

NEGLECTED TROPICAL DISEASES SUSTAINABILITY ANALYSIS AND PLANNING CONSULTATION GUIDE

Act to End NTDs | East Program | January 2021



Contents

List of Figures	iv
List of Tables	iv
Acknowledgements.....	v
Abbreviations	vi
Summary	1
Introduction	2
What is the Sustainability Analysis and Planning Consultation?	2
A Framework for Sustainable NTD Interventions	3
Defining Sustainability	3
The USAID NTD Sustainability Framework.....	4
Coordination	5
Policy and planning	5
Operational capacity	6
Information systems	6
Services	6
Financing	6
Implementing the Sustainability Analysis and Planning Consultation.....	7
Build Ownership.....	7
Identification of consultation team member roles and responsibilities.....	8
Scope clarification	8
Context review	10
Engage Stakeholders.....	11
Stakeholder mapping.....	11
Stakeholder workshop	13
The Sustainability Analysis Tool	15
Analyze Sustainability	15
Conduct in-depth interviews	15
Code interview notes and revise scores	16
Write sustainability analysis	16
Identify Solutions	17
Summary presentation and gap identification	17
Root cause analysis and solutioning	18

Develop Sustainability Plan.....	18
Implement and monitor progress.....	19
Conclusion.....	19
Annex 1: Sustainability Analysis Tool.....	1
Annex 2: Resource Needs and Responsibilities	1
Annex 3: Sample Agendas for Introductory Workshop	3
Three-Day Introductory Workshop.....	3
One-Day Introductory Workshop	4
Annex 4: Illustrative List of Key NTD Stakeholders	5
Annex 5: Sustainability Analysis Outline	6
Annex 6: Documents to Review	7
Annex 7: Sample Agenda for Planning Workshop	8
Annex 8: Solutioning Template.....	9
Annex 9: Sustainability Plan Outline	10

List of Figures

Figure 1:	The USAID NTD Sustainability Framework.....	5
Figure 2:	Steps to Implement the Sustainability Analysis and Planning Consultation	7
Figure 3:	Stakeholder Analysis Framework.....	13

List of Tables

Table 1:	Preferred and alternative consultation models.....	10
Table 2:	Sample Stakeholder Power Map.....	12
Table A2.1:	Resource Needs	1
Table A2.2:	Roles and Responsibilities.....	2

Acknowledgements

The *Neglected Tropical Diseases Sustainability Analysis and Planning Consultation Guide* is made possible by the generous support of the American People through the United States Agency for International Development (USAID). This guide is built on an unpublished working paper, the USAID Sustainability Framework and Plan for the Control and Elimination of NTD, that describes USAID's approach to supporting the sustainability of NTD interventions.

The Act to End NTDs | East program would like to thank the many people who contributed to the design, review, and publication of this guide. The development of this guide was led by Taylor Williamson, Manager, Health Policy at RTI International. Contributors included, Lisa Rotondo, Richard Killian, Beth Sutherland, Whitney Goldman, Katie Zoerhoff, Molly Brady, Michael French, Jose Gonzalez, Wangeci Thuo, and Paula Majumdar. This guide was also developed in cooperation with Act to End NTDs | West.

Finally, the publication of this guide would not be possible without the assistance and guidance of Emily Wainwright, Rob Henry, and Ploi Swatdisuk at USAID, as well as many other USAID staff within the NTD program.

The contents are the responsibility of Act to End NTDs | East, led by RTI International in partnership with The Carter Center, Fred Hollows Foundation, IMA World Health, Light for the World, Sightsavers, Results for Development, Save the Children, and WI-HER under cooperative agreement No. 7200AA18CA00040 and do not necessarily reflect the views of USAID or the United States Government.

Please send comments or feedback on this guide to acteast@rti.org

Recommended Citation: Act to End NTDs | East. January 2021. *Neglected Tropical Diseases Sustainability Analysis and Planning Consultation Guide*. Washington, D.C: Act to End NTDs | East, RTI International.

Abbreviations

FCDO	U.K. Foreign, Commonwealth, and Development Office
HMIS	Health Management Information System
LF	Lymphatic Filariasis
LOE	Level of Effort
MDA	Mass Drug Administration
MOH	Ministry of Health
NTD	Neglected Tropical Disease
USAID	U.S. Agency for International Development
WASH	Water, Sanitation, and Hygiene
WHO	World Health Organization

Summary

The *Neglected Tropical Diseases Sustainability Analysis and Planning Consultation Guide*, developed by Act to End NTDs | East, provides an overview of how a flexible team of stakeholders can analyze the sustainability of NTD interventions, develop a sustainability plan, and implement and monitor that plan. Implementers, donors, civil society, academia, NTD programs, multilateral organizations, and senior health managers can use and adapt this guide as needed in a specific context; however, the ministry of health (MOH) should have responsibility for the analysis and planning process.

This guide uses the U.S. Agency for International Development (USAID) definition of sustainability as a starting point: “The national health system capacity and commitment to maintain the provision of NTD interventions at levels that will continue progression toward control or elimination of diseases in accordance with national NTD goals.”¹

Within the context of the USAID definition, this sustainability analysis contributes to a better understanding of the sustainability of NTD interventions in a given country, integrates sustainability into decision-making by assessing sustainability impacts, and fosters sustainability objectives.² It supports decision-making by helping users integrate contextual understanding and structuring information into discrete components.³ Implementing the sustainability analysis and planning consultation process leads to a sustainability plan that influences the health sector plans in support of NTD intervention continuation and progress.

¹ USAID. (2019). *USAID Sustainability Framework and Plan for Control and Elimination of NTDs*. Working paper.

² Waas, T., Hugé, J., Block, T., Wright, T., Benitez-Capistros, F., Verbruggen, A. (2014). Sustainability assessment and indicators: Tools in a decision-making strategy for sustainable development. *Sustainability*, 6, 5512–5534.

³ Ibid.

Introduction

The *Neglected Tropical Diseases Sustainability Analysis and Planning Consultation Guide* recommends an analytic framework that helps countries identify sustainability gaps, develop feasible solutions to address gaps, prioritize solutions, and monitors and measures progress. The framework describes how NTD programs can work across health and other relevant sectors (e.g., water, sanitation, and hygiene [WASH]; education; and agriculture) to identify synergies and leverage resources to achieve sustainability goals.

It lays out specific steps for completing a consultation process with relevant stakeholders.⁴ Countries have the flexibility to adapt the process, for example, by starting at a different step, adding or subtracting functional areas, engaging different stakeholders, or identifying different goals and objectives.

After completing the process, MOHs will have a comprehensive multi-year plan for the sustainability of NTD interventions that can be integrated into existing and forthcoming NTD master plans, health sector strategic plans, and annual work plans. Sustainability plans should be “living” documents; they require significant and ongoing commitment from stakeholders to finance, implement, and monitor NTD interventions.

Additionally, this guide focuses on diseases that can be addressed with preventive chemotherapy, rather than through innovative disease management (IDM). If MOHs decide to target the sustainability of IDM diseases, this guide may need to be modified to address the types of interventions those diseases require.

Over the last decade, often with considerable external support, many countries have substantially reduced NTD prevalence. While stakeholders have made significant investments in reducing the NTD burden, critical gaps remain in mainstreaming NTD interventions into the health system.⁵ Recognizing these gaps and consistent with USAID’s Journey to Self-Reliance, Act | East developed this guide to bolster country “capacity to plan, finance, and implement solutions to local development challenges, and ensuring that there is a commitment to see these solutions through effectively, inclusively, and with accountability.”⁶

What is the Sustainability Analysis and Planning Consultation?

The sustainability analysis and planning consultation process should be used by NTD program managers, other MOH staff, technical assistance providers, multilateral institutions, and donors to identify sustainability challenges, develop responses, and prioritize and sequence actions that:

- Strengthen political and financial commitment and technical capacity to achieve country-specific NTD control and elimination goals
- Mainstream NTD interventions within the existing health system
- Enhance coordination and collaboration across sectors in support of NTD interventions.

⁴ The term “stakeholders” includes NTD programs, other programs within MOHs, local governments, civil society, academia, other governmental line agencies, development partners, and implementing partners.

⁵ Mainstreaming is the incorporation of NTD priorities into routine planning, financing, delivery, and monitoring. From WHO (2020) *Ending the Neglect to Attain the Sustainable Development Goals: A Road Map for Neglected Tropical Diseases* https://www.who.int/neglected_diseases/Ending-the-neglect-to-attain-the-SDGs--NTD-Roadmap.pdf

⁶ USAID. (2020). *Journey to Self-Reliance Fact Sheet*.

https://www.usaid.gov/sites/default/files/documents/1870/J2SR_Fact_Sheet_June_2020.pdf

The consultation process engages stakeholders to identify the root causes of sustainability gaps. Stakeholders then design and prioritize activities that support decision making; provide guidance to policy makers on how to strengthen NTD interventions; and align with existing national health policy, strategies, and plans. These activities guide the development of a sustainability plan that describes steps toward operationally, technically, and financially sustaining their NTD interventions. Next, the sustainability plan is aligned with the NTD master plan or integrated into other national health plans. Finally, actions are taken to enhance sustainability, and those actions are monitored to assess impact.

A Framework for Sustainable NTD Interventions

Defining Sustainability

NTD sustainability efforts have historically emphasized training health ministry staff and community health workers in disease mapping, data management, program management, morbidity management, and delivery of mass drug administration (MDA) services. Previous USAID NTD projects,⁷ NTD projects funded by the Foreign Commonwealth, and Development Office (FCDO), and World Health Organization (WHO) guidance recommended consolidating fragmented, disease-specific NTD programs into integrated NTD programs; developing tools for enhanced NTD program management; and building capacity for governments to efficiently deliver NTD services.⁸

Moving forward, USAID and WHO recommend systematically investing in mainstreaming NTD control and elimination activities into existing health system structures, other health program areas (e.g., malaria and maternal and child health), and other relevant sectors.^{9,10,11} Mainstreaming requires targeted advocacy, policy alignment with health and other relevant sectors, context-specific design, and domestic resource mobilization.

⁷ e.g., the NTD Control Program, MMDP, ENVISION, END in Africa, and END in Asia.

⁸ These projects promoted the integration of disease-specific NTD programs into a national NTD program, led by an NTD secretariat. Integration was one of the major successes that led to increased efficiency and effectiveness, particularly in countries with extensive overlap of NTDs treated with preventive chemotherapy. The USAID-supported ENVISION project created a series of implementation tools adopted by WHO as standard program management tools for NTD response; the tools are available at <https://www.ntdenvision.org/toolbox>. These tools support national NTD programs with national planning, data collection, and resource need estimation. The development of tools, extensive training, and seconding of persons with special skills to key positions in national secretariats were major contributions and contributed to improved capacity and knowledge of national NTD programs, according to the USAID Neglected Tropical Disease Program 2016 Evaluation, which can be found here: <https://www.neglecteddiseases.gov/docs/default-source/ntd-documents/usaaid-neglected-tropical-disease-program-2016-evaluation.pdf>

⁹ WHO. (2020). *Ending the neglect to attain the Sustainable Development Goals: A road map for neglected tropical diseases 2021–2030*. https://www.who.int/neglected_diseases/Ending-the-neglect-to-attain-the-SDGs--NTD-Roadmap.pdf

¹⁰ USAID. (2019). *USAID Sustainability Framework and Plan for the Control and Elimination of NTDs*. Working paper. Unpublished.

¹¹ WHO. (2020). *Ending the neglect to attain the Sustainable Development Goals: A road map for neglected tropical diseases 2021–2030*. https://www.who.int/neglected_diseases/Ending-the-neglect-to-attain-the-SDGs--NTD-Roadmap.pdf

The USAID NTD Sustainability Framework

The USAID NTD Sustainability Framework centers on six functional areas: **Coordination, Policy and planning, Operational capacity, Information systems, Services, and Financing** (see Figure 1). These areas are based on sustainability literature, the WHO's health system building blocks, and existing sustainability assessment tools for NTDs.

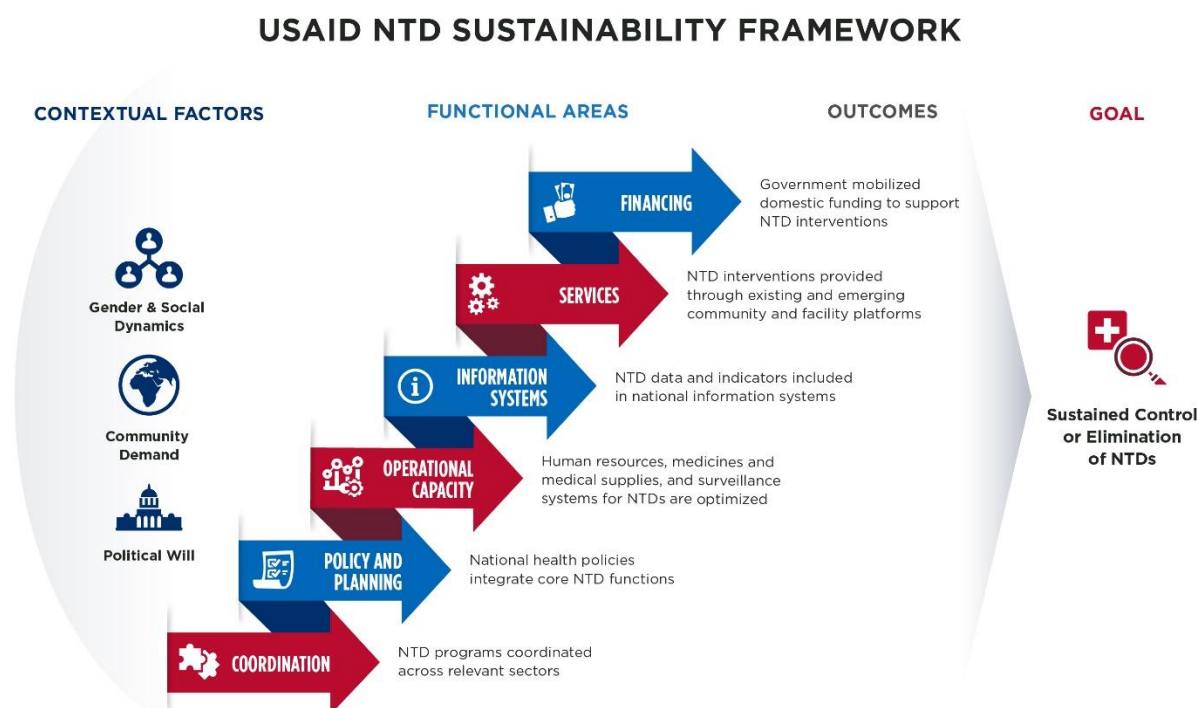
The six functional areas are arranged from easiest to hardest to accomplish. It may be more feasible to strengthen government ownership of certain areas (e.g., coordination and policy) than others (e.g., services and financing). The ascending order does not imply that some outcomes are more important than others or that a certain outcome must be achieved before activities to achieve other outcomes are started. Each of the six functional areas has an associated outcome that defines success.

On the left of the framework are three contextual factors that influence all six functional areas. **Political will** is defined as the interest of government officials in supporting NTD interventions as measured by government initiative, policy choices, public commitment, continuity of efforts, resource allocation, and stakeholder mobilization.¹² **Community demand** is the extent to which citizens and communities express the need for NTD services. Finally, **gender and social dynamics**—norms, beliefs, roles, and behaviors—impact exposure to NTDs, access to and uptake of NTD services, intervention design and social mobilization platforms, and how governments design policies and allocate resources.

To the right of the framework is one epidemiological goal: **Sustained control and/or elimination of NTDs**. Achievement of this goal is only possible if countries approach the functional areas as an integrated whole, rather than siloed blocks. Targeting single activities or outcomes is unlikely to achieve the disease-specific targets.

¹² Adapted from Brinkerhoff, D. W. (2010). *Unpacking the concept of political will to confront corruption*. U4 Brief no.1. Bergen, Norway: Chr. Michelsen Institute. <https://www.u4.no/publications/unpacking-the-concept-of-political-will-to-confront-corruption/>

Figure 1: The USAID NTD Sustainability Framework



Source: Adapted from USAID. (2019). *USAID Sustainability Framework and Plan for the Control and Elimination of NTDs*. Working paper.

Coordination

NTD interventions are coordinated across relevant sectors. Coordination with other health or related program areas, such as malaria and maternal and child health, and other sectors, including water, sanitation, and education, is key to sustainability. These program areas and sectors often have established platforms that target the same populations as national NTD programs. By strengthening partnerships with other program areas and sectors, national NTD programs can mainstream NTD programming into existing platforms and leverage multi-sector resources to achieve control and elimination goals.

Coordination mechanisms include formal NTD technical working groups and expert committees that organize and distribute responsibilities for planning and budgeting, as well as deworming, vector control, education, WASH, and other interventions. These coordination mechanisms also should address gender and other social considerations.

Policy and planning

National health policies integrate core NTD functions. MOHs should mainstream NTD policies, services, supply chain mechanisms, and surveillance into health sector policies and strategies. Integration of NTD efforts into non-health policies and strategies could also be considered, where appropriate. New health sector strategic plans should consider pre-existing NTD master plans to ensure alignment. They could also consider new epidemiological and demographic trends and control and elimination approaches. NTD policies should link NTD control and elimination efforts to poverty reduction strategies, address the unique needs and contributions of women and men, and be responsive to social contexts.

Operational capacity

Human resources, medicines and medical supplies, and surveillance systems for NTDs are optimized.

NTD programs require the ability to identify resource requirements, forecast needs, adapt strategies, and manage programs to ensure high-quality services and disease monitoring. Health providers¹³ have critical roles in delivering NTD interventions, including drugs and surgery.

NTD drug donation, procurement, distribution, and diagnostics systems should be fully managed by the government and integrated, to the extent possible, into the supply chain, including quantification, procurement, warehousing, distribution, and utilization to achieve control and/or elimination. Managers need the ability to receive requests for NTD drugs and other commodities, understand demand, and forecast and submit applications to global donation programs.

Finally, MOHs need the capacity to routinely conduct disease specific assessments and post-validation/post-verification surveillance to ensure that lymphatic filariasis (LF), trachoma, and onchocerciasis, once eliminated, do not return. Health system capacity to conduct ongoing surveillance to detect and respond to recrudescence is a critical part of operational capacity.

Information systems

NTD data and indicators are included in national information systems. National information systems should integrate NTD indicators into routine health management information systems that (1) help ministries of health make planning, financing, and implementation decisions about NTDs; (2) monitor progress toward global and country-level goals; and (3) incorporate data that can help to identify and address gender and social inclusion issues. Integrating siloed NTD data collection and management systems into existing health management information system (HMIS) structures ensures that NTD data are collected, analyzed, and reported like other health information. This data should be reported from, and used at, facility and local government levels to improve planning and resource allocation.

Services

NTD interventions are provided through existing and emerging community and facility platforms. MDA is part of strong public health programming to achieve control and elimination goals. To sustain MDA for diseases with control goals, governments should make MDA part of the minimum service package and deliver it through existing platforms. In addition, the MOH should identify mechanisms to reach individuals or groups missed by MDA. Facility-based services to address LF and trachoma morbidity should be included in minimum service packages and be available in health facilities. For LF, the essential LF morbidity management and disability prevention package of services includes treatment for individuals with infections as well as treatment for those with hydrocele and lymphedema.¹⁴

Financing

Government has mobilized domestic funding to support NTD interventions. Government budgets (e.g., health and education at national and subnational levels) should prioritize domestically mobilized resources for NTD control and elimination. NTD financing should be mainstreamed into planning and budgeting mechanisms at national and local levels to ensure that funds are released and spent on high-quality, efficient, and equitable NTD programming. Funding should, at minimum, include treatment, surveillance, and coverage of morbidity management services, while noting that interventions will change over time. Sustainability requires health officials and other stakeholders to use financial and

¹³ For example, doctors, laboratory technicians, nurses, pharmacists, sanitation workers, teachers, and community health workers

¹⁴ https://www.who.int/lymphatic_filariasis/managing-morbidity/en/

programmatic data to advocate for government resources for NTDs and to demonstrate cost-effectiveness and health impact.

Within each of the functional areas are specific elements, measured on a 4-point scale, that are critical for sustainable NTD interventions. The elements can be found in the Sustainability Analysis Tool in [Annex 1](#).

Implementing the Sustainability Analysis and Planning Consultation

The sustainability analysis and planning consultation is a six-step process (Figure 2).

Stakeholders may address any, or all, of the six outcomes identified in the framework or repeat steps in the consultation process. Over a multi-year implementation period, however, progress should be reviewed (ideally at least every other year), and the sustainability plan should be adapted accordingly. Countries can use the process to establish a vision of the future and allocate resources to support that vision. Resource requirements and staff roles and responsibilities can be found in [Annex 2](#).

Figure 2: Steps to Implement the Sustainability Analysis and Planning Consultation



Build Ownership

Ownership over program processes and outcomes requires significant initial investment to define a country-specific analysis scope, understand the contextual environment, identify key stakeholders, and support a country-driven consultation.

Stakeholders should represent groups or institutions that can shape policy, drive decisions relevant to sustaining NTD interventions, provide insight into country-specific challenges, and strengthen political support.

Identification of consultation team member roles and responsibilities

MOH officials have ultimate authority to direct the scope of the planning process, the types of products, and sustainability priorities. A potential team structure could include the following roles:

- A team leader, who has overall responsibility for directing the analysis process. This person should also be responsible for analyzing two functional areas.
- Two team members, each with responsibility for researching, conducting interviews, and analyzing two functional areas.
- A coordinator to organize interviews, logistics, and workshops.
- A technical NTD staff person from the MOH to act as a key contact point, support interviews, provide context, and identify and share needed documentation.
- A senior manager from the MOH to guide the direction of the planning process, including deciding the scope of the process, who to interview, key gaps, and priorities.

NTD program staff within MOHs have many responsibilities related to MDA, surveys, and policy guidance, and therefore may not have the availability to lead and conduct the entire sustainability analysis and planning process.¹⁵ As a result, technical assistance or consultants can be used to facilitate workshops, conduct interviews, analyze data, and write plans, in line with the steps below and under the leadership of the MOH. This team structure is flexible, designed to cover all six of the functional areas, and could be filled with external technical assistance providers, consultants, and/or MOH staff. Regardless of the staffing mix, team members should have previous experience with workshop facilitation and interviewing techniques.

Scope clarification

Once the team is developed, they should identify priorities and needs for the sustainability analysis and planning consultation and develop a scope of work. The scope of work should define which functional areas are the highest priority, MOH oversight, and the workshop and interview model (see Table 1). Clarifying the scope should involve discussions with the NTD program and external funders, if relevant. Scope clarification should be based on the availability of key stakeholders, NTD program goals and objectives, previous project work plans, discussions with NTD implementing partners, and NTD master plans. During this process, the team should agree on:

- Timeline and comprehensiveness of the review
- Functional areas to address, if the MOH chooses not to analyze all six areas
- Data collection methods (desk review, facilitated small groups, in-depth interviews, and field visits)
- Level of stakeholder engagement (consultation or decision making)
- Confidentiality of interviews (see Box 1 on confidentiality)
- Number and scope of workshops (see Table 1)
- How the sustainability plan will align with existing or new strategies and plans, e.g., the health sector strategic plan, or the NTD master plan

¹⁵ This guide is written from the perspective of a technical assistance provider and, therefore, recommends technical assistance that is appropriate for low-resource settings. It may not be appropriate in other settings and should be modified as needed.

Box 1: Interview confidentiality

Most in-depth interviews will be conducted with individuals acting in their professional capacity. As a result, this analysis would not be considered “human subject research” or be subject to institutional review board review. However, the potential for negative repercussions on specific interviewees is always a possibility. Therefore, the consultation team should take the following steps to ensure confidentiality:

- Develop a confidentiality statement to read before interviews that outlines what interviewees can expect.
- Delink quotes from their source in the analysis narrative using statements such as, “one stakeholder noted that...”
- Use numbers to identify specific interviewees, rather than interviewee names.
- Cite interview numbers, rather than interviewee names, when citations are necessary.
- Ensure that personally identifying information remains within the consultation team.

While it is generally recommended that the analysis include indicators from across all six functional areas, the analysis should be tailored to the elements within each functional area that address the priorities and needs of key stakeholders. This early prioritization will focus the data collection and will provide more in-depth information for the indicators that are the most pertinent for key stakeholders.

The MOH should direct the design of the review, interviews, data analysis, and writing, but may not have the time or availability to analyze data or write a plan. It is critical to strike a balance between government ownership over the process and a realistic understanding of availability and time-commitment.

To adapt the sustainability analysis and planning consultation to a specific country context, Act | East has a preferred model and a less resource intensive alternative model (Table 1). Alternatively, a country could skip the first three steps of the consultation process and go directly to identifying solutions (Box 2).

The models differ in terms of how introductory workshops are organized and conducted and the extent of the in-depth interviews. Model selection should be a key discussion point during the scope clarification stage. In the preferred model, the introductory workshop is completed 3–4 weeks before interviews and is 3 days long. In the alternative model, the introductory workshop is conducted directly before the in-depth interviews and is one day long. These variations have implications for scope, ownership, required resources, and scoring quality (Table 1).

Conducting the workshop 3–4 weeks before the interviews, as opposed to 1–2 days before, allows more time to address ministry concerns, build ownership, adapt the questionnaires or other tools, refine scoring, and schedule interviews. However, it is more resource intensive and results in a longer consultation process. A 3-day workshop allows for more in-depth discussions, providing a fuller understanding of the process, tool adaptation, and scoring discussions. It is also more resource intensive. A longer workshop requires fewer subsequent in-depth

Box 2: Sustainability analysis in countries with previous assessments

Some countries that want to develop sustainability plans have experienced many sustainability, health systems, or NTD assessments in the last 5 years. In these instances, the consultation team could skip directly to Step 4: *Identify Solutions*.

In the solutioning workshop, instead of reviewing the Sustainability Analysis results, participants could review previously developed reports for sustainability-related findings. Although some data gaps may exist, workshop participants may be able to fill those gaps with personal experience and knowledge.

interviews to inform the analysis, as there is more time to interview stakeholders in the workshop. Sample workshop agendas for the models can be found in [Annex 3](#).

Table 1: Preferred and alternative consultation models		
Feature	Preferred	Alternative
Workshop timing	3–4 weeks before IDIs	1–2 days before IDIs
Workshop length	3 days	1 day
Workshop participants	See Annex 4	See Annex 4 , only without district NTD focal points
Workshop elements	(1) In-depth discussion of consultation plan; (2) Scope and tool modification; (3) Functional area scoring through small groups; (4) Functional area scoring through small groups; (5) IDI scheduling	(1) Overview of consultation plan; (2) Feedback on consultation objectives; (3) Small group discussion on the major challenges for the sustainability of NTD interventions; (4) IDI scheduling
Sustainability scoring	Small groups during workshop; consultation team revises scores post workshop based on IDIs	Consultation team develops scores post interviews based on IDIs
Interview scope	IDIs for clarifying questions only	IDIs directly inform element scoring
# of interviews (est.)	25–30	40–50
District-level interviews	One or two districts for clarifying questions	Three or four districts that are representative of NTD program

IDI = in-depth interview

Output: Agreed-on scope of work

Context review

The team should conduct a document review and write a desk review of a sustainability analysis (see outline in [Annex 5](#)) that answers the questions in Box 3. The desk reviews for all 13 Act | East-supported countries are a good source of information. In addition to the 13 Act | East desk reviews, the consultation team can review NTD master plans or other multi-year plans, as well as health system assessments/ reviews and health sector strategic plans.

The team should gather documents that provide information on the NTD and health systems context. A list of recommended

Box 3: Contextual questions

- What is the disease burden and what interventions are in place to address them?
- What is the structure of the health system?
- What data are available to inform the consultation?
- What levels of hierarchy will the analysis cover?
- How many districts will be visited to triangulate data?
- What country-level resources are available?
- Are the key stakeholders adequately mapped?
- What level of integration is appropriate?

(Adapted from Dalberg's *Sustainability Assessment Tool for NTD Control Programs*.)

documentation can be found in [Annex 6](#). Besides collecting background documents, each team member is responsible for locating and reading documents relevant to their functional area and compiling a bibliography of all documents consulted.

Based on this document review, the technical team members should complete a desk review of their assigned functional area, organized by each element of the Sustainability Analysis Tool. The desk review is intended to support understanding of the epidemiology context for NTDs, basics of the health system, where NTD interventions are situated, how the health and education systems collaborate on NTD interventions, how funding decisions are made, who are the key decision makers, recent successes and challenges, a high-level analysis of the political economy, and prospects for mainstreaming and sustainability. The desk review part of the sustainability analysis should also be used to inform an in-depth interview questionnaire.

Output: Sustainability analysis desk review



Engage Stakeholders

Cultivating ownership requires identifying and influencing key stakeholders from civil society, private sector, and the public who can shape policy, operational capacity, and financing to sustain NTD interventions. The goal is to solidify these stakeholders into a network of champions for moving sustainability efforts forward and reveal possible barriers to sustainability. See [Annex 4](#) for an illustrative list of key NTD stakeholders.

This process should start with mapping stakeholders, then move to a series of meetings to present the goals, process, and outcomes of the analysis, answer any questions that arise, and define stakeholders' roles and responsibilities. Finally, engaging stakeholders in data analysis and dissemination can strengthen their interest in implementing sustainability plans (see next section).

Stakeholder mapping¹⁶

Stakeholder mapping is the process of (1) brainstorming to identify people, organizations, or institutions that are interested in, and have influence over, NTD sustainability; (2) analyzing how those interested parties relate to the NTD program; and (3) positioning stakeholders according to their interest and ability to support NTD sustainability efforts. Stakeholder mapping can help identify potential interviewees, uncover stakeholder knowledge and interest, understand who to keep informed about progress, and consider how to engage stakeholders in the future.

The consultation team should start by brainstorming various types of stakeholders among academia, national government, local government, donors, politicians, implementing partners, the private sector, and civil society. Next, the team should list each stakeholder on a 2x2 table or chart according to if that stakeholder would (a) support or oppose NTD sustainability actions and (b) have the power to influence those actions (see sample below).

¹⁶ This section is adapted from a policy advocacy framework and process described in Kaufmann J. and Beer T. (2015). *The Advocacy Strategy Framework: A tool for articulating an advocacy theory of change*. Center for Evaluation Innovation. http://www.pointk.org/resources/files/Advocacy_Strategy_Framework.pdf

Table 2: Sample Stakeholder Power Map			
		Power to influence NTD sustainability	
		YES	NO
Supports NTD sustainability	YES		
	NO		

The most important stakeholders are those who support NTD sustainability and who have the power to influence those efforts. The team should focus on analyzing these stakeholders using the **Stakeholder Analysis Framework** (Figure 3) to delineate the top right-hand quadrant of the Stakeholder Power Map into three types of **Audiences** (horizontal axis in Figure 3):

- 1) **Public**—any audience that does not have direct decision-making power or whose “members” do not have a lot of individual influence on NTD sustainability or the opinions of others.
- 2) **Influencers**—groups or individuals who have influence over how the public or decision makers think about NTD sustainability.
- 3) **Decision Makers**—any person or group that has the direct decision-making power to prioritize actions that support NTD sustainability efforts.

The vertical axis represents **Levels of Engagement** (vertical axis in Figure 3) or support from stakeholders. Although support rarely grows in a simple or linear way, this is a general progression that stakeholders can move through on their way to acting in support of NTD sustainability.

- 1) **Awareness**—the stage at which stakeholders know about sustainability. They begin to understand that it is important, why sustainability is needed, and solutions to address the problem.
- 2) **Will**—changes in awareness are not enough to trigger people to act. People must be primed, ready, and inspired enough to act.
- 3) **Action**—when stakeholders take steps to strengthen sustainability.

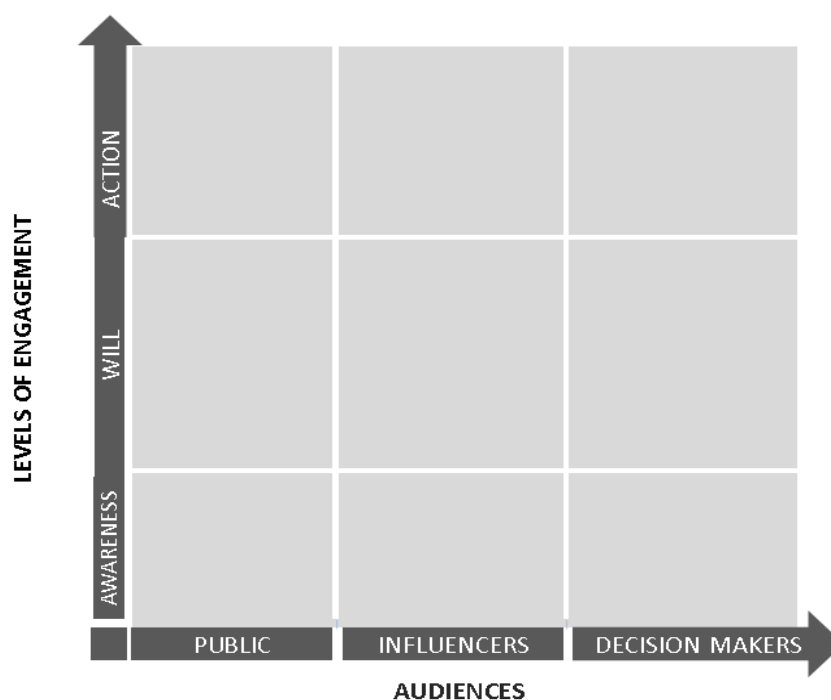
To map stakeholders onto this framework, the team should ask four questions about each of the high-priority stakeholders.

- 1) How knowledgeable is the stakeholder about NTD sustainability efforts?
- 2) What is important to the stakeholder?
- 3) What actions have they taken to support NTD sustainability (if any)?
- 4) Does the stakeholder make decisions that affect sustainability efforts?

The stakeholder mapping process can be part of the workshop. The consultation team would need to identify workshop participants through a brainstorming exercise, but the workshop participants could have more knowledge concerning the motivations, incentives, and power of key stakeholders.

Using the answers to these questions, stakeholders can be mapped onto the Stakeholder Analysis Framework in Figure 3.

Figure 3. Stakeholder Analysis Framework



Output: Stakeholder Map

Stakeholder workshop

Using the stakeholder mapping to identify participants, the team should hold a workshop to engage them in the analysis process. At this point, the workshop methodology has already been defined (see Scope Clarification). There are, however, some common steps: feedback on the process, creating a country-specific definition of sustainability, scoring sustainability, and setting interview dates and times with stakeholders. This section will describe each of these workshop steps and provide guidance on how to conduct each step.

Introduce the sustainability analysis

This step is an introduction to the sustainability analysis, the NTD landscape, and policy directions and processes. This section should be structured as presentations, with ample time for discussion and questions. Overarching challenges should also be discussed. A one-day workshop may omit some policy guidance and discussion in favor of a tighter focus on the analysis process.

Define sustainability

While the USAID NTD Sustainability Framework provides guidance on what sustainability means in the context of NTDs, countries still need to determine what sustainability will look like for their own NTD interventions and how it will be measured. The team should facilitate stakeholders to reach a consensus on a definition of sustainability for their context that identifies specific NTD sustainability priorities. This can be done by asking individual participants to brainstorm specific words that define sustainability in their context, using a word cloud¹⁷ to highlight the most important concepts, and asking small groups to write their own definitions of sustainability and present them in plenary. A plenary discussion can be useful to arrive at a definition of sustainability. This process can be made shorter by skipping steps or eliminating it altogether for a one-day workshop.

Review and modify the Sustainability Analysis Tool

If time permits, the consultation team should ask stakeholders to review the Sustainability Analysis Tool for applicability to their specific country context. This session should be done in small groups, with each group taking a specific functional area and presenting their edits for review and approval in plenary. If the changes are accepted by the group, those areas should be modified in the analysis tool for the analysis in that country.

Score the Sustainability Analysis Tool

In facilitated small groups, broken up by functional area, participants should score each element in the Sustainability Analysis Tool (Annex 1) and come to an agreement about the score for that element. The facilitated small groups should involve significant discussion about each element, and the discussion should be captured via contemporaneous notes that are captured in the “Justification” column of the Sustainability Analysis Tool. For each element, participants should write a three- or four-sentence explanation of why an element received a specific score, including references to documents or processes that provide evidence for that score.

By the end of the workshop, stakeholders will have provided the consultation team with preliminary scores for each element and notes that describe the thought process for each of those scores (see Sustainability Analysis Tool in [Annex 1](#)). These scores are not final, rather the team will use the score from the small groups, along with information gathered in the in-depth interviews, to develop final scores. In the 3-day workshop, each stakeholder should have time to provide input into all six functional areas. In the one-day workshop, there will be less time to review these elements. Each stakeholder may only get to review a single functional area.

Output: Scored Sustainability Analysis Tool

¹⁷ A word cloud is an image composed of words used in a particular text or subject, in which the size of each word indicates its frequency or importance. Definition can be found at https://www.lexico.com/definition/word_cloud

The Sustainability Analysis Tool

The Sustainability Analysis Tool is the crux of the consultation process. It organizes 26 sustainability elements into the 6 functional areas. Using this tool, the consultation team will measure the sustainability of NTD programming, through a combination of facilitated small groups and in-depth interviews, depending on the workshop model selected.

The tool has six columns: functional areas, elements, criteria, data sources, scoring, and justification. The “functional areas” align with the functional areas in the USAID NTD Sustainability Framework. “Elements” refer to the specific measures of sustainability. Each functional area has between three and seven elements. The “criteria” column outlines various stages of sustainability for each element and how the consultation team should score each element.

The “data sources” column outlines which stakeholders to interview and/or which documents to review to score each element. “Scoring” is where the consultation team will provide numeric scores on a 4-point Likert scale for each element. If there is not enough information to score the element, the team should circle “N/A.” The justification tab allows the consultation team to add relevant information for writing the sustainability analysis. The Sustainability Analysis Tool can be found in [Annex 1](#).

Schedule in-depth interviews

At the end of the workshop, the consultation team should schedule in-depth interviews with some of the stakeholders who attended the workshop. The team should know which stakeholders they want to interview, and setting interview times in the workshop prevents having to set an interview time later.

In many countries, a letter of support from the MOH is required before government officials will agree to an interview. Getting this letter of support before this stage is a critical checkpoint, if one is required.

Output: Key interviews scheduled



Analyze Sustainability

A written analysis is necessary to inform the sustainability plan. This sustainability analysis should provide background into the process, context for each of the six functional areas, and scores for each of the various elements. The sustainability analysis involves conducting in-depth interviews, coding notes for common themes, and writing the analysis based on the desk review and coded notes.

Conduct in-depth interviews

Following the workshop, the team will conduct in-depth interviews with key stakeholders (see [Annex 4](#)). Because there are numerous opportunities to obtain information about sustainability during the 3-day workshop, the consultation team should limit the number and scope of in-depth interviews as much as possible to only those stakeholders who could not attend the workshop or where more in-depth discussion is needed, e.g., by answering questions or filling in knowledge gaps. At the local level, interviews should focus on one or two areas that were not represented at the workshop. The consultation team should expect to conduct between 20 and 30 interviews in total, and these interviews should average 45 minutes.

If a one-day workshop was conducted, the consultation team should plan for more detailed in-depth interviews. Although the team will identify interviewees through stakeholder mapping and during the workshop, the team should also use snowball sampling¹⁸ during in-depth interviews to ensure that relevant stakeholders are reached. Questions should be open-ended to better understand the status of each element of the Sustainability Analysis Tool. More interviews at the local level should be conducted, i.e., in three or four districts that are representative of the NTD program. The consultation team should expect to conduct between 40 and 50 interviews in total, and these interviews should average about an hour.

When conducting interviews, it is important to start by explaining a few key points:

- What is the sustainability analysis?
- How will the information be used?
- How confidential are the interviews (see Box 1)?

The consultation team will record the interviews. This can be done in one of two ways:

- By taking audio recordings (with consent from the interviewee) and transcribing the recording at a later stage
- By taking extensive contemporaneous written notes (verbatim as much as possible)

As the consultation team conducts in-depth interviews, they should meet regularly to discuss challenges, share findings, and ensure learning across the functional areas. The consultation team should hold a synthesis meeting after the in-depth interviews are completed to discuss findings and preliminary scoring across the functional areas. When all the interviews are complete, the consultation team should debrief the MOH and other key stakeholders on the preliminary findings.

Output: Draft summary presentation and completed in-depth interviews

Code interview notes and revise scores

Following the in-depth interviews, the consultation team should code the interview notes by the elements in the Sustainability Analysis Tool. Additional codes may be used depending on the content of the in-depth interviews. Interviews can be coded using off-the-shelf software, such as Atlas TI, or directly into notes.

Using the coded in-depth interview notes and document review, the consultation team should verify that the scores from the small groups are accurate and adjust them, as needed. Although the Sustainability Analysis Tool is in an Excel file, scoring will be shared via the Sustainability Analysis Tool (see [Annex 1](#)) and/or a summary PowerPoint presentation.

Write sustainability analysis

Following the conclusion of the scoring, each consultation team member should write the first draft of their assigned functional areas, based on the template provided ([Annex 5](#)). Team members should base their analysis on the desk review, the interview notes, and the scores. The analysis should summarize key results, provide epidemiological context, and organize findings and conclusions by the six functional areas. Each element should have roughly a half-page narrative justification of the score. The team lead will then

¹⁸ Snowball sampling is where interviewees are asked to identify other potential interviewees and put the consultation team in contact with those potential interviewees. It is used when interviewees may be difficult to reach or hard to find. Definition adapted from Everitt, B. S.; Skrondal, A. (2010), [The Cambridge Dictionary of Statistics](#), Cambridge University Press.

combine the various sections, review sections for accuracy and completeness, and send the compiled review to reviewers, including senior MOH representatives, academics, and other in-country stakeholders.

The team lead should address all comments before sharing with clients and determine the best format to share the analysis more widely, e.g., a soft copy of the full review, a summary document, or a summary PowerPoint presentation. This determination should be made based on stakeholder relationships, the time between the interviews and the development of the sustainability plan, and the content of the review. A review outline can be found in [Annex 5](#).

Output: Sustainability analysis



Identify Solutions

To identify solutions for a sustainability plan, the consultation team should organize a planning workshop. This workshop has four parts: (1) summary presentation of scoring; (2) identification of priority gaps; (3) root cause analysis; and (4) defining of solutions to priority gaps. A sample agenda for the planning workshop can be found in [Annex 7](#).

Summary presentation and gap identification

The summary presentation should include the background and context, methodology overview, summary of findings, and a breakdown of the element scores for each functional area. Handouts of the scored elements, along with the narrative justification for each score, should be made available to each participant. Summary presentations should also include commentary about alignment with existing policies and plans, including NTD master plans and health sector strategies.

Following the summary presentation, the consultation team will organize small groups based on each of the six functional areas. Small groups will review the scores for each element to understand why each score was given. Next, the small groups should identify priority gaps based on (1) element scores, which measure the capacity of country-level stakeholders to address the gap without significant external technical and/or financial assistance; (2) a qualitative evaluation of government, donor, and implementer commitment to addressing the identified gap; and (3) the time frame in which the gap could be addressed.

Small groups should list all prioritized gaps on separate sticky notes and stick them on the wall. Each stakeholder gets a certain number of votes to select the gaps they see as the highest priorities, based on the three criteria above. In plenary, the consultation team should facilitate the group to agree on a consolidated set of priority gaps.

Box 4: The Five Whys

An example of a problem is: *NTDs are not included in national health sector plans.*

Why? – Advocacy for NTDs is weak. (First why)

Why? – NTD data is not available for advocacy. (Second why)

Why? – NTD data is reported directly to the NTD program and not integrated into the HMIS. (Third why)

Why? – NTD data is collected using program-specific indicators and tools. (Fourth why)

Why? – NTD programs are not mainstreamed into the health system. (Fifth why, a root cause)

Root cause analysis and solutioning¹⁹

The consultation team should convene new small groups around each of the prioritized gaps. Those small groups should then use a three-step process to identify root causes to the gaps and potential solutions.

Starting with a single prioritized gap, the first step is to clearly identify the problems that caused that gap by writing out answers to the following questions: Why does the gap exist? What are the factors that led to the gap? And who is involved in the gap?

With that background, small groups should then use the “five whys” (Box 4),²⁰ which involves asking “why” until the root cause of the gap is identified. The first time “why” is asked, it will identify immediate causes, followed by “causes of causes,” until a root cause is found, as with the example in the textbox. Finally, participants should identify solutions to the root cause. Solutions often address a fundamental organizational or systemic failure, rather than personnel or operational gap, as with the example.

Finally, small groups should identify indicators and milestones for each solution using the solutioning template in Annex 8. See Box 5 for illustrative indicators. The solutioning template should be considered draft, as the final sustainability plan will be developed by the MOH.

Output: Completed solutioning templates



Develop Sustainability Plan

Sustainability plans serve as a roadmap for achieving sustainability goals and establish milestones, which can then be incorporated into health plans, policies, and strategies. These plans identify stakeholders to engage, clarify monitoring measures, and prioritize actions to build sustainable NTD interventions. Since NTD interventions utilize service delivery platforms managed by other sectors, stakeholders from other sectors should assist in developing sustainability plans. Their involvement ensures that they understand each step to achieve sustainability goals. Plans are living documents; they should be continually revised and updated as new information is learned and shared with national stakeholders.

Following the planning workshop, the consultation team should discuss proposed solutions, indicators, and milestones with the NTD program to determine if they match the priorities of the MOH and if there is political support for addressing the prioritized gaps.

There are many ways to write a sustainability plan using the solutioning templates developed in the previous section, e.g., the NTD program could write it independently or with the assistance of a consultant. Alternatively, the consultation team could take responsibility for writing the plan, with close collaboration from the NTD program. The draft sustainability plan should outline prioritized gaps and draft

Box 5: Illustrative indicators

Financing: Percentage of overall NTD budget allocated from domestic resources

Services: Percentage of health facilities providing the NTD services in the minimum service package

Information Systems: Number of NTD indicators integrated into the HMIS

Operational Capacity: Number of NTD medicines and supplies included on the Essential Medicines List

Policy and Planning: Number of NTD interventions included in the minimum service package

Coordination: Number of NTD interventions jointly implemented by multi-sectoral stakeholders

¹⁹ This section is adapted from the following guidance on how to conduct a root cause analysis: Pirooska Bistas. *How to use root cause analysis to fix problems*. Tools4Dev. <http://www.tools4dev.org/resources/how-to-use-root-cause-analysis-to-fix-problems/>

²⁰ Textbox adapted from Spears, S. (2010). *The high velocity edge: How market leaders leverage operational excellence to beat the competition*. McGraw-Hill Education.

solutions by gap, context, objective, strategy, and indicator. A template for the sustainability plan is included in [Annex 9](#).

MOHs should encourage donors to align their investments with each country's plan. Where relevant, sustainability plans will be incorporated into, or otherwise inform, NTD master plans or health sector strategic and operational plans.

Output: Sustainability plan with specific activities and time-bound milestones for improving sustainability of NTD interventions



Implement and monitor progress

The sustainability plan should articulate monitoring mechanisms to track progress toward a sustainable NTD response and link measurements to both globally and nationally identified sustainability targets and milestones.²¹

Indicators should be easy to monitor through existing data sources and should not require extensive collection of new data. These data sources could include disease-specific assessments, facility-based data, MDA data, process monitoring, or other data sources that are readily available to NTD program staff.

To provide opportunities for adaptation, NTD programs should facilitate pause-and-reflect sessions, which provide time and space for stakeholders to consider past actions, at least every other year to understand what is working, what to change, and the impact of those changes on NTD interventions. Options for pause-and-reflect sessions include conducting after-action reviews, facilitating appreciative inquiry exercises, and developing communities of practice.²² Stakeholders from outside the NTD program could bring relevant information to pause-and-reflect sessions as well, including MOH financial data, private sector information, and the availability of WASH infrastructure.

Output: Sustainability plan and actions monitored and adapted

Conclusion

The *Neglected Tropical Diseases Sustainability Analysis and Planning Consultation Guide* describes one method to analyze the sustainability of NTD interventions. It uses a framework, tailored to NTD programs, that builds on existing knowledge about sustainability and health systems to provide a structured analytic approach.

Act | East uses this guide to facilitate a stakeholder-driven process and develop sustainability plans that can be integrated into, and influence, NTD master plans and other health sector plans. This process, when directed by the NTD program in the MOH and supported with technical and financial assistance, leads to strong government buy-in of the solutions in the plan. By using this process, MOHs can conduct high-quality technical analysis of sustainability challenges, create a realistic plan to address those challenges, and build stakeholder support for the plan.

²¹ The Act | East program has identified key sustainability indications, such as those in Box 5. Refinement of these indicators is ongoing and will be published at a later date.

²² USAID. (2018). *Facilitating pause and reflect*. CLA Toolkit.

https://usaidearninglab.org/sites/default/files/resource/files/cla_toolkit_adaptive_management_facilitating_pause_and_reflect_final_508.pdf

Annex 1: Sustainability Analysis Tool

The Sustainability Assessment Tool is available for use and download on the NTD Toolbox at <https://www.ntdtoolbox.org/toolbox-search/neglected-tropical-diseases-sustainability-analysis-and-planning-consultation-guide>

An excerpt from the financing portion is below for reference:

Functional areas	Elements	1	2	3	4	Data source(s)	Mapping	Justification
Financing	Government use of NTD financial data, including revenues and expenditures from all sources, to inform planning.	Government has no capacity or processes to monitor NTD budgets and track NTD spending.	Government has some capacity and processes to monitor NTD budgets and track NTD spending, but data are reported irregularly and often include gaps.	Government staff use established, documented processes to track budgets and record and analyze expenditure, but links to routine health sector and NTD program planning are inconsistent or non-existent.	Government staff use established, documented processes to track budget and record and analyze expenditures, with established and utilized links to routine health sector and NTD program planning processes.	Interviews with NTD program managers and health workers at national and sub-national levels; interviews with MOH planning/finance officials and sub-national planners	N/A 1 2 3 4	,
	Government understanding of NTD-related resource needs and funding gaps	Government does not understand its NTD-related resource needs or funding gaps for lack of sufficient capacity, appropriate tools, and/or necessary data.	Government rarely estimates NTD-related resource needs and funding gaps and/or does so with considerable technical assistance; there may be some major gaps in expenditure or unit cost data.	Government periodically estimates NTD-related resource needs and funding gaps, perhaps with modest technical assistance, but may not use recent expenditure or unit cost data (i.e., data from within the last three years) to inform planning.	Government, as part of routine planning and budgeting, estimates NTD-related resource needs and funding gaps without technical assistance, drawing on recent expenditure or unit cost data.	NTD Master Plan; interviews with NTD program managers, finance officers, and MOH planning/finance officials	N/A 1 2 3 4	
	Government allocation of funds for NTD programming	No domestically raised public funds, at any level of government, are allocated for NTD programming.	Some NTD financing is sourced from domestically raised public funds (more than 0%, up to 35%).	Most NTD financing is sourced from domestically raised public funds (more than 35%, up to 75%).	The vast majority of NTD financing is sourced from domestically raised public funds (more than 75%).	National and sub-national budgets; interviews with NTD program managers, finance officers, and MOH planning/finance officials; implementing partner financial records; data/document review and interviews with other development partners (funders and/or implementers) making major contributions	N/A 1 2 3 4	
	Government spending of allocated funds for NTD programming used	No domestically raised public funds, at any level of government, are spent on NTD programming.	Some domestically raised funds allocated for NTD programming is spent (up to 50%), but some spending (up to 50%) may not be used for the intended purposes.	Most of the domestically raised public funds allocated for NTD programming is spent (more than 50%, up to 85%), and spending is generally (more than 50%, up to 85%) used for the intended purposes.	The vast majority of domestically raised public funds allocated for NTD programming is spent (more than 85%), and spending is reliably or entirely used for the intended purposes.	Public expenditure reporting (e.g., MoF publications, IFMIS); interviews with NTD program managers, finance officers, and MOH planning/finance officials; document review and interviews with any other sectors that have NTD funding	N/A 1 2 3 4	
	Government plans and capacity to meet the country's NTD financing needs	The NTD program has no plan or capacity to advocate for increased domestic financing for NTDs. The program has no understanding of their resource needs or funding gaps.	The NTD program has some capacity and informal plans to advocate for increased domestic financing for NTDs; Health sector leadership has not made any commitments or set financing targets.	The NTD program has considerable capacity and a detailed plan to advocate for increased domestic financing for NTDs; Health sector leadership has made high-level commitments to increase domestic NTD financing over time.	The NTD program has advanced capacity and regularly implements detailed plans to advocate for increased domestic financing for NTDs; government is increasing domestic NTD financing; Health and Finance leadership are jointly committed to scaling up funding for NTDs.	NTD Master Plan, annual plans, and other health sector strategies; Health budgets; interviews with Health officials; interviews with Finance officials	N/A 1 2 3 4	

Annex 2: Resource Needs and Responsibilities

Implementing the sustainability analysis and planning consultation requires human, financial, and material resources. These resources could come from external donors or country NTD programs wishing to review their own progress. These resource requirements are based on each of the models outlined in Table 1. Table A2.1. outlines the resource needs, while Table A2.2. identifies staff roles and responsibilities.

Table A2.1: Resource Needs				
	Preferred	Alternative		
Staffing (LOE in days)				
Team Lead for sustainability analysis and planning consultation process	40	30		
Team Member (2)	25	20		
Technical NTD staff	15	10		
Senior NTD program manager	8	5		
Coordinator	20	15		
Trips				
International (<i>*only if external consultation team is used</i>)	6 (3 two week / 3 one week)	4 (3 two week / 1 one week)		
Domestic	5 people / 1 trip / 1 day	5 people / 2 trips / 1 day		
Workshops				
People	35	20		
Days	3	1		
Travel (district staff to workshop)	15	5		

The consultation team for both the preferred and alternative models consists of a team leader, two team members, technical NTD staff, senior NTD manager, and a coordinator. The roles, responsibilities, and limited profile for these staff can be found in Table A2.2.

The team consists of six people, at least two of whom should come from the MOH. The **team leader** is responsible for the organization and execution of the entire process, leads the introductory and planning workshops, leads two functional areas, and is responsible for the two written products: the sustainability analysis and the sustainability plan. **Team members** support the team leader by leading two functional areas (desk reviews, interviews, writing, revisions) and facilitating small groups at the introductory workshop. A **technical NTD staff** person from the MOH acts as a key contact point, supports interviews, provides context, and identifies and shares needed documentation. A **senior NTD program manager** from the MOH guides the direction of the planning process, including deciding the scope of the process, who

to interview, key gaps, and priorities. Finally, a **coordinator** should be available to organize workshops, set interviews, and keep a calendar of consultation team activities. A summary of these roles and responsibilities, by team member, can be found in Table A2.2.

Table A2.2: Roles and Responsibilities						
Staffing	Build ownership	Engage stakeholders	Create Analysis	Identify Solutions	Develop Sustainability plan	Implement and monitor progress
Team Lead	Lead	Lead	Lead	Support	Lead (writing)	Support
NTD Program Manager	Organize	Support	Inform	Lead	Lead (content)	Lead
Team Member(s)	Inform	Support	Support	Support	Support	Support
Technical MOH staff	Inform	Organize	Support	Support	Support	Lead
Coordinator	Support	Organize	Support	Support	Organize	N/A

Annex 3: Sample Agendas for Introductory Workshop

Three-Day Introductory Workshop

Activity	Responsible	Time
Day 1: Overview, Scope, and Tool Review		
Introductions & Consultation Process Overview*	Team Leader	9:00 – 10:00
Feedback on consultation and Q&A	Plenary	10:00 – 10:30
Coffee Break	All	10:30 – 10:45
Consultation Scope*	Plenary	10:45 – 11:45
Review Sustainability Analysis Tool*	Small groups	11:30 – 12:30
Lunch	All	12:30 – 1:30
Modifications to Sustainability Analysis Tool (coffee break)	Small groups	1:30 – 4:00
Day wrap-up	Team Leader	4:00 – 4:30
Day 2: Stakeholder Mapping and Scoring		
Scope of stakeholder mapping*	Team Leader	9:00 – 9:30
Brainstorming stakeholders	Small groups	9:30 – 10:30
Coffee break	All	10:30 – 10:45
Positioning stakeholders	Small groups	10:45 – 1:00
Lunch	All	1:00 – 2:00
Consolidate stakeholder mapping	Plenary	2:00 – 3:00
Introduction to Scoring*	Team Leader	3:00 – 3:30
Coffee Break	All	3:30 – 3:45
Coordination	Small groups	3:45 – 5:00
Day 3: Scoring		
Policy	Small groups	9:00 – 10:00
Information systems	Small groups	10:00 – 11:00
Coffee break	All	11:00 – 11:15
Operational capacity	Small groups	11:15 – 12:15
Lunch	All	12:15 – 1:15
Services	Small groups	11:15 – 2:15
Finance	Small groups	2:15 – 3:15
Coffee break	All	3:15 – 3:30
Consolidation and wrap-up	Team Leader	3:30 – 5:00

One-Day Introductory Workshop

Activity	Responsible	Time
Consultation Process Overview*	Team Leader	9:00 – 10:00
Feedback on consultation and Q&A	Plenary	10:00 – 10:30
Coffee Break	All	10:30 – 10:45
Review Sustainability Analysis Tool*	Small groups	10:45 – 11:30
Feedback on Sustainability Analysis Tool	Plenary	11:30 – 12:30
Lunch	All	12:30 – 1:30
Major challenges to sustainability of NTD interventions*	Small groups	1:30 – 3:00
Identifying key interviewees	Small groups	3:00 – 4:00
Closing and next steps	Team Leader	4:00 – 4:30

*Sample presentations for these sessions can be found in the [NTD Toolbox](#).

Annex 4: Illustrative List of Key NTD Stakeholders

- Minister of Health or designee
- Directorate of Planning
- NTD Program Director
- NTD Program staff (Human Resources; Finance; Deputy; Monitoring, Evaluation, and Learning [MEL], Advocacy, Partnerships)
- Ministry of Education representative
- WASH representative
- Surveillance at MOH
- Health provider training at MOH
- Human Resources at MOH
- Finance at MOH
- NTD Champion
- NTD Taskforce chair or key members
- HMIS & MEL stakeholders
- District NTD focal points
- Ministry of Finance
- Civil society
- Health provider representatives (associations, networks, unions)

Annex 5: Sustainability Analysis Outline

1. Summary analysis / Executive summary
2. Planning consultation process
3. Country background
4. Overall findings
5. Country priorities
6. Sustainability scores by functional area
 - a. Coordination (for each functional area)
 - i. Introduction/Overview
 - ii. 1/2 page per element
 - iii. Summary of findings
 - iv. Recommendations
 - b. Policy and planning
 - c. Information systems
 - d. Operational capacity
 - e. Services
 - f. Finances
7. Recommendations and opportunities for action plan
8. Annexes
 - a. Workshop agendas
 - b. Stakeholders interviewed
 - c. References

Annex 6: Documents to Review

- National health policy
- National health work plan
- NTD-specific national policy, guidelines, or standard operating procedures
- NTD-specific national plan
- NTD-specific subnational policy, guidelines, or plans
- NTD annual report
- NTD transition plan
- NTD Taskforce minutes and member list
- Minutes from other groups where NTDs are represented (e.g., NTD/WASH working group)
- National health budget
- NTD-specific national budget
- NTD donor mapping
- NTD fundraising strategy
- Agreements with donors/partners on NTDs
- Expenditure reports
- Organigram for NTD posts
- Job descriptions for NTD posts
- Human resources plan for NTDs
- Training modules and plan
- Disease mapping for NTDs
- Information and education communication (IEC) materials
- Monitoring tools/forms and reports
- Performance report for Ministry of Finance
- National Health Account (expenditures report)
- NTD Program Finance Strategy
- NTD budget/financial analysis and reports
- National Health Development Plan
- NTD-specific policies or guidelines, strategies
- NTD work plan
- Monitoring and evaluation (M&E) documentation, HMIS structure (including indicators and definitions)
- Ministry of Education policy documents related to NTDs
- WASH policy/practice documents related to NTDs

Annex 7: Sample Agenda for Planning Workshop

Activity	Responsible	Time
Day 1: Consultation (all key stakeholders)		
Summary presentation	Team Leader	9:00 – 10:00
Q&A and discussion	Plenary	10:00 – 10:30
Coffee Break	All	10:30 – 10:45
Identification of priority gaps	Small Groups	10:45 – 12:00
Lunch	All	12:00 – 1:00
Prioritization exercise	Plenary	1:00 – 4:00
Closing and next steps	Team Leader	4:00 – 4:15
Day 2: Solutioning (Government)		
Recap of Day 1	Team Leader	9:00 – 9:30
Defining solutions to priority gaps	Small Groups	9:30 – 10:30
Coffee Break	All	10:30 – 10:45
Defining solutions to priority gaps (cont.)	Small Groups	10:30 – 11:30
Developing indicators and milestones for solutions	Small Groups	11:30 – 1:00
Lunch	All	1:00 – 2:00
Developing indicators and milestones for solutions	Small Groups	2:00 – 4:00
Presentation of solutions	Plenary	4:00 – 5:00
Closing and next steps	Team Leader	5:00 – 5:15
Day 3: Writing (Consultation Team and NTD program staff)		
Writing the sustainability plan	All	9:00 – 5:00

Annex 8: Solutioning Template

Activity Name		
Priority Gap Description		
Element (from Sustainability Analysis Tool)		
Activity Description (include necessary steps)		
Functional Area (Link to Sustainability Analysis Tool)		
Service Implications		
Date of Completion		
Resources and Stakeholders Required	Tools/Financial Resources/Connections	Stakeholders
Context & Assumptions		

Annex 9: Sustainability Plan Outline

1. Introduction
 - a. Health systems and policy context
 - b. Donor/implementing partners landscapes and trends
 - c. Sustainability efforts and success
2. Sustainability Analysis
 - a. Defining sustainable NTD interventions
 - b. Sustainability analysis and writing process
 - c. Country NTD sustainability priority gaps
3. NTD Sustainability (each functional area has the following sections: Gaps, Context, Objectives, Strategies, and Indicators)
 - a. Financing
 - b. Service Delivery
 - c. Information Systems
 - d. Operational Capacity
 - e. Policy and Planning
 - f. Coordination
4. Annexes
 - a. Solution Tables (each functional area has the following columns: Root cause, Solution, Actions, Gender equity and social inclusion [GESI] considerations, Inputs, Deliverables, Timeline, Indicators)
 - i. Financing
 - ii. Service Delivery
 - iii. Information Systems
 - iv. Operational Capacity
 - v. Policy and Planning
 - vi. Coordination
 - b. Stakeholders Interviewed during National and Subnational Consultations