

Performance Monitoring Tool for
the National Expanded Program
on Immunization

PHASE 2

Annex 8A:

**Guidelines for the
implementation
of self-assessment at
the subnational
sub-national level**

PAHO



In partnership with

Canada

Performance Monitoring Tool for the National Expanded Program on Immunization

Annex 8A. Guidelines for the implementation of self-assessment at the sub-national level

Objectives

Carry out the deployment of visits to the sub-national level to implement the self-assessment of EPI monitoring in the different components.

Support the National Coordination Team (NCT) in the preparation, conduct and implementation of the EPI self-assessment to ensure its proper implementation.

This document will provide guidelines for the following:

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1. Plan self-assessment activities at the subnational level

The monitoring tool for the subnational level comprises components #2 to #13 of the EPI, and component #14 for the local level.

- The self-assessment will be conducted at the subnational level in the pre-selected departments/provinces, states/; districts/municipalities, based on immunization indicators, surveillance indicators and other determinants discussed by the national teams.
- Questions at the local level will be assessed through field visits to selected health facilities.

Guidelines:

- Select three sub-national areas in which to conduct the self-assessment (ideally: one high risk, one medium risk and one low risk) (See [Annex 7](#)). It is at the discretion of the national level to determine how many Departments/ Provinces/ States; Districts/ Municipalities the self-assessment will be conducted.
- Select a total of three health facilities from each District/ Municipality: one health facility from a high-risk municipality, one from a medium risk municipality and one from a low-risk municipality for the field visit. (See. [Annex 7](#)). (It is at the discretion of the subnational level to determine how many health facilities can be visited in their area).
- Coordinate with EPI officers from the three subnational areas to assess readiness to receive field visits.
- Agree on dates for field visits.
- Identify and train 5-6 EPI, epidemiology or other area officers from the national level who will travel to the subnational level in support of the implementation of the self-assessment.

2. Logistics preparation

Logistical preparation consists of the process of planning and organizing all the elements necessary to efficiently carry out the administration of the self-assessment at the subnational level.

- Detailing the dates and timelines for deployment to the subnational level.
- Identify necessary resources such as personnel, materials, equipment, transportation, vehicle selection and routes.
- Plan travel time to ensure that established deadlines are met.
- Establish clear communication channels between all involved in the process, ensure that all participants are informed of their roles and responsibilities.
- Prepare all necessary documentation such as technical materials, permits, service contract.
- Identify potential drawbacks and have a contingency plan in place.

Guidelines:

- With support from authorities at the subnational level (Department/ Province/ State), identify, convene and confirm the members of the subnational EPI teams, (EPI officers from selected municipalities/districts/cantons) and other sectors involved in the program at this level, who will participate in the self-assessment.
- The invitation to participants should contain the following electronic documents so that participants can familiarize themselves with the task.
 - Presentation of the National Expanded Program on Immunization Monitoring Tool ([Annex 12](#)).
 - National EPI Situation Analysis Report.
- Manage a physical space for the application of the self-assessment, furniture (tables, chairs, sound) and logistical support for projection of presentations.
- Prepare the agenda for the meeting of components #2 to #13 (67 questions subnational level, consider 2 days for application by each Department/ Province/ State).
- Create a PPT presentation that includes each of the items/questions of each component of the monitoring tool (one item/question + its maturity scale per slide) (See [Annex 14](#))

3. Create a “Session Facilitation Team”

To ensure the smooth execution of the self-assessment, it is advisable to establish a “Session Facilitation Team” with designated roles prior to deployment to the field to oversee each session. It is recommended that this team include 5 to 6 people.

Table 1. Session facilitation team description

Role	#	Description
Moderator	1	<ul style="list-style-type: none">○ Organizes the session and ensures that the participants engage in a rich discussion for each question.○ Uses the questions provided in the Facilitator's Guide below (see Annex 11).○ Ensures that the discussion includes recommendations on maturity scale progress each time a rating is decided upon.
Rapporteur	2	<ul style="list-style-type: none">○ Updates the online Excel version of the tool.○ Records scores for each question and note discussion summary, bottlenecks/recommendations.
Time manager	1	<ul style="list-style-type: none">○ Manages the PowerPoint slides displaying the questions.○ Assists the moderator in ensuring that the discussion time for each question adheres to the defined time limit (recommended: maximum 10 minutes per question).

The moderator of each session should be part of the National Coordination Team (NCT); he/she will be supported by the consultant and the national CIM Team, and a member of the Regional Coordination Team (RCT) may provide support when required for guidance and technical support during the session. Other roles may be assumed by members outside the NCT.

The Session Facilitation Team will travel to each province, department or state chosen for application of the self-assessment.

4. Facilitator's guide for conducting the session

Materials needed for the moderator:

- Adapted version of the tool with notes to help lead the discussion, gold standard of EPI components, Moderator's Guide.

Operations:

- a. Begin with a round of introduction of the Workshop Facilitation Group and participants.
- b. Distribute attendance sheets for participants to mark their presence.
- c. Provide an overview of the status of the components in the country (using [Annex 13](#)).
- d. Discuss the gold standard for each component in question (using [Annex 15](#)).
- e. Present the Performance Monitoring Tool to the participants, along with its purpose and the methodology for the workshop (using [Annex 13](#)).
- f. Emphasize the following:
 - Scoring the maturity scale is not the primary focus; identifying the underlying causes of bottlenecks and required actions for improvement is.
 - Assess with integrity, as this tool is not intended to evaluate the program, but to provide insight into the current state and an opportunity for improvement.
 - Have a data-driven discussion of the rating chosen for each question.
 - Identify bottlenecks.
 - Determine necessary actions and responsibilities to move up the maturity scale.

5. Carry out the self-assessment at the sub-national level

- The application of self-assessment refers to the process by which subnational level teams assess the performance of the EPI, based on predefined criteria in the Performance Monitoring Tool.

Guidelines:

- According to the scheduled agenda develop the self-assessment sessions, review components #2 - #13 with sub-national level participants.

5.1 Self-assessment questionnaires use

- Perform presentation and reading of maturity scale questions and options on the PPT.
- Clarify the terms included in the glossary
- Answer doubts about the questions or maturity scale with the support of the ECR.
- Give the floor to face-to-face participants for discussion.
- Guide the analysis: Identify obstacles, solutions, responsible for implementation, deadlines. Leverage the following to guide the discussion of each question.
- Promote discussions that are objective and based on concrete information rather than relying solely on opinions.
- Consult or show data policy reports/documents/guidelines to support the discussion.
- Reach consensus through a vote to determine the final rating for each question, supported by evidence.
- Consider consensus to have been reached when more than 50% of participants agree with the indicated maturity level.
- If consensus cannot be reached, a supporting document, such as a policy, report, strategy, or other documentation, should be used to determine the maturity level for each question.
- In the absence of supporting documentation, a discussion shall be initiated, followed by a vote to establish a definitive ranking.
- If none of these alternatives is viable, the NCT will make the final decision on the maturity level that best reflects the country's reality.

6. Conduct field visits to health facilities for the purpose of self-evaluating component #14 “Execution”

- Inform the person in charge of the health facility about the visit and request logistical support (physical space, agenda).
- Identify the local EPI team and inform them of the objective of the monitoring and methodology for administering the tool.
- Prepare a space to develop the application of the self-assessment, tables, chairs and logistical support for the projection of presentations.
- Use the PowerPoint with the questions of component # 14 of the Excel version of the tool (one question per slide) (See [Annex 14](#)).
- Develop the self-assessment session, make a presentation of monitoring objectives and methodology for administration of the tool.
- Explain: maturity scale, data-driven discussion, identify bottlenecks, determine actions and responsibilities needed to move up the maturity scale.

6.1 Applying the self-assessment tool:

- Present and read the questions and maturity scale in the PPT.
- Clarify terms used in the glossary.
- Answer doubts about questions or maturity scale with the support of the RCT.
- Give the floor to participants.
- Guide discussion of each question.
- Promote objective discussions based on concrete information.
- Consult or show reports/documents/data policy guidelines to support the discussion.
- Guide the analysis: Identify obstacles, solutions, identify person assigned for implementation, define timeline.
- Reach consensus through a vote to determine the final score for each question on the performance scale.
- Conduct observation tour of immunization program operations at the health facility to complement the answers to the local level questions.

6.2 Concluding the self-assessment

- Once all questions have been reviewed, provide a brief summary of the key challenges and required actions that were discussed.
- Share the tentative average component score with participants (in consultation with the rapporteur).
- Thank the participants for their time and inform them of the usefulness of the results in the national self-assessment.

7. Conduct a debriefing session with the Session Facilitation Team

- Once the participants leave, the Session Facilitation Team should stay to debrief the session.
- The moderator can ask the following sample questions to elicit feedback from the team:

General questions:

- How do you think the session went?
- What went well?
- What do we need to improve in future workshops?

Specific questions:

- How many participants did not show up?
 - Why?
 - Is there anything we can do on our part to ensure that participants attend the sessions?
- Do you think there was an enriching discussion for each question?
 - If not, how can we improve this?
 - Were we able to identify obstacles/problems?
 - Were we able to identify actions for each question?
- Do you think everyone has a say in the maturity rating (virtual and face-to-face)?
 - If not, what will we change to correct this in future subnational self-assessment sessions?
- How did we do at that time?

How easy or difficult was it to take notes from the workshop?

8. Scoring

- 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.
- Provide the results of scores and grades for each Province/Department/State, along with the local level results to the NCT.