating in Coalitions	3-63

Orientation to Advocacy

Time: 45 minutes

Overview

Following the same sequence as that of the Toolkit, the workshop now introduces the second policy management tool, “developing an advocacy strategy.” Often described as both an art and a science, advocacy requires innovation, political savvy, connections and networks, and research and planning skills on the part of policy managers and reform teams. Starting with this session, participants learn a strategic approach to advocacy that will help them understand how to creatively use their best resources—people and information—to build and maintain support for their policy. In the first part of the orientation, participants draw on their own experiences to define advocacy and relate it to the stages of the policy process. Afterwards, the facilitator introduces the “strategic approach to advocacy” as a framework for understanding the various actions and steps involved in the process. In the subsequent sessions, participants will learn and practice several of the key advocacy planning steps.

Objectives

- ▶ Define advocacy and clarify its role in building and maintaining support for implementing health sector reforms.
- ▶ Identify the key components and steps in a strategic approach to advocacy.

Materials

- ▶ PowerPoint Slides 1-5
- ▶ Wall chart version of “Strategic Approach to Advocacy” (see Handout 8-B)
- ▶ Wall chart version of the Policy Process (first used in Session 2)

Handouts

- ▶ 8-A: PowerPoint Notes
- ▶ 8-B: Strategic Approach to Advocacy

Activities/Steps

I. Definition and Rationale for Advocacy (20 minutes)

1. Open the session by asking participants to share examples of advocacy activities they have organized and/or participated in—“What are you doing or what have you done that you consider to be an example of advocacy?” As they respond to the question, write key words on the flipchart for reference. Drawing from their inputs, define advocacy in a health reform context. As appropriate, show Slides 2-3, (What is advocacy and why do it?) to help the group crystallize their ideas.
2. Using the wall chart of the Policy Process, show how advocacy relates to the various stages. Emphasize that advocacy efforts are needed throughout the process, and are particularly effective in the stages of constituency-building and resource mobilization. Use the following points to help you establish the rationale for advocacy:
 - ▷ Advocacy is the primary tactic to persuade stakeholders to support health sector reforms and to take the necessary action for implementation (i.e., to give more than just approval).
 - ▷ Advocacy is the means for turning neutral parties and “soft” supporters into allies; strategic advocacy can also draw opposition into neutral or supportive territory.
 - ▷ Alliances (e.g., coalitions and networks) help you amass the public support and critical resources you need to achieve your objectives.
 - ▷ Through advocacy planning, you take stock of what resources you already have available and then decide how to use these resources efficiently to advance your reform goals and garner additional resources.
 - ▷ Since communication is the primary way you influence your audiences to support your policy, communication planning—targeting messages to key audiences—is imperative.
 - ▷ Advocacy is both an art and a science—creative and responsive to the political environment, but also systematically planned, implemented and monitored.

II. Overview of a Strategic Approach to Advocacy (25 minutes)

1. Show Slides 4-5 or the flipchart version of the “Strategic Approach to Advocacy” and explain the three major components—Looking Outward, Looking Inward, Looking Ahead. (Handout 8-B contains the same information.) Review the key actions and steps in each of the three components. Use the following points to help you explain the conceptual approach:

Looking Outward: This is often the most challenging component because it involves analyzing complex policy processes and relationships, synthesizing multifaceted technical issues, prioritizing

relevant reform policies and clearly defining advocacy objectives. Without going through these difficult steps, your advocacy strategy runs the risk of losing focus and wasting precious resources.

Looking Inward: This component focuses on the resources you have and how to use them or how to get them if you don't have them. In an advocacy context, your primary resources are: a) influence (coalitions, networks, influential individuals who can lobby on behalf of your policy), b) information such as statistics, testimonials, and analyses to highlight problems and solutions, or to craft persuasive arguments and messages, and c) financial resources to implement your advocacy activities such as workshops, seminars, media campaigns, etc.

Looking Ahead: This means staying focused on your long-term goal, monitoring how your advocacy strategies are working and making adjustments necessary to stay on target. The need for advocacy never ends. Once one objective has been achieved, there is another to tackle.

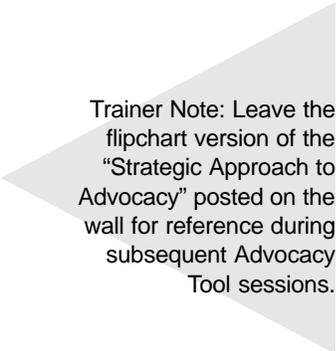
2. Show the linkages between Advocacy and the other two tools in the Toolkit. For example:

Stakeholder Analysis provides important data about:

- ▷ Target audiences—who they are, what they know, what their interests are, etc.
- ▷ Potential alliances among supporters (also among opposition groups)
- ▷ Data regarding who controls what resources

Conflict Negotiation is an important advocacy strategy for drawing opposition groups into a more neutral or supportive position toward your policy.

3. At the end of the discussion, ask participants to comment on how they view their particular role in advocacy:
 - ▷ How do you see yourself involved in promoting/planning/implementing a systematic advocacy process?
 - ▷ What are key opportunities and challenges you face? (Write these on flipchart.)
4. Explain that for the next few sessions, the Policy Teams will practice the major steps in developing an advocacy strategy, using their selected policy as their focus. As the workshop proceeds, you (trainers and participants) will try to address as many of the participants' perceived challenges as possible.



Trainer Note: Leave the flipchart version of the “Strategic Approach to Advocacy” posted on the wall for reference during subsequent Advocacy Tool sessions.

Handout 8-A

PowerPoint Notes



Introduction to Policy Advocacy



What is Advocacy?

Advocacy is an action directed at changing policies, positions, or programs of any institution.

Why Implement an Advocacy Strategy Tool?

- ▲ Enunciate that which you wish to achieve
- ▲ Identify who you need to influence
- ▲ Recognize what resources are available



Strategic Approach to Advocacy

- ▲ Looking Outward → Analyze policy environment
- ▲ Looking Inward → Analyze resources
- ▲ Looking Ahead → Analyze impact on reform policy



Steps for Developing an Advocacy Strategy

1. Understand the policy process
2. Define the reform policy
3. Set advocacy objectives
4. Identify the audience
5. Articulate advocacy strategies
6. Implement activities
7. Impact evaluation



Handout 8-B

Strategic Approach to Advocacy

Strategic Approach	Strategic Action	Advocacy Steps
 <p>Looking Outward</p>	<p>Analyze policy environment</p> <ul style="list-style-type: none"> • Policy process • Policy actors • Health reform policies and strategies 	<ul style="list-style-type: none"> • Understand the political decision-making process • Select and define a health reform policy • Set advocacy objectives • Identify and analyze audiences
 <p>Looking Inward</p>	<p>Analyze resources</p> <ul style="list-style-type: none"> • Information and data • Resources • Influence 	<ul style="list-style-type: none"> • Articulate advocacy activities • Implement advocacy activities
 <p>Looking Ahead</p>	<p>Analyze impact on reform policy</p>	<ul style="list-style-type: none"> • Evaluate and adjust strategy

Setting an Advocacy Objective and Identifying and Analyzing Target Audiences

Time: 1 hours, 50 minutes

Overview

Session 9 focuses on the “Looking Outward” component of the strategic advocacy model, and covers the first four steps in the process (see the “Advocacy at a Glance” section at the beginning of the Advocacy Tool Sessions). Participants spend the first half of the session working in their Policy Teams to draft advocacy objectives for their selected reform policies. In the second hour of the session, they identify and describe the primary and secondary audiences critical to their success in meeting the objectives. The session is very “hands-on” and sets up the next practice exercises in communication planning.

Objectives

- ▶ Define advocacy objectives.
- ▶ Draft one or more advocacy objectives that establish the direction and target for your advocacy strategy/proposed policy.
- ▶ Identify and describe the primary and secondary audiences that directly or indirectly affect your proposed policy.
- ▶ Identify sources and methods for collecting information on target audiences.

Materials

- ▶ PowerPoint Slides 1-14
- ▶ Policy Team’s policy definitions posted on wall.
- ▶ Wall chart version of “Strategic Approach to Advocacy” (used in Session 8; see Handout 8-B)

Handouts

- ▶ 9-A: PowerPoint Notes
- ▶ 5-B: Worksheet for Identifying Stakeholders (completed during Session 5)
- ▶ 9-B: Audience Identification Worksheet
- ▶ 9-C: Audience Knowledge, Position and Interests Worksheet

Activities/Steps

Trainer Note: Help the group see that they have already worked (albeit briefly) on Step 1, Understand the Political Decision-Making Process, and Step 2, Select and Define a Health Reform Policy. Now they will continue working in their policy teams to check the political viability of their selected policy, set advocacy objectives and so on.

I. Review of Advocacy Steps 1 and 2 (10 minutes)

1. Review the session objectives and explain that this session will focus on the “Looking Outward” component of the strategic approach to advocacy. Use Slides 1-2 and the flipchart version of the strategic approach to show the group where we are in the advocacy model and steps.
2. Show Slide 3, “Questions: Political Viability” and review the list (see below). To demonstrate this step, select one of the Policy Teams’ definitions and apply the questions to it. Point out that the stakeholder analysis will generally give you more than enough data to answer these questions.

Questions to determine if policy is politically viable:

- ▷ Are there more supporters than opponents?
- ▷ Are the supporters more influential than the opponents?
- ▷ Are there undecided and neutral groups that can be converted to supporters?
- ▷ If there is more opposition than support to your policy, then should you: a) continue? b) refocus it? c) choose another less controversial policy?

II. Defining and Drafting Advocacy Objectives (60 minutes)

1. Using Slides 4-6, define an advocacy objective and explain the three main categories of objectives (see below). Illustrate the three categories of objectives by reintroducing the Positional Map (Slide 5—same map shown previously in Sessions 4 and 7) and reminding participants about the earlier discussions on strategies to influence key stakeholders’ positions.

The three categories of advocacy objectives are:

- ▷ Maintain and mobilize current supporters
 - ▷ Minimize active opposition
 - ▷ Convert neutral parties and opposition to supporters.
2. Show the Sample Objectives on Slides 7-8 and use them to illustrate the different types of target audiences and desired actions or decisions. Ask participants if they have any questions before they try to draft their own objectives.

3. Have the Policy Teams compose advocacy objectives for their selected policy. The assignment follows in the box below:

Policy Team Task: Setting Advocacy Objectives

- Draft 2-3 advocacy objectives for your selected policy. Check to make sure each objective clearly specifies the target group and desired action or decision.
- Select the objective you consider to be of highest priority and write it on a flipchart to present to the large group.

Task Time: 30 minutes.

Trainer Note: If you are running behind time, have the Policy Teams draft only one objective. This will save 5-10 minutes.

4. As the teams complete the assignment, offer your assistance as needed.
5. Have each team present their advocacy objective to the rest of the group. Encourage each presenter to provide enough context so that the other teams will understand the objective. Ask participants to critique the objective: Does it state the target group and the desired action or decision? Would you consider it a priority? Why or why not?

Trainer Note: Keep this report-critique moving, taking care not to get fixated on one particular group. In some cases, it may be difficult for the teams to understand each others' proposed policies well enough to have an opinion about advocacy priorities.

III. Identify and Analyze Target Audiences (40 minutes)

1. Show slides 9-11 and explain the next step of advocacy planning, "Identify and Analyze Audiences". Define and distinguish between primary and secondary audiences, drawing from one of the policy teams for concrete examples. Link participants back to the Stakeholder lists they generated during Session 5—these lists should contain all of the primary audiences and some of the secondary audiences for their respective policies. Also show the group Slide 12, "Questions to Identify Target Audiences" and reinforce the point that it is important to not only focus on the key actors in their own sphere of influence, but to also look beyond their institution to identify potential allies as well as opponents.
2. Show Slides 13-14 and refer participants to the corresponding worksheets: "Audience Identification Worksheet" (Handout 9-D) and the Audience Knowledge, Position, and Interests Worksheet (Handout 9-E). Briefly clarify how to use these tools.

Trainer Note: The group has already focused on these categories of information during their work on the Stakeholder Analysis. The only new category to introduce here is "Other Issues" (last column on the worksheet).

3. Have the Policy Teams fill-in the two worksheets for their selected policy. The team task is as follows:

Policy Team Task – Identifying and Analyzing Target Audiences

- Complete the Audience Identification Worksheet for your selected policy and advocacy objective. Draw on your Stakeholder list as needed, and be sure to include allies as well as opposition and neutral groups.
- Select 2-3 target audiences from the first worksheet—preferably an ally and an opponent and preferably groups about which you have some information or knowledge. (You may include the stakeholders you interviewed during yesterday's session.)
- Enter these groups onto the Audience Knowledge, Position, and Interests Worksheet and fill-in the columns to the extent possible. If you don't know some information on one or more of your target audiences, place a question mark in the corresponding cell on the worksheet.
- Save this information to use in the next sessions.

4. It is not necessary to have the teams share this particular work. However, do ask them if they have any questions or concerns about the process or the worksheets. Ask them to consider the cells where they put question marks and to suggest sources and methods for obtaining the needed data (e.g., observation, survey/polls, focus groups, stakeholder or informant interviews, etc.) End the session by underscoring the need to know your audience.

Handout 9-A

PowerPoint Notes

Looking Outward

- ▲ Understand policy process
- ▲ Define reform policy
- ▲ Set advocacy objectives
- ▲ Identify and research target audiences



Step 1: Understand the reform policy process

- ▲ Understand how decisions are made with respect to reform
- ▲ Understand the political context



Step 2: Define a reform policy

- ▲ Select and define a key policy for reform
- ▲ Identify costs and benefits
- ▲ Evaluate its political viability



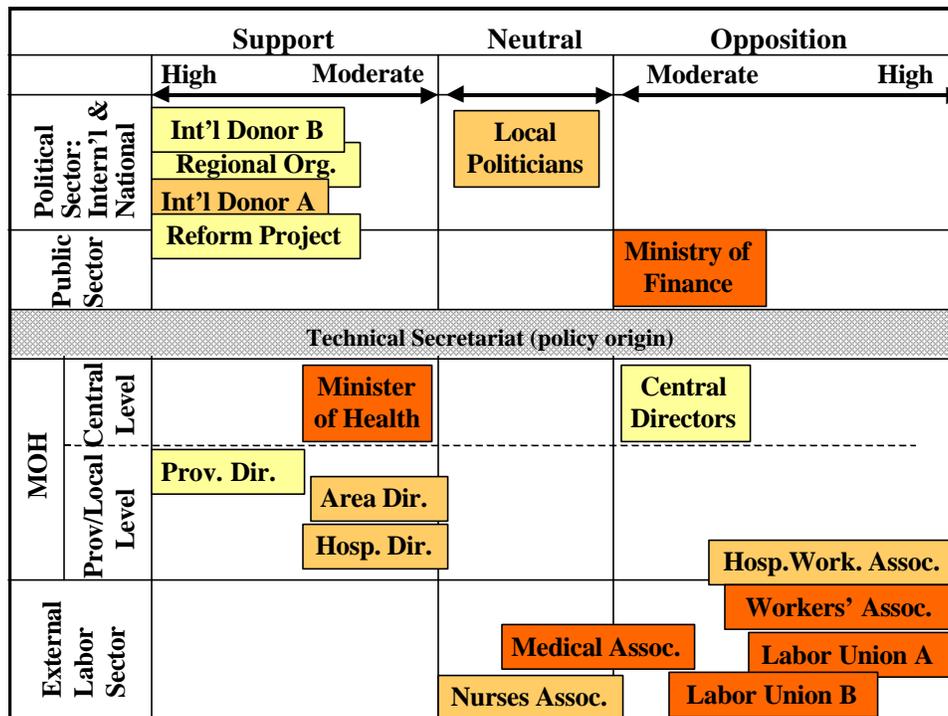
Questions for Determining Political Viability

- ▲ Are there more supporters than opponents?
- ▲ Are the supporters more influential than the opponents?
- ▲ Are there undecided and neutral groups that can be converted to supporters?
- ▲ If there is more opposition than support to your policy, then should you: a) continue? b) refocus it? c) choose another less controversial policy?



Step 3: Establish Advocacy Objectives

An advocacy strategy aims to change the behavior or opinions of policymakers, organizations, or key individuals regarding your reform policy and to motivate them to take action in support of your policy.



Three Categories of Objectives

- ▲ Maintain and mobilize current supporters
- ▲ Minimize active opposition to the policy
- ▲ Convert neutral parties and opposition to supporters for your policy



Advocacy Objective – Sample 1

For decentralizing health services:

Create support and better understanding of the benefits of decentralization among Ministry of Health leadership before policy is approved by Prime Minister.



Advocacy Objective – Sample 2

For rationalizing health facilities:

Minimize political opposition to closing 50% of public health posts by informing key stakeholders such as local politicians, provincial advisory council members and community leaders on how services will improve with more resources dedicated to fewer clinics.



Step 4: Identify Audiences

Primary Audience

- ▲ Primary audiences include those who make decisions and who have the authority to directly affect the outcome of the policy recommendation.
- ▲ Those persons make decisions, take action, and create change.



Step 4: Identify Audiences

Secondary Audience

- ▲ Secondary audiences are those individuals and groups who can influence decision-makers (primary audiences)



Step 4: Identify Audiences

- ▲ International sector
- ▲ Governmental sector
- ▲ Political sector
- ▲ Commercial sector
- ▲ Non-governmental sector
- ▲ Social sector



Questions to Identify Target Audiences

- ▲ Who or what groups have direct decision-making authority, influence or power over my reform policy?
- ▲ Who or what groups influence these individuals or groups?
- ▲ What organization or individuals are affected by my reform policy?
- ▲ What organization or individuals are interested or potentially support my policy?



Audience Identification Worksheet

Advocacy Objective:

Primary Audience "Key actors"	Secondary Audiences "Influential Actors" (including opposition)
1.	1. 2. 3. 4.
2.	1. 2. 3. 4.
3.	1. 2. 3. 4.
4.	1. 2. 3. 4.



Worksheet on audience knowledge, position, and interests

Objective:

Audience	Audience knowledge about issue/objective What is their level of knowledge?	Audience position and attitudes about issue/objective Are they in favor or opposed to the issue/objective? What do they think about it?	Audience interest in the issue/objective Why do they care about this issue/objective? How does it affect them?	Other issues that the audience cares about (may be unrelated to issue/objective) What other issues are important to them?



Handout 9-B

Audience Identification Worksheet

Audience Identification Worksheet

This worksheet can help you list and organize your target audiences. For each objective, list everyone with a key role in making decisions or implementing change under “primary audience.” For each primary audience, list everyone who might influence the primary audience’s decisions.

Advocacy Objective:	
Primary Audience “Key actors”	Secondary Audiences “Influential Actors” (including opposition)
1.	1. 2. 3. 4.
2.	1. 2. 3. 4.
3.	1. 2. 3. 4.
4.	1. 2. 3. 4.

Handout 9-C

Audience Knowledge, Position and Interests Worksheet

Audience Knowledge, Position, and Interests Worksheet

This worksheet can help you organize information about your audiences. For each target audience listed in the left-hand column, describe what you know about their knowledge, position, and interests in the appropriate cells.

Objective:				
Audience	Audience knowledge about issue/objective <small>What is their level of knowledge?</small>	Audience position and attitudes about issue/objective <small>Are they in favor or opposed to the issue/objective? What do they think about it?</small>	Audience interest in the issue/objective <small>Why do they care about this issue/objective? How does it affect them?</small>	Other issues that the audience cares about (may be unrelated to issue/ objective) <small>What other issues are important to them?</small>

Advocacy Activities: Communicating with Policymakers

Time: 2 hours, plus prep time for team presentations (see Step III. 3)

Overview

Session 10 address the second component of the strategic model, “Looking Inward” along with the critical Step 5, “Selecting Advocacy Activities”. This is where the “art” of advocacy comes into play in the form of crafting creative messages that motivate key stakeholders to take desired actions. Building on the planning exercises in Session 9 (advocacy objectives and target audiences), each Policy Team now composes a communication plan that describes the message, messenger, format, and time/place for one of their objectives. In addition to completing the communication plan, participants will also prepare a 15-minute policy presentation they will make to the group during the next session. This assignment is described in detail in section II of the session outline.

Objectives

- ▶ Identify the elements of an effective communication message.
- ▶ Describe and develop the main components of an advocacy communications plan.

Materials

- ▶ PowerPoint Slides 1-12
- ▶ Wall chart version of “Strategic Approach to Advocacy” (see Handout 8-B)
- ▶ Examples of policy communication pieces (if brought by participants)

Handouts

- ▶ 10-A: PowerPoint Notes
- ▶ 10-B: Message Content Worksheet
- ▶ 10-C: Communication Plan Worksheet

- ▶ 10-D: Policy Team Task: Making a Communication Plan and Policy Presentation
- ▶ 10-E: Tips for Making Presentations

Special Preparation

Invite participants to bring examples of policy communications to share with the group. These may be brochures, newsletters, posters, fact sheets, and so forth. See the Introduction section, Annex D, “Pre-Workshop Assignment” for additional information.

Activities/Steps

Trainer Note: In this session, the workshop design deviates somewhat from the Toolkit Guidelines by skipping over the theme of “building alliances” and moving directly into policy communication. The purpose of the altered sequence is to facilitate a smooth flow from one Policy Team practice exercise to another. If your participant group has an interest in discussing and sharing experiences about different types of alliances, use the “Optional session: Building Networks and Coalitions” (see the end of this section) and schedule it for the final day of the workshop.

I. Using Data as a Resource for Influencing Policymakers (15 minutes)

1. Open the session by explaining to the group that we are now in the second phase of the “Strategic Approach to Advocacy” (show wall-chart and Slide 1 as appropriate.) Introduce the overall theme of communicating with policy makers: write the phrase “information is power” in large letters on newsprint and ask the group to discuss what it means in the context of advocacy for health reform. Drawing on the participants’ inputs, make the following key points:
 - ▷ Health reform teams have access to important analyses and other data.
 - ▷ If used appropriately, policy analyses can:
 - ❖ shape the debate on health reform
 - ❖ create a more positive image for health reform
 - ❖ foster a more accurate discussion among stakeholders on health reform issues.
 - ▷ Facts and figures make persuasive arguments for reform policies.
 - ▷ Information can better prepare your audience on both the positive and negative consequences of health reform policies.
2. Ask participants to turn to page 3-21 in their Toolkits and review Table 3.4, Data Sources for Health Sector Reform. Ask them to identify which of the listed sources they have ready access to and have used frequently in their policy communications. Have the group briefly discuss ways to improve their access to information. Transition to the next activity by explaining that accessing information is only half the work—the other half is communicating it in such a way that target audiences will listen, understand and act on it.

II. Developing Effective Messages for Target Audiences. (80 minutes)

1. Using slides 2-3, define advocacy “message” and explain the four elements of an effective message. Display the Sample Messages (slides 4-5) and have participants identify the different elements. Also introduce the “SEE Method” (slide 6) for composing a message and use Sample Message # 3 (slide 7) to illustrate.
2. Underscore the need for a clear, catchy, consistent message tailored to the target group. Solicit from the group some examples of words or phrases that have popular appeal to particular groups, or conversely, words that might turn-off a group.

3. Ask participants to group together in their policy teams for the next task. Refer them to the Handout 10-B, “Message Content Worksheet” and display the corresponding Slide 8. Explain their task as follows:

Policy Team Task: Develop a Message for a Target Audience

- Select a target audience from the worksheets you completed in Session 9 (see Audience Identification Worksheet and Audience Knowledge, Position and Interests Worksheet).
- Using the Message Content Worksheet, draft an advocacy message that includes the four components and communicates in a clear and appealing way to your selected audience.
- Once you have your message composed, write it on a sheet of flipchart paper and post it beside or below your policy definition.

Time for Task: 50 minutes

4. Check in with each team to make sure they are on track. Give them a 10-minute warning after about 40 minutes.
5. Once the teams have posted their messages, ask participants to do a gallery walk and critique similar to what they did when they composed their policy definitions (during Session 2). As they read the different messages, encourage them to ask for clarifications as needed. Provide plenty of large-sized “sticky notes” for people to write their comments on and attach to the flipchart papers. As in the earlier “gallery walk”, you and other associate trainers should participate actively in the critique, adding your specific comments as appropriate.
6. Ask participants to take their seats and briefly discuss the task:
- ▷ What was easy/challenging about creating the message?
 - ▷ Based on the comments from others (written on “sticky notes”), did people understand your message the way you intended it? What were the surprises?
 - ▷ Other observations?
- If not already mentioned by the group, offer these three key points:
- ▷ **Focus the message on action.** (Use data to support the message, not replace it)
 - ▷ **Limit the number of points.** Have no more than three points in your message. Anymore and you risk confusing or overwhelming you audience. One point well made is best.
 - ▷ **Pretest the messages.** Do this with representatives from your target audience to ensure they will understand what you want to convey. Schedule sufficient time to respond to the feedback and adjust the materials as needed.

Trainer Note: Successful messages often incorporate words or images that carry a positive connotation for the target group. Examples include “family”, “community”, “independence”, etc. If participants have brought examples of policy communication, invite them to show and describe them at this point in the session.

Trainer Note: Composing messages in a group setting can be tedious and place a strain on people’s interactions. Encourage participants to assign someone on their team to act as a facilitator, recorder, and timekeeper for the task.

III. Making a Communication Plan & Policy Presentation (25 minutes here + approx. 90 minutes for prep)

1. Review slide 9, the elements of an advocacy communication plan (i.e., target audience, message, messenger, format, and time/place). Focus now on the last three components which have not yet been covered. Drawing on participants' real life experiences, cover the following points:

Messenger: (show Slide 10, "Criteria for Selecting a Messenger")

- ▷ The messenger is often as or more important than the message.
- ▷ Change agents and opinion leaders are the two basic types of messengers. Change agents are usually not members of the target audience but are highly respected by them (e.g., political leaders or international experts). Opinion leaders are prominent, trusted members of the target audience.
- ▷ Generally, there are few credible, knowledgeable spokespersons who are also good speakers. You will have to weigh the criteria and decide which are more important.

Format: (Show Slide 11, "Types of Formats")

- ▷ Your format must be appropriate to your target audience and your messenger.
- ▷ The format should demonstrate:
 - ❖ clarity of message
 - ❖ brevity (keep it short)
 - ❖ attractiveness of materials and visual aids (easy to read and understand)
 - ❖ accuracy of data (realistic and defensible)
 - ❖ good timing (information communicated when it is new and/or most relevant).

Time/place:

- ▷ Consider linking the delivery of your message to other political events to draw more attention to your issue. E.g., if there is an election campaign underway, policy makers might be more receptive than normal to your message.
 - ▷ The place you deliver your message should correspond to your target audience. Pick a place that enhances the political impact of the message. E.g. a news conference on equitable access to health care may have more impact if presented at a health post in a poor neighborhood than from the podium in a downtown hotel.
2. Assign the Policy Teams their final advocacy planning exercise—making a communication plan and policy presentation. Refer participants to Handouts 10-C, Communication Plan Worksheet, and 10-D, task instructions. Walk them through the task as described below:

Policy Team Task – Making a Communication Plan and Policy Presentation

One of your contacts (secondary audience) has just managed to get you a meeting with a decision-maker who is key (primary audience) to your policy objective. You will be given 15 minutes to make a presentation on your policy issue and why it merits action.

You and your Policy Team members will prepare and give your 15-minute presentation today/tomorrow starting at _____ o'clock. The team may decide who the messenger(s) should be and what format you wish to use to deliver your message.

Time for Task: _____ (1 hour, 30 minutes recommended)

Tell the Policy Teams to select a different target audience than the one they selected for the previous exercise in drafting a message. Give participants an idea about how you will set up and run Session 11 when they actually give their presentations.

4. Review Handout 10-E, Tips for Making Presentations, and clarify any questions the group may have about the ideas on the list.
5. Clarify what materials and equipment are available for participants' use as they prepare their presentations. (E.g., flipcharts and markers; overhead projector, blank transparencies, and markers; computer, printer, photocopier, and diskettes.). Also inform participants that training staff are available to serve as resources during the preparation period.

Trainer Note: During each presentation, one or more participants will play the role of the target audience, asking questions and/or otherwise interacting with the "messenger". The rest of the group will listen and observe from the viewpoint of the target audience. After each presentation, there will be a short feedback discussion to highlight the positive features of the presentation and offer suggestions for improvement.

Handout 10-A

PowerPoint Notes

Step 5: Select Advocacy Strategies

- ▲ Identify and Develop Potential Allies, Networks, and Coalitions
- ▲ Policy Communication



Communicating with Stakeholders:

What is a message?

“A message is a concise and persuasive statement about your policy that captures what you want to achieve, why you want to achieve it, and how you plan to achieve it.”



Elements of Message Content

- ▲ What you want to achieve
- ▲ Why you want to achieve it
- ▲ How you propose to achieve it
- ▲ What action you want the audience to take



Message #1

Mr. Minister,

We would like to improve the quality of services provided to the community. We've determined that almost half the clinics are underutilized. We suggest that a selected number be closed in stages. By closing these clinics, we will liberate scarce resources, which can then be redirected to the remaining clinics. With these resources, we can increase the clinical capacity of the providers, modernize the infrastructure, and purchase vital supplies.

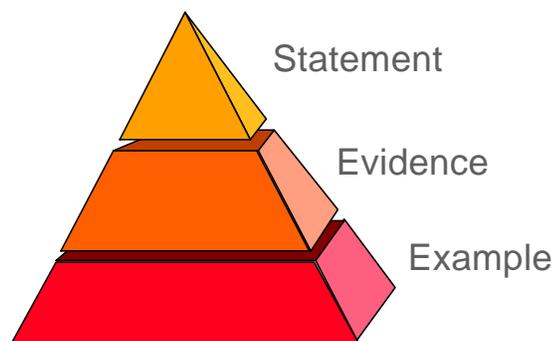


Message #2

For those men who don't use family planning and have no intention to use it in the future, 25.7% report that they lack awareness of family planning and 9.8% do not agree with the use of family planning.



The SEE Method



Message #3

Decentralization of services is a proven mechanism for improving the health of communities. Mayor Juan Perez of Santiago de Plano, a rural town, helped establish a clinic in partnership with the MOH. In a very short time, Mayor Perez - along with the clinic staff and the municipal health advisory board - succeeded in linking all services and institutions related to health care provision. At this time, virtually everyone in the community enjoys basic health care coverage and there are visible signs of improvement in the overall health status of the town. We should be helping mayors from all towns improve their health care services. We need your support and leadership to facilitate decentralization in all regions.



Message Content Worksheet

Audience:	
Action you want the audience to take	
What you want to achieve	
Why you want to achieve it	
How you propose to achieve it	



Elements of a Communication Plan

- ▲ Target audience
- ▲ Message content / language
- ▲ Source / messenger
- ▲ Format
- ▲ Time and place



Criteria for Selecting a Messenger

- ▲ Access to the audience
- ▲ Credibility with audience
- ▲ Knowledge of the issue
- ▲ Ability to clearly present issue



Types of Formats

- ▲ Formal and informal meetings
- ▲ Informal conversations
- ▲ Policy forums
- ▲ Public rallies
- ▲ Executive briefing packets
- ▲ Pamphlets, brochures, or fact sheets
- ▲ Posters, fliers in public places
- ▲ Computer and slide presentations
- ▲ Newspaper articles and media broadcast
- ▲ Public debate



Communication Plan Worksheet

Objective:

Target audience	Message content	Messenger	Format	Time / place



Handout 10-B

Message Content Worksheet

Message Content Worksheet

When communicating with your target audience, you must be clear about what you are asking of them and why. In completing this worksheet, be sure that you present what you want to achieve and why as relevant to your audience's positions and interests. How you propose to achieve your goal should explain how the audience's role contributes to what you want to achieve.

Audience:	
Action you want the audience to take	
What you want to achieve Why you want to achieve it How you propose to achieve it	

Handout 10-C

Communication Plan Worksheet

Communication Plan Worksheet

This worksheet brings together all the components of your communications plan for each objective you have established. Having it all on one page can help you assess important factors such as whether various activities complement or compete with one another, whether you have adequate financial and personnel resources, whether all your resources are being effectively used, and what would be a realistic timeframe for each activity.

Objective:				
Target audience	Message content	Messenger	Channel	Format

Handout 10-D

Policy Team Task

Making a Communication Plan and Policy Presentation

One of your contacts (secondary audience) has just managed to get you a meeting with a decision-maker who is key (primary audience) to your policy objective. You have 15 minutes to make a presentation on your policy issue and why it merits action.

You and your Policy Team members will prepare and give your 15-minute presentation today/tomorrow starting at _____ o'clock. The team may decide who the messenger(s) should be and what format you wish to use to deliver your message."

Time for Task: _____ (1 hour, 30 minutes recommended)

Handout 10-E

Tips for Making Presentations

- ▶ Be prepared – know your material well.
- ▶ Draft a script—your presentation is a performance consisting of your talk and visuals to help explain.
- ▶ Practice – rehearse in front of a mirror, a colleague or family member; don't memorize the script word for word.
- ▶ Know your audience and define what you want from them – i.e., are they for or against your position; what is the median age of the group; do they have any special interests; what kind of action do you want them to take?
- ▶ Keep the presentation simple—state your purpose, position, 3-4 main points, conclusion, course of action.
- ▶ Use slides for transitions, summaries, conclusions, and main points—always express one idea at a time; avoid excessive detail; be consistent in the colors and type/size of the fonts you use in text slides.
- ▶ Pace the use of slides throughout your presentation; when you show a slide, stop talking for as long as it takes you to read silently; don't keep a slide on the screen for longer than 45 seconds.
- ▶ Arrive early and check the equipment on the day of the event.
- ▶ Make friends—try to put the audience at ease.
- ▶ Be yourself—develop a relaxed, conversational style; don't imitate someone else's style; be conscious of your posture, gestures, facial expressions, and voice.
- ▶ Make the most of your opening comments and closing remarks—the first and last impressions seem to be the ones that last.
- ▶ Near the end of your talk, tell your audience what you want them to do (i.e., accept your conclusion, fund your project, use their influence to convince another target audience, etc.).
- ▶ Anticipate and be ready for questions from the audience—be familiar enough with the topic that you can respond knowledgeably; make your answers relatively brief; use answers to reinforce the main points of your presentation.
- ▶ Evaluate and improve your presentation—review the session with a “friendly critic” (attentiveness of the audience, length of presentation, effectiveness of slides, types of questions from the audience and effectiveness of responses, etc.).

Policy Team Presentations

Time: 3 hours (based on four presentations plus 30 minutes for final activity)

Overview

In the last session, participants practiced drafting advocacy messages and developed communication plans and policy presentations to offer here in this session. The policy presentation serves as one final application of the key steps in advocacy planning. With members of the large group playing the role of the primary audience, each policy team has 15 minutes to convince the decision-makers about the merits of their proposed policy. After each presentation, participants critique its effectiveness in terms of both content and delivery. Participants also share their field experiences and lessons learned about policy communication for health sector reform. In the final segment of the session, the group examines Steps 6 and 7 of the advocacy process: “implement advocacy activities” and “evaluate impact and adjust strategy”. The session closes with the reminder that the need for advocacy never ends—once one objective has been achieved, there is always another to tackle.

Objectives

- ▶ Plan and deliver a presentation that successfully convinces a policymaker to support your policy issue.

Materials

- ▶ As requested by Policy Teams for use during their presentations.
- ▶ PowerPoint Slides 1-3

Handouts

- ▶ 11-A : PowerPoint Notes

Special Preparation

Before the beginning of the session, determine the order of the presentations and arrange the necessary materials and equipment. If possible, move most of the tables to the sides of the room and arrange the seating in a semi-circle (1-2 rows). At the head of the room, place a table and chairs for the policy maker(s) and presenter to use as they wish.

Activities/Steps

I. Policy Presentations and Feedback

(Approx. 2.5 hours—10 minutes to explain the format, 30 minutes per presentation-feedback round 15 minutes for final discussion)

1. Explain to the groups the format you will use for running the session:
 - ▷ Each team will take 1-2 minutes before their presentation to explain the context (who is the target audience is, who the messenger is, and some brief background on their policy issue)
 - ▷ One or more participants from the group will volunteer to play the role of the policymaker(s). These people will take the prominent seats at the front of the room. During the presentation, they will try to stay in the role of the policymakers, asking questions and making occasional comments as appropriate.
 - ▷ Each Policy Team should appoint a timekeeper to give the presenter a two-minute warning before the 15-minute limit is up.
 - ▷ At the end of each presentation, there will be approximately 10-15 minutes for the group to discuss the content and delivery, and offer feedback: How effective was the message itself? What went well during the delivery? What suggestions do you have for improving the presentation? Etc.
2. Ask if any of the teams have questions before you begin. Ask everyone to respectfully give his or her attention to the person presenting.
3. Run the presentations and feedback. During the feedback discussions, ask the presenting team and the participants role-playing the policymakers to offer their observations first, then open the discussion to the rest of the group. (See questions under Step 1, final bullet.)
4. At the end of all of the presentations, ask the group to reflect on the total experience—planning with their team, delivering the message, hearing their peers' feedback, and observing the other presentations. Ask:
 - ▷ What key insights did you gain about communicating with policymakers?
 - ▷ How will you apply these lessons to your communication planning and advocacy work back home?

Trainer Note: You will need to practice good time management during the presentation-feedback rounds. Hold the presenters to the 15-minute limit. (This simulates real life where policymakers are very busy people with tight schedules.) Also, resist the temptation to spend a lot of time on the first feedback round.

II. Final Steps in Developing/Implementing an Advocacy Strategy (30 minutes)

1. Transition into this final section of the session by explaining the final two steps of the advocacy process: “Implement Advocacy Activities” and “Evaluate and Adjust Strategy”. Focusing first on the advocacy activities, show Slide 1 and ask participants to brainstorm a list of all the possible advocacy activities they can think of. Have your co-trainers help you write these down on flipchart at the front of the room. Try to organize the items into the three major groupings of activities (written as headers on the flipcharts): Building Allies, Policy Communication, and Conflict Negotiation. Tell the group that we will be concentrating on conflict negotiation in the next two sessions of the workshop.
2. If not already covered, spend a few minutes talking with group about lobbying and mass media campaigns. Solicit the participants’ experiences with either of these activities. (See Boxes 3.18 and 3.19 on pages 3-27 of the Toolkit.)
3. Using slides 2-3, review the final step in developing an advocacy strategy, “Step 7: Evaluate and Adjust the Strategy”. Ask participants to offer some ideas about how they can monitor advocacy activities and evaluate their impact. Time permitting, have them identify some key questions they would want to answer through the monitoring process (see Box 3.20 on page 3-30 of the Toolkit). Underscore the need to continuously monitor activities and systematically evaluate the results of your strategy.
4. As a way to wrap-up the advocacy module, ask participants to comment on how their perceptions of advocacy have changed over the past day and a half. Preview the next module on Conflict Negotiation.

Trainer Note: If your participants are mid- or upper-level managers, chances are they will not be the people directly involved in creating messages and other policy communication activities on a day-to-day basis, but they will need to supervise and coordinate the work. These experiences here will help them understand what it takes to develop quality advocacy activities and how to provide good leadership to their staff.

Trainer Note: If you are conducting the full five-day workshop, give participants a substantial break here in the schedule before starting the Conflict Negotiation sessions. As suggested in the Workshop Calendar, offer the remainder of the day for “free time” or optional social/ recreational activities. This will allow participants to “rest” their minds and feel more refreshed for the final two days of the week.

Handout 11-A

PowerPoint Notes

Step 6: Implement Advocacy Strategies

Keys to successful advocacy:

- ▲ Be persistent
- ▲ Use multiple activities with consistent message
- ▲ Be innovative and creative in selecting activities to reach target audiences



Step 7: Evaluate and Adjust Strategy

Monitoring and Evaluation Component:

- ▲ Helps you track success of advocacy strategy
- ▲ Builds credibility
- ▲ Motivates team members to sustain the momentum



Step 7: Evaluate and Adjust Strategies

- ✓ Monitor the activities
- ✓ Evaluate the results



Advocacy Activities— Building Networks and Coalitions

Time: 1 hour, 15 minutes

Overview

Alliances with other individual groups and organizations are the policy advocate's primary resource for influence. Allies can demonstrate their support through their numbers in letter writing campaigns or rallies. Influential individuals can lobby decision-makers, deliver advocacy messages, or otherwise persuade target audiences through different channels. Building and strengthening allies are critical for a successful advocacy strategy. This session is offered as an option rather than an integrated part of the workshop design because of the nature of the theme. The ability to build alliances is developed mostly from experience rather than skill-building in a workshop setting of this sort. That said, it is valuable for participants to share whatever experiences they have working with networks and coalitions, and derive some best practices and lessons learned. If this topic is important for your group, schedule the session on the final day of the workshop and use it underscore the network potential for the workshop group itself.

Objectives

- ▶ Share examples of networks and coalitions that have been successful in promoting health care reform.
- ▶ Identify key elements and step for forming networks and coalitions.

Materials

- ▶ PowerPoint Slides 1-6

Handouts

- ▶ Optional Session -A: PowerPoint Notes for Sides 1-6
- ▶ Optional Session -B: Individual Task: Plan for Building an Advocacy Network
- ▶ Optional Session -C: Guidelines for Joining a Coalition

Activities/Steps

I. Planning an Advocacy Network (50 minutes)

1. Introduce the session theme, “building alliances through networks and coalitions” and show the group how it relates to the advocacy process and to policy communication in particular (people are both resources and targets of communication).
2. Show the definitions of “alliance”, “network” and “coalition” (slides 2-3) to distinguish between the two, then shift the focus to networks. Ask participants to offer examples of networks they belong to or consider themselves a part of. These may be formal (e.g., organized around a particular reform effort) or informal (organized around family, recreational activities, religious activities, and so forth). As participants relate their examples, probe their experiences with questions like the following:
 - ▷ What were the benefits to being in this network?
 - ▷ How did you (all) develop the network?
 - ▷ What were lessons-learned from the experience that you would apply to future networking?
3. Ask participants to spend for the next few minutes outlining a plan for building an advocacy network. Refer them to Handout 10-B (see box below) and review the task with them.

Individual Task: Plan for Building an Advocacy Network

Using the questions below, outline a plan for building a network for your policy/issue area.

Step 1: Who should be in your network?

Who are your core supporters who make up your current network? What other individuals or organizations share your reform goals and have resources they could use as influence? Make a drawing of your network here below.

Step 2: How will you meet and develop/maintain relationships with potential network members?

For example, you might collaborate on projects of mutual interest, share information via email, and so forth.

Step 3: How do you get them interested in and contributing toward your advocacy objectives?

For example, you might discuss ideas with them and ask for their feedback.

When soliciting their active support, it's good to start with small specific requests (“Could you mention to your director that you think this proposal has merit...?”).

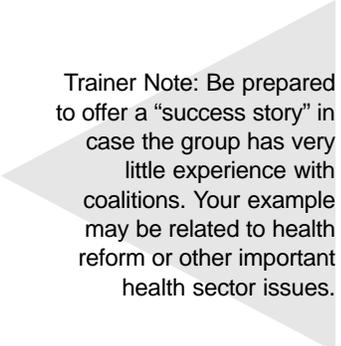
As the relationship develops, ask them for more significant help.

Time for Task: 25 minutes

4. After participants have sketched their outlines, ask them to share some of the ideas they listed in the plans under Steps 2 and 3. With your co-facilitator's help, write all of these suggestions on flipchart and then turn the list into a "Best Networking Practices" handout for everyone to take home from the workshop. Ask the group for additional questions or concerns they may have about networking.

II. Guidelines for Organizing and Working with Coalitions (25 minutes)

1. Now, ask the group to turn their attention to coalitions and show slide 4, "Types of Coalitions". Ask the group to identify specific examples of each type of coalition (permanent, temporary, multi-issue, single issue, etc.)
2. Ask if anyone in the group can share a real "success story" about a coalition that accomplished a significant goal. Take one or two examples and use these experiences to discuss the relative advantages and disadvantages of coalitions. Use slides 5-6 as appropriate to summarize the advantages and disadvantages. (See also page 3-19 of the Toolkit).
3. Review the "Guidelines for Joining a Coalition" (Handout 10-C) and encourage participants to add other points to the list based on their experiences.
4. Close the session by asking the group to consider how they might want to continue networking and supporting one another after this workshop has ended.



Trainer Note: Be prepared to offer a "success story" in case the group has very little experience with coalitions. Your example may be related to health reform or other important health sector issues.

Handout Optional Session-A

PowerPoint Notes

Forging Alliances

“Allies are people and organizations who support your advocacy efforts.”



Definition of Networks

“Networks are loose associations of individuals that share your goals and can help you achieve them.”



Definition of Coalitions

“A coalition is a group of several like-minded organizations working together to achieve a common goal.”



Types of Coalitions

- ▲ Formal
- ▲ Informal
- ▲ Geographic
- ▲ Multi-issue
- ▲ Single-issue



Advantages of a Coalition

- ▲ Enlarges and maintains your base of support
- ▲ Provides protection for members that are not able to initiate actions independently
- ▲ Increases financial and programmatic resources for the advocacy campaign
- ▲ Enhances the credibility and influence of the campaign
- ▲ Helps develop new leadership
- ▲ Broadens your scope of work



Disadvantages of a Coalition

- ▲ Distracts from your other work
- ▲ May require that you compromise your position on certain issues or tactics
- ▲ May require that you give in to more powerful coalition partners
- ▲ You may not receive credit for your work
- ▲ May detract from the force of the campaign



Handout Optional Session-B

Task

Task: Building an Advocacy Network

Using the questions below, outline a plan for building a network for your policy/issue area.

Step 1: Who should be in your network?

Who are your core supporters who make up your current network? What other individuals or organizations share your reform goals and have resources they could use as influence? Make a drawing of your network here below.

Step 2: How will you meet and develop/maintain relationships with potential network members?

For example, you might collaborate on projects of mutual interest, share information with them, and so forth.

Step 3: How do you get them interested in and contributing toward your advocacy objectives?

For example, you might discuss ideas with them and ask for their feedback. When soliciting their active support, it's good to start with small specific requests ("Could you mention to your director that you think this proposal has merit...?"). As the relationship develops, ask them for more significant help.

Time for Task: 30 min.

Handout Optional Session-C

Guidelines for Joining and Participating in Coalitions

A coalition is a group of several like-minded organizations working together to achieve a common goal.

Joining a Coalition

Before joining a coalition, decide what you want to get from the experience:

- ▶ Will it help you achieve your goals?
- ▶ Raise money?
- ▶ Strengthen activities?
- ▶ Add credibility to your efforts?
- ▶ Do you have special expertise or skills that will be beneficial to the group?

Although it may seem obvious, make sure that you know the goals of the coalition and how it is going to achieve these goals. Are you in favor of this approach? If not, it may not make sense to participate.

Participating in a Coalition

- ▶ Coalition efforts are hard work. Make sure you have the resources you need to be a member. These usually include staff, administrative resources and time.
- ▶ Have experienced coalition staff, even if it's just one person to oversee your activities. Alternatively, designate a sub-committee to coordinate efforts.
- ▶ Choose unifying issues that bring members together to work for a common cause, rather than on each group's separate agendas.
- ▶ Design coalition activities in a way that uses the strengths of each participating group. For example, if some groups are better at fundraising, let them take on that part of the activity.
- ▶ Make it possible for each organization to benefit so that each group feels like a valued member of the coalition and stays interested in participating. Give credit where credit is due.
- ▶ Clearly define goals/objectives so that they are understood by each member group from the beginning. Also clearly define tasks and responsibilities of each group.

- ▶ Understand and respect institutional self-interest. Each member group has its own history, culture, agenda and leadership. It is important for members to understand this and respect differences when they occur.
- ▶ Establish norms/guidelines for dealing with conflict. When conflict does occur (and it will!), use it as an opportunity to consider different points of view, but stay focused on your common goal.

[Adapted from: *Advocacy Guide*, International Planned Parenthood Federation, New York, NY, 1995.]

Section 4

Conflict Negotiation Tool

**Session 12: Orientation to Conflict Negotiation
and Interpersonal Communication
Skills**

Session 13: Conflict Negotiation Simulations

Conflict Negotiation Tool

Table of Contents

Session 12: Orientation to Conflict Negotiation and Interpersonal Communication Skills	4-5
Objectives	4-5
Materials	4-5
Handouts	4-6
Special Preparation	4-6
Activities/Steps	4-7
I. Personal Perceptions about Conflict; Intro to Conflict Negotiation	4-7
II. Analyzing the Components of a Conflict Situation	4-8
III. Interpersonal Communication Skills	4-9
IV. Overview of Interest-Based Negotiation; Practice Identifying Interests	4-10
Handout 12-A: PowerPoint Notes	4-14
Handout 12-B: Interpersonal Communication Skills	4-24
Handout 12-C: Negotiation Preparation Worksheet	4-29
Session 13: Conflict Negotiation Simulations	4-33
Overview	4-33
Objectives	4-33
Materials	4-33
Handouts	4-33
Special Preparation	4-34
Activities/Steps	4-34
I. Negotiation Simulation Assignment and Preparation (90 minutes)	4-34
II. Negotiation Simulations	4-35
Handout 13-A: Small Group Assignment: Conflict Negotiation Simulation	4-38
Handout 13-B: Conflict Negotiation	4-39
Handout 13-C: Negotiation Preparation Worksheet	4-43
Handout 13-D: Conflict Simulation Observer's Guide	4-45
Handout 13-E: PowerPoint Notes	4-47

Orientation to Conflict Negotiation and Interpersonal Communication Skills

Time: 4 hours (including a 15-minute break)

Overview

This session provides an in-depth orientation to the third and final tool, Conflict Negotiation. The module begins with the assumption that conflict is inevitable, particularly in a world of new policy implementation, and that negotiation skills are essential to achieving successful reform outcomes. Perhaps the single most important message conveyed here is the need to **be as prepared as possible** to manage conflict whenever and wherever it occurs.

The session divides roughly into three interrelated parts: 1) self-awareness about personal responses to conflict, 2) analysis of the elements at play in a conflict situation, including the identification and practice of key interpersonal communication skills, and 3) a step-by-step walk-through of the interest-based negotiation process. Collectively, these themes and activities lay the groundwork for the next session where participants will take part in simulated negotiation meetings using case studies as a base.

Objectives

- ▶ Examine the nature of conflict in the context of health sector reform.
- ▶ Understand how intra- and interpersonal factors affect our individual response to conflict situations.
- ▶ Describe the different styles one may use to manage conflict.
- ▶ Practice several key interpersonal communication skills that are essential for negotiating conflict as well as for strengthening work relationships in general.
- ▶ Describe the elements and steps involved in an interest-based conflict negotiation meeting.

Materials

- ▶ PowerPoint Slides 1-17
- ▶ 2 flipcharts with the Negotiation Preparation Worksheet columns and headers (see Step III.4)

Handouts

- ▶ 12-A: PowerPoint Notes
- ▶ 12-B: Interpersonal Communication Skills
- ▶ 12-C: Negotiation Preparation Worksheet and Instructions

Special Preparation

1. In Step I.2, participants will observe a role-play of a negotiation meeting that illustrates what happens when disputing parties lose control of their emotions, fail to practice good communication skills, and center their negotiations on firm positions. You will need to pre-select two participants (or one participant and one of the trainers) to act in the role-play. Make sure you choose people who feel comfortable “showing their emotions” (i.e., simulating anger, impatience, etc.) in front of the group.

Explain the purpose of the role-play to the pair, and then help them decide on an appropriate scenario and roles (e.g., a regional hospital director and the director of the physician's syndicate in dispute over new performance-based evaluation standards). If they do not have a specific situation in mind, suggest one of the case studies provided with the session outline. Coach the role-players so they are clear on what you want them to do or not do during the role-play. The idea is to show *moderately poor* self-control and communication skills, but not to have the situation dissolve into total chaos. Suggest a few specific behaviors you want them to show, (e.g., interrupting one another, raising their voices, repeating their positions over and over, etc.) but don't script the scene. Be sure to arrange the room so that everyone in the group can see and hear the role-players.

2. One general caution to keep in mind throughout the Conflict Negotiation module is the potential for sensitive issues and feelings to surface in the group. Consider who your participants are in relation to one another and how comfortable they may or may not feel addressing some aspects of conflict and negotiation. Two interventions on your part will help to set a “safe” climate for participants: 1) acknowledge that the group will be discussing sensitive issues and reaffirm or establish a rule of confidentiality (i.e., what is said in the room, stays in the room), 2) suggest that people who work in supervisor-subordinate relationships sit at different table groups and join different teams during the negotiation simulations.
3. If conflict negotiation is a particularly critical skill area for your participant group, consider using one of the following conflict style inventories as part of this training module:
 - ▷ *Conflict Resolution Questionnaire* (contained in Annex 4-A of the Toolkit)
 - ▷ *Thomas-Killmann Conflict Mode Instrument* (described on pages 4-6 through 4-9 of the Toolkit; actual instrument may be ordered from Consulting Psychologists Press/Davies-Black Publishing, Tel. 1-800-624-1765 or www.cpp-db.com)

These instruments are designed to give people insight into their preferred ways of dealing with conflict (i.e., through avoidance, compromise, etc.) and options for how to adapt one's style appropriately in response to the circumstances of the situation at hand. If you choose to use one of the instruments, have participants complete the questionnaire and score it before the start of the session, and then interpret and discuss it as part of Step I.2 (see session outline below).

Activities/Steps

I. Personal Perceptions about Conflict; Intro to Conflict Negotiation (30 minutes)

1. Open the session by soliciting participants' reactions to the word "conflict" as follows: Write the word "CONFLICT" in big letters across the top of a flipchart and ask participants to quickly call out words they associate with the term. This activity should be fast paced—have your co-trainer quickly chart the word associations on the flipchart as you keep drawing them from the group. Afterwards, ask participants to look at the flipchart list and discuss what they "see" as their perceptions of conflict. Here are some possible answers:

- ▷ Possible negative perceptions: personal feelings of anger or anxiety, decrease in morale or productivity, polarization of people or groups into winners and losers, uninvolved people taking sides, rumors arising, relationships suffering, etc.
- ▷ Possible positive perceptions: can surface "real" issues, can lead to creativity and energy, can bring about more honest/effective work relationships, etc.

Explain that conflict is inevitable in human interactions and it is almost always accompanied by feelings of anger, frustrations, anxiety, etc.; these feelings will vary in intensity depending on individual responses to conflict, the perceived importance of the issues, and the history of the relationship.

2. Next, ask participants to identify and briefly discuss some of the factors that influence their attitudes and beliefs about conflict. Examples might include:
 - ▷ Culture, including the organizational culture in which you work
 - ▷ Family background—how your parents taught you to deal with conflict
 - ▷ Past personal experiences, either positive or negative
 - ▷ Preferred styles of dealing with conflict (some people almost always accommodate others, some people try to avoid conflict at all costs, others are quick to compromise, etc.)
 - ▷ Individual perceptions of reality or "world views" (people may differ widely in how they perceive and interpret situations)

Explain that one of the first steps toward becoming a good negotiator or manager of conflict is to suspend negative preconceptions about conflict and objectively try to assess:

- ▷ Your own beliefs, attitudes, and responses to conflict
- ▷ The nature of the conflict at hand
- ▷ Your personal investment in the outcome of the negotiation process.

3. Ask participants if they have been parties to conflict situations in their work in health sector reform. Take two or three examples and use them to introduce the rationale for negotiation skills. Highlight the fact that reform means change (in resource allocation, roles, salaries, work conditions, evaluation standards, etc.) and change usually provokes conflict. Conflict can happen at virtually any phase in the policy process . . . and not only at the negotiation table . . . unexpected conflict can erupt during a phone conversation, in a hall-way conversation, etc. The key is to be prepared to handle conflict well when it does happen (because it will!).

Show the group Slide 2, “What is conflict negotiation?” and underscore the key words, “mutually acceptable solutions”. Also show Slide 3, “Continuum of Conflict Resolution Mechanisms” and explain to the group that our emphasis here in this workshop will be on “negotiation” (versus mediation and arbitration).

4. Displaying Slide 4 (Identifying the Level of Conflict), describe the various levels of conflict and draw from participants’ real examples to illustrate each one. Make these points:
 - ▷ Conflict has a substantive component and an emotional component and the two are inextricably intertwined.
 - ▷ The more serious the issue (toward the right of the scale), the “hotter” the emotional intensity of the conflict and the harder it is to negotiate. Health reform conflicts tend to be over differences on objectives, methods and/or information (i.e., of lesser intensity) versus clashes in values (greatest degree of difference and very hard to resolve).
 - ▷ The more consciously and accurately you can identify the level and significance of the conflict, the better able you will be to check/contain your emotions and respond in an appropriate and constructive way.
 - ▷ Some people are more “difficult” to deal with because they bring the same heat and intensity to all discussions (e.g., whether the issue is about the validity of data sets or the inclusion of certain life-saving techniques in a social insurance package).
 - ▷ The relative importance of the relationship versus the issue in contention can affect how we respond, and in situations where the issue AND the relationship are important, we need to engage in thoughtful and planned negotiation.
 - ▷ In conflict resolution, it is helpful to identify, with the other party, common values and goals before discussing your areas of disagreement.
5. Refer participants to Annex 4-B, “Self Inventory Worksheet” in their Toolkits (also presented on Slide 5). Offer the worksheet as a way to assess one’s personal investment in the outcome of a given negotiation and identify any personal risk factors that may be relevant. Also mention that the Toolkit guidelines include an in-depth discussion on the different styles of responding to conflict, and that this section will give them greater insight into their personal tendencies or preferences for handling conflict.

Trainer Note: The Self Inventory Worksheet helps people put the negotiation process in perspective as it relates to them, their interests, and their efforts to implement change. Based on their answers to the inventory, they can assess whether it is in their best interest to enter into negotiation and what the potential consequences might be.

II. Analyzing the Components of a Conflict Situation (40 minutes)

1. Show the group Slide 6 and briefly describe the main elements that compose or come into play in a conflict situation. These include:
 - ▷ The content or substantive issue that is in dispute.
 - ▷ Emotions in each party generated by the conflict (and sometimes exacerbated by negative history/prior unresolved disputes)
 - ▷ Communication skills of each party (how well people listen, ask questions, etc.)
 - ▷ Importance of the relationship between the two parties.

2. Tell the group they will now observe a role-play that demonstrates these four elements and what happens when the disputing parties aren't well-prepared to deal with the situation. Before starting the scene, identify the characters and give enough background information for the group to understand the situation. If you are using one of the pre-written case studies, distribute the case description as a handout for participants to read. Instruct the group to observe the scene in terms of the 4 components (the issue, the emotions, the communication behaviors/skills, and the relationship between the two parties). Ask participants to particularly note behaviors that help or hinder the negotiation (Do the parties ask one another questions? What kinds of questions? How are they showing/controlling their emotions? Etc.).
3. Let the role play run for approximately 10 minutes, and then process it with the group. First, debrief the role-players about the meeting. Ask them: What happened in this interaction? What was your original strategy and did it work? How did you feel at the beginning/middle/ end of the meeting?

Then, open the discussion to the rest of the group using these questions as a guide:

- ▷ What was the issue here?
- ▷ How would you characterize the relationship between the two parties?
- ▷ What was the relative importance of the issue versus the relationship?
- ▷ How effectively or ineffectively did the parties handle themselves? Examples of specific behaviors?
- ▷ How real was this scene? Have you seen or participated in similar situations?
- ▷ If you had to confront this particular conflict, what would you do differently?

Summarize the discussion, by showing and reviewing Slide 7, “Key Components of Successful Conflict Negotiation” and explain that in the next step, the group will look at skills and techniques for controlling emotions, communicating effectively, and building relationships.

BREAK- 15 minutes

III. Interpersonal Communication Skills (40 minutes)

The idea here is to describe and/or demonstrate the communication skills so that participants will practice them during the simulations in Session 13. Try to keep the discussion interactive rather than lecture-style by drawing on participants' observations from the role-play and from their real life experiences.

1. Introduce the theme of interpersonal communication skills with the following key points:
 - ▷ Good communication skills are an essential component/requirement for successful negotiation.
 - ▷ Through skillful interpersonal communication, you demonstrate respect for the other party, you gain critical information about the interests and needs of the other party, and you set the stage for collaborative problem-solving versus an “I win-you lose” competition.
 - ▷ Interpersonal communication skills do not necessarily come naturally, but they can be practiced and learned.
 - ▷ These skills are useful in all types of relationships—not only in professional interactions, but in your personal lives as well (i.e., with family, friends, neighbors, etc.).

Trainer Note: To prepare for this segment of the session, read through all of the instructions and study pages 4-11 through 4-15 in the Toolkit. Be ready to demonstrate each of the skills in case some participants are unclear and need a “picture” of what it looks like. For example, if participants are unsure how to “listen actively”, demonstrate the skill by doing the following: 1) ask someone in the group to talk to you about an issue they feel strongly about; 2) check for understanding by paraphrasing what you heard the person say, 3) explore the feeling and meaning of the other person's statements, and 4) summarize your understanding of the person's views.

Trainer Note: Triggers are words or actions that push our “hot buttons”. People differ in terms of what triggers their emotions, but we all have them. Some trigger words might include, “You people always want...” or “You just don’t have the technical background to understand this...” or “Oh no, not this story again!”. A trigger action might be the other party arriving late to an important meeting or a particular type of body language he/she displays which you interpret as a sign of disrespect. The point is we view the trigger event through the filter of our past history, of internal “tapes” that get set off, of our needs/ preferences (e.g., respect, competence, need to win, challenges to our authority, etc.) We tend to react to the trigger event in terms of the meaning we ascribe to it. By becoming more aware of what triggers our internal emotions we can be more in control of our interpersonal communications and behavior. This awareness and control will help us consider the alternative views of others and avoid fighting over the “rightness” of our perceptions.

2. Using Slides 8-10 and Handout 12-B, review the key interpersonal communication skills. As appropriate, draw on the behaviors demonstrated by the actors in the role-play to illustrate the need for such skills. If participants seem unclear on any particular skill area, briefly demonstrate it.
3. During your discussion on the use of questions, demonstrate the various types of questions and their appropriate uses. Point out the danger of using “leading” questions, i.e., questions that contain an implied answer (Don’t you think that...? Wouldn’t it be better if...?) Emphasize the value of inquiry in learning about the needs and goals of your opponent and the interests you may have in common.
4. During your discussion on how to de-escalate tension, ask participants to share some of their own techniques and offer some of yours as well. Also, introduce the notion of “trigger” events—some combination of words or actions that trigger in us the beginning of a conflict response—and ask participants to share some of their triggers. (See Trainer Note.)
5. Emphasize the link between good interpersonal communication skills and healthy work relationships: good communication helps to build trust and respect in a relationship; when there is trust and respect between parties, the conflict is easier to negotiate and resolve.

IV. Overview of Interest-Based Negotiation; Practice Identifying Interests (75 minutes)

1. Using the slides 11-14, introduce the final component of the conflict negotiation tool—managing the negotiation process. Explain that negotiation is a learned skill that requires self-awareness, an understanding of your opponent, knowledge of the technical issues under discussion, and command of the negotiation process. At its best, it is a constructive, collaborative problem-solving process.
2. Define “interest-based” negotiation and distinguish it from “position-based” approaches:
 - ▷ A **position** tells the other person **WHAT** you want. Your position reflects your pre-determined point of view or attitude on a certain issue. (E.g., a Director of a Nurses Association: “Our nurses will not work more than 40 hours per week; if, on occasion, they have to put in more hours, we want double pay.”)
 - ▷ Your **interests** tell others **WHY** you want something. Interests reflect your underlying needs and concerns. (Once again, the Director of the Nurses Association: “We are concerned about the quality of care our nurses can provide/maintain when they are called upon to work long shifts and overtime hours nearly every week.”)

Draw from the role-play to further illustrate the difference between interests and positions.

3. Review the three pre-negotiation steps:

Step 1—Identify the issue

Step 2—Identify the parties who will participate directly in the negotiation, and

Step 3—Prepare for the meeting(s).

Show the group the Negotiation Preparation Worksheet (Slide 14 and Handout 12-C) and explain how to use it.

4. Have the participants fill in the Negotiation Preparation Worksheet using the role-play situation as their practice case. Divide the larger group in half and assign one of the role-players to each half. Give each team a flipchart with the worksheet columns and headers already drawn in. Explain the task as follows:

Small Group Task: Preparing for a Negotiation

- Pretend the role-play situation is real. You are on a negotiation team with _____ (the role-player who has been assigned to your group), and you are currently preparing for a meeting with your opponents.
- Complete the Negotiation Preparation Worksheet based on the information you know about the situation and your opponent. List and prioritize your interests first and then anticipate what the other party's interests might be and write those in the appropriate column. Also suggest 1-2 possible options/solutions based on your analysis of the identified interests.
- Select someone from your team to present your worksheet to the other team.

Time for Task: 30 minutes

5. Observe each group for a few minutes and check to make sure they understand the distinction between “interest” and “position”. After approximately 25 minutes, give each group a 5-minute warning.
6. When the teams are done, have each one present their worksheets. Compare the two worksheets in terms of each group's perceptions of the other group:
- ▷ How similar is the list of your stated interests and what the other team perceived your interests to be”
 - ▷ How might this type of preparation have changed the dynamics between the parties during the role-play?
 - ▷ In real life, how can you anticipate what the opponents' interests are? What are some sources of information you could tap? (Relate back to stakeholder and target audience analyses.)
- Emphasize with the group that the pre-meeting preparation is a very critical part of negotiation, however, *what we anticipate about our opponents' interests is only our “best guess” and must be checked out through careful inquiry during the actual face-to-face meetings.*
7. Using Slides 15-17, briefly clarify the steps to take during the negotiation meeting(s):
- ▷ Clarify expectations and establish ground rules
 - ▷ Define and explore the issues
 - ▷ Explore interests
 - ▷ Invent options for mutual gain
 - ▷ Use objective criteria to evaluate options
 - ▷ Agree on the best possible solution
 - ▷ Develop an implementation plan

Trainer Note: Some members of the group may be skeptical about an interest-based approach to negotiation before they've had a chance to try it. Emphasize that interest-based negotiation is an approach that has been developed through years of research and experience, applied world wide in a variety of conflict situations, and is "hard on issues" and "easy on people". It gets to the heart of the issue without damaging or destroying the relationship between the disputing parties.

Explain that the process is really one of collaborative problem-solving where you first clarify the issue and identify/understand the interests of both parties, and then try to find the best mutually acceptable solution based on both parties' interests. Underscore the need to define the issue before moving into the subsequent steps—without a clearly defined issue, the negotiation will quickly move off-track and be ineffective in the end. Re-emphasize the need for good communication skills during the negotiation meeting(s), both to express your own interests and to understand those of your opponent. Answer any questions the group may have about the overall process. (See pages 4-17 through 4-25 in the Toolkit for additional talking points.)

8. Preview the next session where participants will practice the interest-based negotiation process using case studies and simulations of negotiation meetings. Instruct people to read the description of the entire negotiation process (Toolkit, pages 4-17 to 4-25) in preparation for the simulations.

Handout 12-A

PowerPoint Notes

Conflict Negotiation:

An Essential Skill in Managing the
Health Sector Reform Policy Process

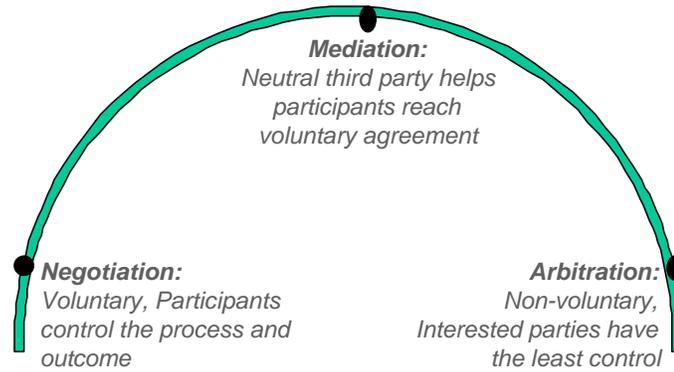


What is conflict negotiation?

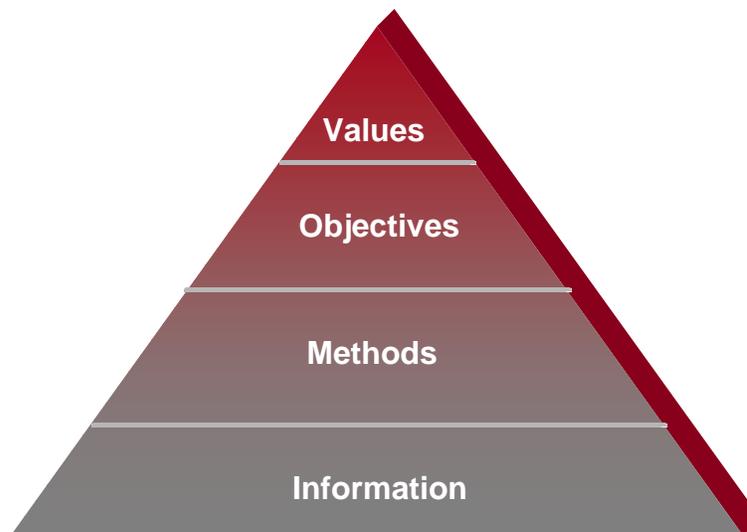
Conflict negotiation is a process designed to anticipate, contain, and resolve disputes so that parties with some shared and some opposing interests can reach mutually acceptable solutions.



Continuum of Conflict Resolution Mechanisms



Assessing the Nature of the Conflict Involved



Elements of a conflict situation

- ▲ Disagreement on substantive issue
- ▲ Emotions of each person involved
- ▲ Each person's interpersonal communication skills
- ▲ Importance of relationship between involved persons



Key components of conflict negotiation

- ▲ Prepare in advance
- ▲ Manage your own behavior
 - ❖ Control your emotions
 - ❖ communicate effectively
 - ❖ Build a good working relationship
- ▲ Manage the negotiation process (using the interest-based approach)



Self-Inventory Worksheet

What specifically concerns me about this conflict?

What are my interests and underlying needs contained in this issue? What is at stake for the reforms I am trying to implement?

What personal risks are involved for me if I am not successful?

Leadership position? Professional standing? Self-esteem? Job security? Other?

(Be specific and thorough so you are clearly aware of your strengths and/or vulnerability)

What assumptions am I making about the opposition? Are they based on knowledge of current interests, past negative experiences; preconceived notions based on what I have heard? (Be specific and clear with yourself on this issue)

What would be the best possible solution both parties could agree on?

What would be a solution I could live with?

What is the best situation I can expect if I do not negotiate?



Interpersonal Communication Skills

- ▲ Be an active listener
- ▲ Use questions
- ▲ Clearly express your interests, needs, and goals
- ▲ Set a constructive tone
- ▲ Acknowledge and validate the other person's perceptions



Interpersonal Communication Skills

- ▲ Improve your understanding of the opposition
- ▲ Provide constructive feedback
- ▲ De-escalate tension and conflict
- ▲ Avoid judging, criticizing, and/or blaming others
- ▲ Overcome past negative history with the opposition



How to provide constructive feedback

- ▲ Be specific, rather than general
- ▲ Focus on actions, not attitudes
- ▲ Focus on issue being discussed (content or process)
- ▲ Feedback should be clear and understandable



Managing the Negotiation Process



An Interest-Based Approach

Your position

- ▲ Reflects your predetermined point of view or attitude on a certain issue
- ▲ Tells others what you want
- ▲ The reasons for your point of view or attitude are not explained

Your Interests

- ▲ Reflect your underlying concerns for your own benefit or advantage (your needs, desires, or concerns)
- ▲ Tells others why you want something



Steps to take before negotiation begins

- ▲ Identify the issue to be negotiated
- ▲ Identify the persons with whom you will negotiate
- ▲ Prepare for the negotiation



P r e p a r a t i o n	(1) Issue:			
	(2) My Interests	(3) Relative Importance	(5) Possible Options for Mutual Gain	(4) Their Interests
	<i>Ask yourself: "What do I care about?" "Why?" and "For what purpose?"</i>	<i>Assign a weight of 0-100%</i>	<i>List ways to meet interests on</i>	<i>Ask yourself: "What might they care or worry about?" "Why," and "For what purpose?"</i>

Steps to take during negotiation process

- ▲ Clarify expectations and establish ground rules
- ▲ Define the issue to be negotiated
- ▲ Explore interests of both sides
 - ❖ Articulate your own interests
 - ❖ Explore the interests of your counterparts



Steps to take during negotiation process

- ▲ Invent options for mutual gain (a creative process)
- ▲ Use objective criteria to evaluate options
 - ❖ An objective criterion is an independent standard of fairness, against which the different options can be measured



Steps to take during negotiation process

- ▲ Agree on the best possible solution
 - ❖ Determine if there is consensus within the group
 - ❖ Search for a solution that is acceptable to everyone
- ▲ Develop an implementation plan
 - ❖ specific measures
 - ❖ functions and responsibilities of the participants
 - ❖ how will progress be supervised and monitored



Handout 12-B

Interpersonal Communication Skills

Active Listening

Listening is not waiting for your turn to talk; it is seeking to understand before being understood. Active listening involves paraphrasing in your own words what you are hearing, checking your understanding, and summarizing.

Notes:

Using questions

Questions are actual interventions. Questions require the person answering to organize his or her thoughts on the subject and then frame a response. Here are some ways to use inquiry:

Use Questions to:	I. Example
<ul style="list-style-type: none"> ● Gain more information 	What led you to that conclusion? What is your opinion on that situation?
<ul style="list-style-type: none"> ● Refocus a discussion 	What is the problem we are trying to solve here?
<ul style="list-style-type: none"> ● Reorient a potential attack or escalation of conflict 	Is there another, more positive way we can frame this issue?
<ul style="list-style-type: none"> ● Show respect for and interest in your opposition's view 	Is there anything else you think I should know that would help me understand your position on this?
<ul style="list-style-type: none"> ● Introduce information as well as options for solutions 	What would you think if we involved the physicians in this deliberation?

Caution! Do not use leading questions that contain an implied answer. For example: “Don’t you think it would be a good idea to involve the physicians?” This is not a question but an implied statement; your opponent will not be fooled, and you may build resentment with this attempt to override his or her thinking with such leading questions.

Notes:

Stating interests, needs, goals

This will clarify for your opposition what you expect from the negotiation process. Be clear, specific, and succinct.

Notes:

Setting a constructive tone

Emphasize your positive intentions whenever possible: “I am confident that we can reach an acceptable solution to this dispute.” Use “we” to convey that the negotiation is a joint process.

Notes:

Acknowledging and validating the other person’s perceptions

Validation *does not* imply that you agree with or accept the other person’s perceptions. It does, however, let your opposition know you heard and respect his or her perspective: “This new information helps me understand your concerns about this change in staffing, however, . . .”

Notes:

Improving your understanding of the opposition

Imagine yourself in the other person's position, with his or her interests, needs, and, perhaps, constituencies. How would you be thinking, planning, reacting if you were on the other side of the table?

Notes:

Providing constructive feedback

Feedback is giving information to another person about how their behavior is affecting you. In negotiation situations, the feedback may concern the opposition's stated interests and demands (content), or their behavior and responses (process) during the actual negotiation.

Feedback is most useful when it is:

- ▶ Specific rather than general
 - ▷ General: "You weren't helpful during the meeting."
 - ▷ Specific: "You waited until the end of the meeting to tell us we were on the wrong track."
- ▶ Focused on actions, not attitudes
 - ▷ Attitude: "You don't care about this initiative"
 - ▷ Actions: "You haven't attended the last two meetings and you didn't return Tom's phone calls about the draft work plan. "
- ▶ Well-timed and focused on the immediate issue
 - ▷ Checked for clarity and understanding

Notes:

De-escalating tension and conflict

- ▶ Speak slower and, if the tone and volume of the opponent are rising, speak softer.
- ▶ Keep reminding yourself: “We can find a solution that we both agree on.”
- ▶ Ask for a break to collect your thoughts.
- ▶ Remember to breathe.
- ▶ Watch your language. Don’t use words like: never, always, no, won’t, should, shouldn’t, you must, you must not.
- ▶ Acknowledge and validate your opposition’s position (see above).
- ▶ Listen to your voice. Is it high pitched? Tense?
- ▶ Check on whether you are still listening to the other party. Have you started framing answers or responses prematurely?

Notes:

Avoid judging, criticizing, and/or blaming others

When you feel anxious or vulnerable, you are more likely to look for an explanation based on the shortcomings of the opposition: “if they were more reasonable,” “if they hadn’t spoken to the press in the first place,” “if they had been better prepared for the union negotiations,” etc.

It is usually a signal that you are losing ground in a negotiation if you stop attacking the issues and start attacking the person. If you hear yourself making such attacks or blaming statements, it is time to take a break or use one of the methods listed above to diffuse the situation.

Notes:

Overcoming past negative history with the opposition

Acknowledge, up front, the difficult history you have had together, and then be specific about the goals and expectations you bring to this particular interaction. For example, “I know we have had several unsuccessful attempts to resolve this question regarding authority over personnel decisions in the hospital. I am confident that if we focus our discussion today on our mutual concern for quality care and equitable pay for health personnel, we will make considerable progress.”

Notes:

Handout 12-C

Negotiation Preparation Worksheet

Negotiation Preparation Worksheet¹

INSTRUCTIONS: To complete the worksheet, follow the steps listed below in sequential order.

(1) Develop a concise working definition of the issue, as you see it.

(2) Identify your interests at stake in the issue

In order to be able to focus on those interests of most importance to you during the negotiations, you need to first be clear about all of the interests you have at stake in the issue. Develop a complete and detailed list of your interests in the problem. Each interest should reflect a specific underlying need, desire, or fear. Once the list is complete, be sure to double check it and clarify any position or value statements.

(3) Rank your interests

Naturally, some interests will be more important to you than others. To ensure that you focus on your key interests during the negotiation process rather than get caught up in secondary issues, it is critical that you assess the relative importance of each interest beforehand. A simple method to use in ranking each interest in terms of its relative importance is to assign each a weight of 0 to 100 percent, based on its overall importance. *Enter a rank next to each interest listed in left-hand column.*

(4) Identify possible interests at stake for your counterpart(s)

Because negotiation is a process of collaboration and compromise, it is important to also make a best estimate of the other parties' interests in the problem. Accurate information about the other side's interests is oftentimes difficult to obtain, but try to develop as accurate an estimate as possible of what is at stake for your counterpart(s). Empathy is the most important resource you have for inferring what these interests might be. Consider the situation from the other parties' perspective; identify the issues they might be concerned about. What personal interests might be at stake for them (e.g., their leadership position, professional standing, job security, financial wellbeing)? What business-related interests might they be concerned about? What is at stake for the programs, projects, or reforms they are trying to implement? What are the interests of other individuals and/or groups affected by the issue that you might take into account?

Depending on the quantity of information and other resources at your disposal, you can research any publicized statements they have made on the issue as well as information about their organization and/or projects. (If you have conducted a *stakeholder analysis* or developed an *advocacy strategy* for the policy beforehand, you can obtain information about your counterparts' interests by referring to the Stakeholder Analysis Table and Tool 3: Audience Identification Worksheet, respectfully)..

(5) Invent options for mutual gain

You can draw upon both your interests and those of the other side to brainstorm possible options for mutual gain (i.e., those that incorporate one or more interests from each side).

Finally, you will want to test these options by reviewing each individually and questioning whether you would find the option to be a tolerable and acceptable solution. If you cannot answer "yes" to any of these options, it signals the need to recheck your initial assumptions. You might have overlooked a key interest or inaccurately measured the relative importance of an interest(s).

¹ Adapted with permission from *Getting Ready to Negotiate, a Step by Step Guide to Preparing for Any Negotiation.*

(1) Issue:

(2) My Interests

(3) Relative Importance

(5) Possible Options for Mutual Gain

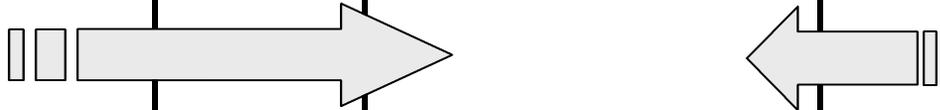
(4) Their Interests

*Ask yourself: "What do I care about?"
"Why?" and "For what purpose?"*

Assign a weight of 0-100%

List ways to meet interests on both sides

*Ask yourself: "What might they care or worry about?"
"Why," and "For what purpose?"*



Conflict Negotiation Simulations

Time: 3 hours, 30 minutes (including prep time before the simulation)

Overview

The best way to learn interest-based conflict negotiation is to actually do it. In this session, participants use case studies and simulated negotiation meetings to apply the steps in the negotiation process and refine their skills in self-management, interpersonal communication, and collaborative problem solving. The case studies are based on real conflict situations in health sector reform and the simulation method provides a serious but lively opportunity to use the tools and practice the required skills. After the simulated meetings, participants critique their performance and apply lessons learned to their own work in policy reform.

Objectives

- ▶ Conduct the steps in preparing for and managing an effective interest-based negotiation meeting with an opposition party.
- ▶ Practice effective self-management and interpersonal communication skills for setting a constructive meeting climate, clarifying the issue under discussion, communicating interests/needs clearly, exploring the interests of the opposing party, and finding mutually-acceptable solutions.

Materials

- ▶ PowerPoint Slides 1-2
- ▶ Props or other materials requested by participants for use during the simulations.

Handouts

- ▶ 13-A: Small Group Assignment: Conflict Negotiation Simulation
- ▶ 13-B: Case Studies #1, 2, and 3

- ▶ 13-C: Negotiation Preparation Worksheet
- ▶ 13-D: Conflict Simulation Observer's Guide
- ▶ 13-E: PowerPoint Notes

Special Preparation

In this session, you will be setting up and running two concurrent negotiation simulations. You will need two break-out rooms large enough to accommodate approximately 12 people. The rooms should be arranged with a table and chairs for the two negotiating parties plus additional chairs around the perimeter for observers. You will also need another trainer to help you monitor one of the simulations while you monitor the other.

Read through the three conflict case studies (Handout 13-B) and select the two that are most appropriate or interesting for your group. Alternatively, you may create new case studies based on some of the conflict experiences that have been shared by group members during earlier sessions.

Read through all of the instructions carefully so that you can make any necessary adjustments and then introduce the task smoothly and clearly to the group.

Activities/Steps

I. Negotiation Simulation Assignment and Preparation (90 minutes)

1. Clarify the objectives for the session. Emphasize again that interest-based negotiation is a collaborative problem-solving process and that it is critical to focus on clarifying the issues at stake between the two parties and the interests of the respective parties before deciding on solutions.
2. Divide participants into four small groups—Group A, B, C, and D. Give Groups A and B one of the case studies you have pre-selected (i.e., give both groups the same case study); assign Group A to negotiate the conflict presented from the point of view of one set of key actors and assign Group B to the role of the opposition. Give Groups C and D the other pre-selected case study and repeat the role assignment.
3. Once the groupings, case studies and roles have been announced, give the teams their task. Emphasize that this is a practice exercise and that you do not expect them to get through all the steps in the meeting process. Point out that complex negotiations usually take several meetings and often involve different sets of negotiators.

Trainer Note: This arrangement is based on a maximum of 25 participants divided into four groups with 4-5 people in each group. Groups A and B will participate in a conflict negotiation simulation in one room while groups C and D hold their simulation in another room. If your workshop is larger, divide participants into six small groups and run three concurrent simulations. This larger number will require a third trainer to monitor the additional simulation.

Small Group Assignment: Conflict Negotiation Simulation

You and your team members have been assigned a case study and the role of one of the two disputing parties in the situation. As a team, you will prepare for and participate in a conflict negotiation meeting with the opposing party. The meeting will last 20–25 minutes with the goal of defining the issue, discussing interests and proposing 2-3 options for consideration. To prepare for the meeting, here are your tasks:

- Read the case study and ask the trainers for any clarifications you may need.
- During your preparation, do not confer with the “opposing” parties involved in your case study.
- Select one or two people from your team who will represent your side at the negotiation table. The rest of the team will assist in the preparation phase and then observe during the actual meeting.
- Use the Negotiation Preparation Worksheet to a) define the issue as you understand it (write it down in the provided space on the worksheet), b) identify and list your interests and those you anticipate for the opposing party, and c) note possible solutions that would be acceptable to you.
- Review the steps for managing the negotiation meeting and try to follow them during the simulation. (See pages 4-17 to 4-25 in your Toolkit.)

Time for Prep: 1 hour

Negotiation Meeting Room: _____

II. Negotiation Simulations

2+ hours (approximately); 20 minutes to set-up; 30 minutes to run the simulation; 30 minutes to process and give feedback; 10 minutes to reassemble; 30-40 minutes final debrief in plenary group.

1. Have the teams assemble in the designated meeting rooms. Refer participants to Handout 13-D, Conflict Simulation Observer’s Guide, and explain how the simulation will be run:
 - ▷ The negotiators will sit down at the table and conduct their meeting.
 - ▷ The rest of the participants will watch the action and use the Observer’s Guide to jot down notes (effective communication behaviors, missed opportunities, etc.)
 - ▷ After the simulation, the group will discuss how the meeting went and offer suggestions for how to improve the process and outcomes.

Review the questions on the Observer’s Guide and make clarifications as needed. Remind the group about the guidelines for giving effective feedback. (You may want to re-display Slide 10, “How to Give Constructive Feedback” from Session 12.)

2. Have the teams do the simulation. Let the action run for approximately 25–30 minutes. If the negotiators get stuck at some point during the process, stop the action and make a suggestion that might help them more forward. Another option is to stop the action and allow the negotiators to “huddle” with their teammates to adjust strategy. After the intervention, allow the simulation to

proceed without further interruption. Give the negotiating parties a 5 minute warning to wrap-up/get closure on their meeting. At the close of the action, thank them for their performance.

3. Afterwards, facilitate a feedback session using the questions on the Observation Sheet as a loose guide. Use this sequence for the feedback discussion:
 - ▷ Debrief the negotiation “team” (i.e., the people at the negotiation table): How successful was the negotiation in relation to what you had envisioned? How well do you think you anticipated the interests of the other party? Examples? What emotions were you feeling during the meeting? What might you change about your behavior/approach?
 - ▷ Ask for feedback from the “observers.” Encourage the group to offer specific examples of effective communication skills and discuss the overall management of the meeting. (How well did the parties define the goal and main issues of the meeting? How did each party try to learn about the interests of the other party? Etc.) Strive for a balance between positive commentary and constructive criticism.
 - ▷ Discuss the observations and solicit suggestions for how key actors might have improved the negotiation process. (What are other strategies/tactics you could offer to the negotiating parties? Etc.)
4. Reassemble the larger group and de-brief the experience using these questions:
 - ▷ **What were the key “lessons learned” from the simulation and group feedback?** Probing questions: What is your reaction to the focus on interests rather than positions? What communication skills seem particularly essential for the kinds of conflict situations you confront? What are some key challenges in self-management? What was a key lesson learned or insight gained from the feedback after the meeting simulation.)
 - ▷ **How will you apply these negotiation and communication tools to you own work in policy reform?**

As appropriate, add these points about the interest-based negotiation approach:

- ▷ It has the potential to result in more creative solutions than does a straight compromise approach.
 - ▷ It is a more proactive/less reactive approach—it may seem like you are giving up control, but you actually gain control by going into the meeting with a thoughtful analysis of your own investment in the situation and a greater understanding of your opposition.
 - ▷ The pre-meeting preparation and the step-by-step process will help you maintain control over your emotions during the meetings; your ability to “self-regulate” will likely influence the other party positively.
 - ▷ Interest-based negotiation will help preserve important relationships in spite of differences.
5. Close the session with a summary statement about the results that can be expected from effective negotiation and, conversely, what happens when negotiation does not happen or is handled poorly. Use Slides 1 and 2 and mention these key points:

Conflict and differences occur as a natural and inevitable part of your work as a change agent in the health sector. If these differences are denied, avoided, or compromised away rather than dealt with openly and constructively, they can:



**Without
Negotiation**

- ▷ Divert energy from important activities and issues
- ▷ Destroy morale
- ▷ Polarize groups and individuals to the point that future cooperation or collaboration is impossible
- ▷ Produce irresponsible and regrettable behavior such as name calling and aggression
- ▷ Damage or destroy working relationships.

If, on the other hand, you apply careful, thoughtful self-preparation and use the processes outlined in these guidelines, you will be more likely to experience the following constructive outcomes:



**With
Negotiation**

- ▷ Important issues are brought to the surface and clarified.
- ▷ Creative, improved solutions are found.
- ▷ Reach agreements/solutions that are mutually acceptable and address the interests of both parties.
- ▷ Working relationships are strengthened as both parties honestly and respectfully negotiate their differences.

Handout 13-A

Small Group Assignment: Conflict Negotiation Simulation

You and your team members have been assigned a case study and the role of one of the two disputing parties in the situation. As a team, you will prepare for and participate in a conflict negotiation meeting with the opposing party. The meeting will last 25–30 minutes with the goal of defining the issue, discussing interests and proposing 2-3 options for consideration. To prepare for the meeting, here are your tasks:

- Read the case study and ask the trainers for any clarifications you may need.
- During your prep, do not confer with the “opposition” parties involved in your scenario.
- Select one or two people from your team who will represent your side at the negotiation table. The rest of the team will assist in the prep phase and then observe during the actual meeting.
- Use the Negotiation Preparation Worksheet to identify your interests and those of the opposing party; also consider possible solutions that would be acceptable to you.
- Review the steps for managing the negotiation meeting and try to follow them during the simulation. (See pages 4-17 to 4-25 in your Toolkit.)

Time for Prep: 1 hour

Negotiation Meeting Room: _____

Handout 13-B

Conflict Negotiation Case Studies

Situation #1

Monday

A technical team from the Ministry of Health has been working for a year on developing a very important health reform policy for the country – changing the budgetary system from historical-based to production-based. This “resource allocation based on production” reform will serve to increase the efficiency of the services provided by the ministry, thereby bringing them up to par with the private sector and extending ministry resources to better serve the population.

The team is very satisfied with their budgetary system design, and they are eager to begin implementation immediately. To this end, they are submitting the completed technical plan to the ministry authorities today for approval and for official announcement of the policy. Official approval is expected quickly because the team has worked diligently during the design process to promote the idea to ministry authorities. In fact, their ministry contacts have promised an official policy announcement as early as tomorrow! At five in the afternoon, the team leaves the ministry happy, with visions of how they will implement this wonderful new system.

Tuesday

The Ministry of Health announces the policy of resource allocation based on production. Although the significance of the policy change was not explained well, the Medical Association is quick to note that labor conditions will certainly change for doctors, requiring them to work more for the same amount of money and with the same poor public health facilities. They clearly see that the new policy will make their daily work more difficult without providing them additional benefits. Although they have not been involved in, nor informed of the development of the policy, they are aware that the ministry has been working on the plan for quite a while. In a few short hours, the Association leaders are prepared to fight the policy. Specifically, they have scheduled press conferences and meetings with other labor organizations for this same day.

Wednesday

The Ministry of Health is not too surprised to see the Medical Association’s editorial published in the morning edition of the newspaper. The editorial declares that the Association opposes the policy and is

discussing a national strike of unions, nurses, and other stakeholders who may be persuaded to join their alliance in such an important battle.

In response, the Minister calls together his Vice-Ministers, informing them that, as usual, the medical association and unions are making trouble because they are “difficult” people. The Minister concludes that their only option is to retract the policy because now is not the time to have a national strike—movement on the reform will have to wait for a better time. One of the Vice-Ministers suggests that, before retracting the policy, they should try negotiating directly with the Medical Association. She has some experience in using negotiation to resolve labor disputes and other types of conflict, and believes it might work in this case. After listening carefully to her proposal, the Minister decides to authorize her to go to the negotiating table to deal with the Medical Association leaders.

Thursday

The Vice-Minister and the President of the Medical Association meet to discuss the policy of resource allocation based on production.

Situation #2

The Ministry of Health has undergone a process of de-concentration, giving regional directors decision-making authority over: 1) hiring and managing personnel; 2) purchasing supplies and equipment; and 3) the use of health facilities and the funds generated by each facility. With this new power, regional directors must assume new responsibilities with respect to applying the national policies of the Ministry of Health. The most important policies are increasing personnel productivity and emphasizing preventive health care.

In trying to implement these policies, the Director of Region #1 must face his first big challenge – the work performance of the doctors in the regional hospital, which, according to the hospital director, has the following major problems:

- 1) Doctors don't spend the required amount of time in the hospitals;
- 2) They are not treating the number of patients that they should be; and
- 3) They refuse to carry out their functions in education and promotion.

Until now, no one has complained to the doctors about fulfilling their contractual requirements in large part because they belong to a Medical Association that is very strong at both the national and regional levels and can generate a great deal of trouble for the ministry. Now, however, the regional directors have the option of firing non-compliant personnel in public hospitals – a power they've never had before. At the same time, the Region #1 Director knows that demanding more from the doctors in his hospital than what is being required in other public hospitals would make it more difficult to replace fired doctors. Therefore, for him, it makes more sense to try to negotiate with the doctors. Knowing that the hospital and area directors support his position of trying to make the doctors fulfill their contracts, he invites them to be part of his negotiation team.

From their perspective, the doctors believe they are providing quality services for little money and under difficult conditions (i.e., without sufficient supplies and equipment). Given these circumstances, they believe that the ministry must accept their "custom" of leaving the hospital early to go to their private practices. In addition, given their low salary, they don't believe that adding education duties to their clinical workload is fair, especially when nurses or health promoters can do this in the waiting room or elsewhere. The doctors know they have a strong position with the support of the national and regional association, but at the same time they do value their service to public health and need their hospital salaries to help establish and maintain their private practices. Because they don't want to lose their jobs, nor do they wish to strike, they accept the invitation of the Region #1 Director to negotiate.

For the purpose of the negotiation, the doctors form a team that includes the national and regional presidents of the Medical Association and a well-respected doctor from the regional hospital.

Situation #3

The Ministry of Health, which for years has been subsidizing NGOs for health care service provision, is beginning a modernization process with an emphasis on the role of the MOH as governor of the health sector and rationalization of its resources. As part of implementing these policies, the MOH has decided to change the way it associates with NGOs. It has begun to design and implement results-based contracts to guide contracting with NGOs for provision of specific services to the MOH.

The NGOs believe that the existing subsidy arrangement allows them greater flexibility to respond to the needs of their constituents; they are concerned that results-based contracting could force them to compromise some degree of their organizational mission in order to meet the needs of the MOH. Furthermore, the new contracts will require them to spend more time and money (scarce resources already) on monitoring and reporting to the MOH. Finally, they are worried that the MOH will not be capable of governing and directing the sector, since it has not demonstrated effective leadership in the past.

Although the NGOs are not happy with this idea of contracting for services, they need the financial support of the MOH to be able to continue providing services to their target populations. From its perspective, the MOH needs NGOs to provide services to the disadvantaged and marginal sectors of the populations. Therefore, both parties agree to meet to discuss the issue of contracting and reach agreement on how to continue their partnership to provide health care services to those in need.

Handout 13-C

Negotiation Preparation Worksheet

(1) Issue:

(2) My Interests

(3) Relative Importance

(5) Possible Options for Mutual Gain

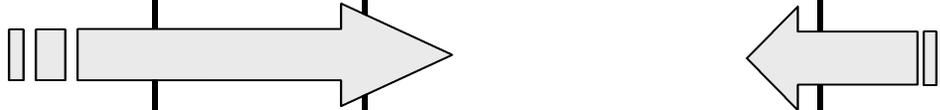
(4) Their Interests

*Ask yourself: "What do I care about?"
"Why?" and "For what purpose?"*

Assign a weight of 0-100%

List ways to meet interests on both sides

*Ask yourself: "What might they care or worry about?"
"Why," and "For what purpose?"*



Handout 13-D

Conflict Simulation Observer's Guide

1. How prepared were the parties to enter and participate in the negotiation meeting? (Give examples to support.)
2. How clear were the parties on the issue(s) or problem(s) at stake in the negotiation?
3. How well did each side express their interests? To what extent did each party focus on and attempt to learn about the other party's interests? (Give examples to support.)
4. To what extent did the negotiators explore mutually acceptable options or solutions? (Cite examples.)

5. What self-management and interpersonal communication skills did the negotiators employ?

- ▷ Active Listening

- ▷ Effective use of questions to understand the opposing party's interests

- ▷ De-escalating tension/controlling emotions

- ▷ Giving appropriate feedback

- ▷ Other

6. Overall, how successful were the two parties in negotiating a mutually acceptable solution to their conflict?

Handout 13-E

PowerPoint Notes

Without negotiation:

- ▲ Divert energy from important activities and issues
- ▲ Destroy morale
- ▲ Polarize groups and individuals to the extent that future cooperation or collaboration becomes impossible
- ▲ Cause irresponsible and regrettable behavior
- ▲ Damage or destroy working relationships



With negotiation:

- ▲ Important issues are brought to the surface and clarified
- ▲ Creative, improved solutions are found
- ▲ Achieve mutually acceptable agreements that satisfy your and your counterpart's interests
- ▲ Working relationships are strengthened as both parties honestly and respectfully negotiate their differences



Section 5

Wrap-up and Evaluation

Session 14: Final Summary of Toolkit and Action
Planning

Workshop Evaluation

Wrap-up Session and Evaluation

Table of Contents

Sesión 14: Final Summary of Toolkit and Action Planning	5-5
Overview	5-5
Objectives	5-5
Materials	5-5
Handouts	5-5
Activities/Steps	5-6
I. Summary of Tools	5-6
II. Action Planning	5-6
Handout 14-A	5-7
Workshop Evaluation: Managing the Political Process: A Critical Challenge for Health Sector Reform	5-9

Final Summary of Toolkit and Action Planning

Time: Approximately 2 hours

Overview

As with all intensive skill-building workshops, participants need an opportunity to think practically about how they will apply what they have learned in the workshop to their real situations back home. In the first part of this action planning session, participants summarize their perceptions regarding the potential usefulness of each of the three tools. Afterwards, they work individually or in country teams to reflect on their future roles as policy champions and to identify tangible steps they want to take to begin applying the tools, skills and strategic approaches learned here during the week.

Objectives

- ▶ Summarize the potential usefulness of each of the three tools in health sector reform.
- ▶ Make a plan for how you will apply the knowledge, skills, and tools learned in this workshop to your work as policy manager in health sector reform.

Materials

- ▶ 3 Flipcharts with headers and discussion questions (see Step II. 2)

Handouts

- ▶ 14-A: Action Planning Form (modified as appropriate)

Activities/Steps

I. Summary of Tools (30-40 minutes)

1. Introduce the session objectives.
2. Place three flipcharts around the room and title each with the name of one of the tools. Ask participants to select one of the tools and to stand next to the respective flipchart. Once participants have divided into three groupings, have them address these questions (written on each of the flipcharts):
 - ▷ What are the potential uses/applications for this tool?
 - ▷ What are the main concerns you would have about using this tool in a health reform context?
 - ▷ What would you recommend to other policy managers about using this tool?
3. Have each group offer their summary remarks. Add any significant points you think are missing, but take care to keep it mostly their summary. Suggest to participants that they keep these final ideas in mind as they complete their action plans in the next half of the session.

II. Action Planning (approximately 90 minutes)

1. Refer participants to the Action Planning Form (Handout 14-A) and explain the assignment as follows:

Task: Action Planning

Working individually or in country teams, reflect on how you want to take what you have learned here and use it in your policy work back home. First think about the overall role you want to play in managing the policy process, then identify any specific ways you want to use the strategic management tools and skills from this workshop in your reform work.

1. What do you want your role to be in managing the policy process?
2. What specific actions do you want to take to apply the tools and skills from this workshop to health sector reform in your country or province?

Task time: 45 minutes

2. After about 40 minutes, give a five-minute warning to everyone. When the time is up, have them bring their plans to the large group.
3. Ask each person or team to share one or two ideas from their plans with their colleagues.
4. End the session by asking the group to suggest ways they may continue to stay in touch and build the network they have started together here over the course of the week. Thank everyone for the insights, expertise, and energy they brought to the workshop.

Managing the Political Process: A Critical Challenge for Health Sector Reform

The following evaluation form should be used at the end of the workshop to measure participants' satisfaction with the sessions in terms of relevance of content, effectiveness of methodology and facilitation, usefulness of materials, quality of logistical coordination, and so forth. This sort of evaluation measures only participants' reactions to the workshop week, not their knowledge and skill enhancement nor their application of the policy tools in future work. After approximately five to six months, conduct follow-up interviews with participants to ascertain how they have actually used the planning processes, tools, and ideas from the workshop to enhance their health sector reform work.

Workshop Evaluation

Please evaluate the workshop by giving us your candid responses to the questions on this form. Use the following scale for Question # 1 and Question #7:

- 5 Excellent
- 4 Good
- 3 Satisfactory
- 2 Less satisfactory
- 1 Poor

1. Please rate the following workshop activities.

a) Introduction to the Policy Process

_____ relevance to your work

_____ methodology (presentations, small group exercises, plenary discusiones, etc.)

_____ materials (Toolkit guidelines, worksheets, case studies, etc.)

Comments:

b) Stakeholder Analysis

_____ relevance to your work

_____ methodology (presentations, small group exercises, plenary discusiones, etc.)

_____ materials (Toolkit guidelines, worksheets, case studies, etc.)

Comments:

c) Developing an Advocacy Strategy

_____ relevance to your work

_____ methodology (presentations, small group exercises, plenary discusiones, etc.)

_____ materials (Toolkit guidelines, worksheets, case studies, etc.)

Comments:

d) Conflict Negotiation

_____ relevance to your work

_____ methodology (presentations, small group exercises, plenary discusiones, etc.)

_____ materials (Toolkit guidelines, worksheets, case studies, etc.)

Comments:

2. Considering all of the themes and activities of the week, which ones have been most relevant and useful to you?

3. Since we will be offering this workshop to other groups in the future, how might we improve it the next time?

The Latin America and Caribbean Regional Health Sector Reform Initiative is a joint effort of the following organizations:



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