

Performance Monitoring Tool for
the National Expanded Program
on Immunization

PHASE 1

Annex 2:

**Roles and
responsibilities for the
implementation of
Performance Monitoring
Tool for EPI teams**

PAHO



Pan American
Health
Organization



World Health
Organization
regional office for the Americas



In partnership with

Canada

Performance Management Tool for National EPI teams in the Latin American and Caribbean Region

Annex 2. Roles and responsibilities for the implementation of Performance Monitoring Tool for EPI teams

INSTRUCTIONS

This document presents recommendations for the roles and responsibilities of the two teams in charge of this self-assessment:

1. National Coordination Team (NCT)
2. Regional Coordination Team (RCT)

Responsibilities have been divided across the three phases:

1. Preparation
2. Implementation
3. Follow-ups

These may be adapted to the context of each country to achieve greater efficiency.

Table 1: Overview of roles and responsibilities

Role	Responsibility
National Coordination Team (NCT): Made up of representatives of the Ministries of Health and the national EPI, CIM Focal Point of the Country Office, PAHO consultant.	<ul style="list-style-type: none">• Identify, document, collect, order and analyze the information for the desk review and prepare the situation analysis report• Organize interviews with key informants to gather data for the desk review• Adapt the tool to the country context

	<ul style="list-style-type: none"> • Coordinate the logistical aspects of the national level self-assessment workshops • Coordinate the logistical aspects of the subnational level visits for the self-assessment • Coordinate the logistical aspects for the health facility visits • Ensure all scores and notes from the self-assessment at different levels are consolidated in one main master file to enable data visualization • Lead the development of the Final Report and the Action Plan. <p>Daily leadership: Representative assigned by the Ministry of Health.</p>
<p>Regional Coordination Team (RCT): CIM regional advisors, international consultants.</p>	<ul style="list-style-type: none"> • Provide technical, financial, and logistical support to the NCT in the different phases of application of the protocol. • Provide guidance on the implementation of the desk review, adaptation of the tool, implementation of the self-assessment at national and subnational level and development of the final report and action plan. • Coordinate the support of the CIM regional advisors responsible for each component of the EPI, in the preparation of the national level workshops • Coordinate with the NCT and international consultant to organize and support the self-assessment for each component

	<ul style="list-style-type: none">• Support the NCT to prepare the final report, incorporating the recommendations for decision makers and immunization officers at different levels of the EPI and PAHO/WHO at the regional level• Provide technical guidance in the developing the action plan regarding medium and short-term actions• Coordinate with the regional evaluators of PAHO/WHO to review the results of the self-assessment, the final report, and action plan• Represent PAHO/WHO as referents for the project with the national authorities, reporting on the protocol, schedule, status of progress, and ensuring the presentation of results and recommendations.• In common agreement with the national authorities, publish and disseminate the final report of the self-assessment
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Table 2: Checklist for activities to be done by NCT in phase 1,2,3:

PHASE 1 – PREPARATION

Activity	Done (Yes / No)	Observation
1. Preparation of the situation analysis report of the national EPI		
1.1 Manage access to and collection of information		
1.2 Systematize, order, and document the electronic and physical information to prepare the situation analysis report (See Annex 3)		
1.3 Develop the situation analysis report. (See Annex 4a)		
1.4 Update the situation analysis presentation (See Annex 4b)		
2. Participate in the analysis and presentation of the report		
<p>2.1 Review and discuss the report within the National Coordination Team for validation paying special attention to:</p> <ul style="list-style-type: none"> ● Completeness, synthesis, documentary support ● Strengths and challenges of the EPI, routine vaccination, and COVID-19 vaccination ● Identify the components of routine vaccination and COVID-19 vaccination that present the greatest challenges ● Identify the Provinces/Departments/States to be included in the EPI Performance Monitoring. (See Annex 7) 		

Activity	Done (Yes / No)	Observation
2.2 Share the Preliminary Report and the folder with the main supporting documents to the Regional Coordination Team (RCT), prior to Phase II, to assess the completeness, clarity and existence of documentation that supports the information that supports the report and identify points in the report that warrant further review during the application of the self-assessment Tool.		
2.3 Share the Preliminary Report with the authorities of the national EPI and PWR of the country PAHO Office before Phase II.		
3. Adapt the tool to country context		
3.1 Adapt the tool to the country's context for use in the workshop and self-assessment (e.g., N/A questions, terminology, name of documents, EPI structure, etc.) See Annex 5.		

PHASE 2a – IMPLEMENTATION AT THE SUB-NATIONAL LEVEL

Activity	Done (Yes / No)	Observation
4. Plan the sub-national level self assessment		
4.1 Select three sub-national areas where the self-assessment can be conducted (ideally: high risk, medium risk, low risk) (See Annex 7) <i>It is at the national levels discretion to determine how many sub-national levels to conduct the self-assessment in</i>		

4.2 Select three health facilities (ideally: high, medium and low performing) in each sub-national area for the field visit		
4.3 Coordinate with the EPI officers of the three sub-national areas to gauge willingness to receive the field visits <i>(It is at the sub-national level's discretion to determine how many health facilities can be visited in their area)</i>		
4.4 Finalize dates of the field visits		
4.5 Identify and train 5-6 EPI team members from the national level to travel to the sub-national level to support the implementation of the assessment		
5. Logistics preparation		
5.1 With support from the Department/Province/State levels, identify the EPI subnational team members (EPI technical officers from selected municipal districts, and health establishments) and other sectors involved -Arrange initial meeting -Request confirmation of assistance		
5.2 Define a proper location where the self-assessment will be conducted. Include all necessary equipment, tables, chairs, and IT support		
5.3 Establish the agenda for the self-assessment sessions, including components #2 to #13 Note: Includes 67 questions specific for the subnational level – estimate 2 days for the		

assessment of each Department/Province/State selected		
5.4 Prepare one question per slide based on the supporting tool materials (see Annex 14) for all questions covered within components #2 to #13		
5.5 Share logistics details about the self-assessment and the persons to be invited to complete the self-assessment at the sub-national level. (List of logistics included later on this page " Logistics Tasks Checklist ")		
5.6 Travel to the sub-national level to support the self-assessment		
6. Conduct the sub-national level assessment		
6.1 According to the scheduled agenda develop the self-assessment session, review components #2-13 with sub-national level participants. Facilitate the session: <ul style="list-style-type: none"> - Record attendance. - Introduce the Workshop Facilitation Group and participants. Present the Performance Monitoring Tool, purpose and application methodology (maturity scale, data-driven discussion, identify bottlenecks, determine responsibilities and actions needed to move up the maturity scale).		
6.2 Use of self-assessment questionnaires: <ul style="list-style-type: none"> - Present and read questions and maturity scale options on the PPT. 		

<ul style="list-style-type: none"> - Clarify terms using the glossary - Answer questions or confusion about questions or maturity scale with the support of the ECR - Give the floor to face-to-face and online participants for discussion - Guide discussion of each question: - Promote objective discussions based on concrete information. - Consult or display reports/documents/data policy guidelines to support discussion - Guide analysis: Identify obstacles, solutions, implementers, timelines. - Reach consensus through a vote to determine the final score for each question on the performance scale. 		
7. Conduct the self-assessment at selected health facilities		
7.1 Conduct field visit to health facilities to self-assess component 14		
<p>7.2 Inform the person in charge of the health facility about the visit and request logistical support (physical space, agenda).</p> <ul style="list-style-type: none"> - Identify the local EPI team and inform the monitoring objective and methodology for tool management. - Identify the local EPI team and inform the monitoring objective and methodology for tool management. - Prepare a space to develop the application of the self-evaluation, tables, 		

<p>chairs and logistical support for the projection of presentations.</p> <p>- Use the PowerPoint with the questions in component #14 of the Excel version of the tool, with one question per slide (See Annex 14).</p>		
<p>7.3 Develop the self-assessment session, make a presentation of monitoring objectives and methodology for tool management.</p> <p>Explain: maturity scale, data-driven discussion, identify bottlenecks, determine actions and responsibilities needed to move up the maturity scale.</p>		
<p>7.4 Application of the self-assessment:</p> <p>Presentation and reading of questions and maturity scale options on the PPT:</p> <ul style="list-style-type: none"> - Clarify terms using the glossary - Answer doubts about the questions or maturity scale with the support of the RCT. - Give the floor to participants - Guide discussion of each question: <ul style="list-style-type: none"> o Promote objective discussions based on concrete information. o Consult or show reports/documents/data policy guidelines to support the discussion o Guide analysis: Identify barriers, solutions, 		

implementers, priorities and timelines		
7.5 Reach consensus by voting to determine the final score for each question on the performance scale.		
7.6 Conduct an observation tour of the health facility to complement the answers to the questions at the local level.		
7.7 After completing the assessment(s) at the subnational and local level, compile the scores for each question into a single Excel version of the tool. These results will be used to inform the national level self-assessment.		

Logistics Tasks Checklist for the sub-national level

Task	Done (Yes / No)	Observations
<ul style="list-style-type: none"> • Letters to the health authorities at the subnational level, communicating that the province in charge has been selected, as well as the municipalities that will be part of the Monitoring, the dates of the evaluators' visits, with the key actors defined in Annex 9A. 		
<ul style="list-style-type: none"> • List of evaluators who will travel to the subnational level with: <ul style="list-style-type: none"> – ID card number (for hotel purposes and for emergency contact list), – cell phone number, – department and/or municipalities to be visited, 		

<ul style="list-style-type: none"> - itineraries of inbound and outbound flights - itineraries for the different routes or ground transportation to be used. 		
<ul style="list-style-type: none"> • List of medical contacts, with cell phone number for emergency management in the municipalities to be visited. 		
<ul style="list-style-type: none"> • Schedule of visits, routes and list of participants involved in the assessment at the subnational level. 		
<ul style="list-style-type: none"> • Basic information sheet for international evaluators with the following information about the municipalities to be visited: climate, use of credit cards, acceptance of dollars for bill payment, air or ground transportation, hotel reservations, restaurants near the hotel, etc. 		
Deployment of national participants outside headquarters		
<ul style="list-style-type: none"> • Per diem payments issued for delivery on the first day of monitoring activities. 		
<ul style="list-style-type: none"> • Purchase of tickets for evaluators traveling to the subnational level. 		
<ul style="list-style-type: none"> • Vehicles available with fuel and driver, permanently assigned to the monitoring team and with established routes, at the national and sub-national levels. 		
Materials / Information to give to participants		
<ul style="list-style-type: none"> • Prepare kits for evaluators with: <ul style="list-style-type: none"> - Work agenda for application of the EPI Monitoring Tool 		

<ul style="list-style-type: none"> - Folders with the following information: <ul style="list-style-type: none"> o National EPI status report o List of departments, municipalities and services with their respective complexity to be visited. o List of useful telephone numbers, including those of the members of the self-assessment team and emergency telephone numbers. <p>USB flash drives, pencils, erasers, notebooks, notebook board, manila envelopes for questionnaires, paper clips, highlighter, identification cards.</p>		
Human resources (excluding evaluators)		
<ul style="list-style-type: none"> • Management support for: <ul style="list-style-type: none"> - Drivers of vehicles, assigned exclusively for conducting self-assessment. - Photographer and videographer to document the experience of the key moments of the self-assessment (optional). 		

PHASE 2b – IMPLEMENTATION AT THE NATIONAL LEVEL

8. Plan the national level self-assessment workshops		
<p>8.1 Prepare logistics for the national level self-assessment which will be conducted as different workshops</p> <p>(List of logistics included later on this page “Logistics Tasks Checklist”)</p>		
<p>8.2 Identify and select participants according to:</p> <ul style="list-style-type: none"> ● Management levels according to their functions in the EPI: strategic, managerial and operational, ● The scopes of performance: National Level, Subnational Level (Provinces / Departments / States and local (Municipal, District and Health Establishments) ● Health services and other sectors involved. <p>A comprehensive list of participants by management levels and performance components is included to facilitate the identification and selection of participants.</p> <p>See Annex 9a and Annex 9b</p>		
<p>8.3 Organize the groups of participants, according to the components of the EPI</p>		
<p>8.4 Prepare the meeting agenda (see Annex 10)</p>		
<p>8.5 Support the budget preparation for the development of integrated review activities in the country (see Annex 6)</p>		

8.6 Prepare and send the official invitations to the participants according to the meeting agenda		
8.7 Support the preparation of physical and/or electronic folders with the materials and documents to be used during the self-assessment, reproduce and distribute materials and supplies.		
9. Prepare for the national level self-assessment workshops		
<p>9.1 Select work areas (rooms) and manage the logistics for the development of the workshops:</p> <ul style="list-style-type: none"> • Face-to-face sessions: management of rooms, furniture, screens, sound, computer, printed materials, etc. • Coordination of online sessions with Zoom/Teams administrators, advance dissemination of schedules, session linking, confirmation of virtual participants (i.e. CIM advisors from the PAHO Regional Office), sound checks, etc. 		
<p>9.2 Divide roles between the NCT for the workshops and form workshop facilitation teams (See Annex II)</p> <p>For each group of facilitators:</p> <ul style="list-style-type: none"> • 1 moderator (to organize the workshop and guide the discussion of each question, guide the debriefing discussion with the workshop facilitation team) • 2 note-takers or <i>rappoteurs</i> (to update the online Excel version of the tool with the scoring and discussion around each question) 		

<ul style="list-style-type: none"> • 1 data support manager (To assist in displaying reports/documents relevant to each question) • 1 time manager (to manage the presentation (flipping through the slides) and track the time spent on each question for efficient time management of the session (recommended: maximum 15 minutes per question) • 1 person to provide support for virtual participants (promote involvement of virtual participants in the discussion) 		
<p>9.3 Add all questions from the excel version of the tool to a PowerPoint presentation (one question per slide with its assigned maturity level) (See Annex 14)</p>		
<p>9.4 Conduct a simulation activity / role-playing activity before the workshop to ensure everyone is empowered to execute their roles (See Annex 11)</p>		
10. Conduct the national level self assessment workshops		
<p>10.1 Conduct the opening ceremony for the workshops (See Annex 10)</p> <p>Placement of the groups in the corresponding rooms according to the established agenda</p>		
<p>10.2 Facilitate and conduct the planned workshops (See Annex 11):</p> <ul style="list-style-type: none"> • Registration • Introductory round of the workshop facilitation group and participants, • Present the overview of the status of the EPI component to be monitored. 		

<ul style="list-style-type: none"> • Discuss the gold standard of the EPI component to be monitored. • Present the Performance Monitoring Tool, purpose and application methodology (maturity scale, data-driven discussion, identify bottlenecks, determine responsibilities and actions needed to move up the maturity scale). 		
<p>10.3 Completion of the self-assessment:</p> <ul style="list-style-type: none"> • Presentation and reading of questions and maturity scale options on the PPT. • Clarify terms using the glossary • Clarify doubts about questions or maturity scale with the support of the RCT. • Give the floor to face-to-face and online participants for discussion. • Guide discussion of each question: • Promote objective discussions based on concrete information. • Consult or display reports/documents/data policy guidelines to support discussion • Reach consensus by voting to determine the final score for each question on the performance scale. 		
<p>10.4 Conduct a debriefing session at the end of each day with all workshop facilitation teams:</p> <ul style="list-style-type: none"> • General questions on session development • Non-attendance and causes of non-attendance by participants, actions to ensure attendance • Perception of richness of discussion questions 		

<ul style="list-style-type: none"> • Identification of obstacles and solutions • All participants have a say in the scoring except ECR. • Workshop notes were taken • Consolidate notes from each workshop into one online unit • Consolidate all action item notes for closing ceremony 		
<p>10.5 Host a closing ceremony for the self-assessment and review key action points and reiterate impact of this work (See Annex 10)</p>		
11. Finalize scores		
<p>11.1 Ensure all scores from different assessments are compiled into one master file so the scores are not spread out across different excel files. This will also enable more effective data visualization.</p>		
<p>11.2 Finalize scores for each component using only the national level scores.</p> <ul style="list-style-type: none"> • It should be based on the discussion results of the national workshops considering the subnational level scores. • For countries where national level assessment happens before the sub-national assessment, finalize scores for each question after reviewing sub-national scores first. • - If there is a major discrepancy between the two, discuss the final national level score with NCT and include this insight in the final report). 		

Logistics Tasks Checklist for the national level

Task	Done (Yes / No)	Observations
<ul style="list-style-type: none"> • Prepare the agenda for the work week, including specific agendas for the first two days and for the closing of the evaluation. 		
Logistics for national level assessment		
<ul style="list-style-type: none"> • Prepare letters of invitation and agenda for national participants, requesting their assistance and collaboration, communicating logistical support and travel and per diem expenses paid by PAHO. • Confirm the participation of each participant It is important to verify that the participants have received the invitation and that they have the authorization of their bosses to be able to issue per diem and ticket checks. 		
<ul style="list-style-type: none"> • Letters of invitation to key people to the opening session of the EPI Performance Monitoring activities, signed by the Minister of Health. 		
<ul style="list-style-type: none"> • Reservation of rooms for evaluators and participants who require it <ul style="list-style-type: none"> - In the capital of the country for international evaluators and national participants who travel from other provinces. 		

<ul style="list-style-type: none"> - In the geographical areas to which they will travel, for the entire evaluation team. - Meals for the members of the evaluation team, on working days in the plenary room. 		
Deployment of national participants from outside the headquarters		
<ul style="list-style-type: none"> • Purchase of tickets for national evaluators traveling to the national level. 		
<ul style="list-style-type: none"> • Per diem payments issued to deliver on the first day of evaluation. 		
Materials / Information to give to participants		
<ul style="list-style-type: none"> • Prepare the kits for the evaluators with: <ul style="list-style-type: none"> - Work agenda for the day of application of the Evaluation Tool - Folders with the following information, ordered with: <ul style="list-style-type: none"> - Country situation analysis report - Electronic document of the Protocol "Continuous Improvement of Immunization Programs in the Latin American and Caribbean Region: Immunization Program Performance Monitoring" - Physical and electronic copies of the Continuous Improvement of Immunization Programs in the Latin American and Caribbean Region: 		

<p>Immunization Program Performance Monitoring</p> <ul style="list-style-type: none"> - List of Departments, municipalities and services with respective complexity, of the municipalities to be visited. • list of useful telephone numbers, including those of the evaluation team members and emergency telephone numbers • USB sticks, pencils, erasers, notebooks, notebook board, manila envelopes for questionnaires, clips, highlighter, identification badges. 		
<ul style="list-style-type: none"> • Availability of cell phones with balance for each international member of the evaluation team. 		
Human resources not including evaluators		
<ul style="list-style-type: none"> • Management support for: • Administrative support, in the PAHO representation of the country, for the logistics of the evaluation. • Full-time and exclusive dedication secretarial support at the capital's headquarters hotel. • Drivers for the vehicles, assigned exclusively for the implementation of the evaluation. • Photographer and videographer to document the experience of the key moments of the evaluation (optional). • Master of ceremonies for the start of the Monitoring actions (optional). 		

PHASE 3- FOLLOW UP

<i>Activity</i>	<i>Done (Yes / No)</i>	<i>Observation</i>
12. Develop final report		
<p>12.1 Compile the scores for each component using only the national level scores.</p> <ul style="list-style-type: none"> • It should be based on the discussion results of the national workshops considering the sub-national level scores. • For countries where the national level assessment is conducted prior to the subnational assessment, finalize the scores for each question after first reviewing the subnational scores. • If there is a significant discrepancy between the two, discuss the final national-level score with ECN and include this information in the final report. • Review and validate the final score for each component. 		
12.2 Identify priority areas from the different components for the country		
12.3 Prepare a final report and PPT based on the ideas and notes from the workshops. (See Annex 16)		
12.4 Since finalizing the action plan may take a while, prioritize the identification of actions that can be implemented immediately		
12.5 Present the final report and immediate		

actions to be taken to the national authorities of the Ministry of Health/EPI and the PAHO Office of the country		
13. Develop action plan		
13.1 Develop an action plan with representatives of the MS, for priority areas using actions discussed in the workshops and according to the recommendations generated by the Regional Coordination Team (RCT) of CIM regional advisors and international consultants. (See Annex 17)		
13.2 Support the technical and logistical preparation of the Meeting to present the Action Plan to decision makers, partners, donors and other identified key actors, in order to agree on the proposals and establish commitments for the reactivation and strengthening of the evaluated components.		
14. Support the monitoring of agreements and commitments		
14.1 Apply mechanisms for monitoring and documenting progress in the implementation of the EPI continuous improvement action plan and prepare progress reports.		