Applying Implementation Science Principles in Support of Iron-Folic Acid Supplementation

June 27-28/29, Kampala, Uganda

A Workshop Report from the Implementation Science Initiative in Kenya and Uganda

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This report presents the experience of a post-selection workshop held in Kampala, Uganda, as part of a larger initiative on Implementation Science. The Bill and Melinda Gates Foundation provides the financial support to this initiative through a grant to 3ie. The content and conclusions in this report are the views of the authors and should not be attributed to any of those organizations.

Quotes that resonated very much with the workshop participants:

"We are faced with the paradox of non-evidence-based implementation of evidence-based programs."
(Drake, Gorman & Torrey, 2002)

Lessons learned from both teams:

"Keep it simple – break things down"

Common questioning:

"Is it possible that we are already using an implementation science or doing implementation research without having called it this way?"

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Executive summary

The International Initiative for Impact Evaluation and the Society for Implementation Science in Nutrition have developed the Implementation Science Initiative to improve anemia control programs for women in Kenya and Uganda. Implementing agencies have been selected to provide the implementation arena for this initiative: the USAID-funded Regional Health and Integration to Enhance Services in East-Central Uganda (RHITES-EC), implemented by URC and the Nutrition and Health Program (NHP–plus) implemented by FHI360 in Kenya.

After selection, the NGOs worked intensively to develop a draft proposal and receive a sub-grant to carry out their implementation science (IS) approach and improve their programs. A post-selection workshop was held in Kampala, Uganda on June 27-28/29 to officially launch this initiative and help the country core teams to strengthen their proposals. The main workshop objectives were to foster partnership among the national core team members and fully comprehend the IS approach, its objectives and strengths. The workshop was developed in response to questions and challenges experienced by the country core teams during the proposal writing process, and with technical guidance from SISN senior technical lead. An expected outcome from the workshop was to have stronger proposals afterwards.

This report aggregates in one place a number of documents created for the initiative to-date and provide some insights so far, based on several data sources (pre-workshop interviews with participants; informal discussions between the first author and various participants during the planning process; feedback during the proposal writing process; and discussions at the workshop). The workshop was designed to promote collaborative learning. For most sessions, the organizers provided a short presentation related to a specific section of the proposal guidelines. Then, the teams presented their plan and group work followed. Several guidance notes were created for the country core teams. The content of the various sessions is presented in this report. Overall, the workshop sessions were much appreciated and the participants found added value in the workshop for their proposal writing. Some would have liked even more group work, despite that the workshop already included much group work. There was also a need to balance between providing some guidance (often requested by participants) and leaving them time to apply some of the exercises and content. The components more difficult to understand and envision for the country core teams were the bottleneck assessment and inventory and the development of theory of change. Quite some time was spent during the workshop on those components, which seemed to have helped participants. An emerging lesson was to keep it simple and break things down.

These early experiences in planning and conducting the workshop, and the various data collected since the beginning of this initiative, lend to several insights and suggestions. The workshop should precede and aim to strengthen the proposal writing process; dedicated attention to partnership brokering, with an expert facilitator, is quite valuable for the country teams and the support organizations; more workshop time is required if cross-learning between countries is to be achieved researchers should be present in such workshops and explicit strategies are needed for engaging donors at appropriate stages of the initiative; Addition support will be required for the team-based knowledge brokering; Finally, the prospective documentation of experiences in this initiative is an important feature which will provide insights on how to build IS capacity and support IS initiatives in

the future. It does require adopting a different mindset about project implementation, a willingness to acknowledge and embrace error along the way and a continuous effort to document the emergent experiences. The parties in this initiative are off to a good start and this will yield good dividends for the global learning objectives of this project.

Acronyms and abbreviations

3ie	International Initiative for Impact Evaluation
ACPs	Anemia Control Programs
ANC	Antenatal Care
FHI360	Family Health International 360
IFAS	Iron - Folic Acid Supplementation
IR	Implementation Research
IS	Implementation Science
ISI	Implementation Science Initiative
KB	Knowledge Brokering
MoH	Ministry of Health
NGO	Non-governmental Organizations
NHP-plus	Nutrition Health Program - plus
OPM	Office of the Prime Minister
PAG	Program Assessment Guide
PBA	Partnership Brokering Association
RHITES-EC	Regional Health and Integration to Enhance Services in East-Central Uganda
SISN	Society for Implementation Science in Nutrition
ToC	Theory of Change
URC	University Research Co., LLC

Introduction

The International Initiative for Impact Evaluation (3ie) and the Society for Implementation Science in Nutrition (SISN) have partnered to improve the implementation and scaling-up of anemia control programs (ACPs) for women in Kenya and Uganda, through the Implementation Science Initiative (ISI). This initiative seeks to apply implementation science (IS) principles and create a galvanized coalition of policymakers, program actors, and researchers in each country, in order to strengthen ACPs during implementation. ISI also provides the opportunity to learn how to build capacity for and practice of IS through a facilitated process of learning-by-doing. The latter represents a high-level agenda that will take place through a comprehensive, prospective documentation of experiences, of which this workshop report is a part.

Following a scoping visit in January and February 2018, 3ie and SISN selected one agency implementing an ACP in each country to be the main partner and provide an implementation arena for the initiative. In Uganda, the USAID-funded Regional Health and Integration to Enhance Services in East-Central Uganda (RHITES-EC), implemented by URC, was selected. In Kenya, the Nutrition and Health Program (NHP–plus), implemented by FHI360, was selected. After selection, those non-governmental organizations (NGOs) created core teams in their respective countries, including a senior nutrition expert from the NGO, a senior Ministry of Health (MoH) nutrition official, researcher(s), and a program manager/knowledge broker. The core teams were created to achieve the objectives of this initiative, which include:

1. Identify implementation bottlenecks in the local program;
2. Facilitate the access to and utilization of existing knowledge to address challenges when possible;
3. Conduct implementation research (IR) and facilitate the use of findings when necessary;
4. Facilitate capacity building for IS/IR, through learning-by-doing;
5. Cultivate interest in IS/IR within the country's larger nutrition community.

Upon the creation of core teams, the NGOs worked intensively to develop a draft proposal leading to a sub-grant to carry out their approach. A post-selection workshop was organized in Kampala, Uganda on June 27-28/29, 2018, with participants from both countries, to discuss the initiative and strengthen their proposals. This report documents the full range of processes that took place related to the workshop and the beginning of this initiative. The workshop objectives were to:

1. Foster partnership among the national core team members and establish a foundation to anchor the initiative, as well as to build on the strengths of diverse members;
2. Reach consensus on guidelines and modalities of interactions to optimize team functioning;
3. Fully comprehend the implementation science approach, its objectives and strengths, and discuss the main issues related to knowledge brokering;
4. Share the six main components of this initiative and discuss how to strengthen them in the proposals.

The expected workshop outcomes were the following:

1. Core teams get to know each other and gain a good sense on what is expected from each other and how they work together. They feel energized and ready to reach out to each other.
2. Common language and understanding of IS/IR, knowledge brokering (KB), working in multi-stakeholder partnerships, and expectations and dynamics;
3. Core teams have fine-tuned their proposals aligned with the program guidelines.

Data sources

This report aggregates in one place a number of documents created for the initiative to-date, for future use by SISN in strengthening IS capacity in other settings, and presents insights that feed into the prospective documentation of experiences. Several data sources are used. First, a pre-workshop interview was done with five people from Uganda (including representatives from URC and Office of the Prime Minister - OPM) and two people from Kenya (representatives from FHI360 and University of Nairobi) to better understand participants' expectations and concerns. Second, several informal discussions took place between the first author of this report (IML) and various participants during the planning process. Third, the same author received additional feedback while supporting the proposal writing process more intensely. Fourth, insights emerged during the workshop based on discussions with participants, as well as between the workshop facilitators and organizers. Finally, anonymous end-of-workshop surveys were completed by most participants and provided additional information.

Workshop processes

PRE-WORKSHOP

Proposal writing process

The initiative began with the selection of the implementing agencies in both countries. Then, both NGOs began to develop their proposals, in response to the proposal guidelines developed by SISN and 3ie **(annex A)**. Due to some delays related to the management of the sub-grant, the country core teams had about six weeks to assemble their teams and develop their proposals. The SISN senior technical lead provided guidance during this process and gave two rounds of feedback on their proposals. However, these interactions were limited due to difficulties in engaging all team members and advancing all pieces of the proposal simultaneously. Soon after, the planning of the workshop took place. The workshop sessions were designed to address the challenges experienced by the country core teams during the writing process. In order to further facilitate the understanding of the various components and activities, a summary table was created with proposed processes (**annex B**). In addition, several guidance notes were created for the country core teams throughout this process and even until the end of the workshop (see guidance notes on theory of change (**annex C**); knowledge brokering (**annex D**); inquiry approach and bottleneck assessment (**annex E**); and reflective practice and documentation (**annex F**).

Overall, the country core team members had difficulties understanding all six components of the initiative. The proposal guidelines were detailed but difficult for many participants to understand. Some components, such as the bottleneck assessment and the knowledge brokering were very new to them, and thus needed more explanation. Participants found the guidance notes very helpful, and would have liked to receive them earlier. This was not possible in the present case because those were developed in an ongoing manner, in response to identified needs and difficulties facing the core teams, as part of the learning-by-doing process of this initiative. In the future all those documents will be available and can be adapted and simplified, building upon the lessons being learned during the present initiative.

Assessment of participants' expectations about the workshop

As noted, the senior technical lead from SISN (IML) was in communication with many participants from URC/RHITES-EC and FHI360/NHP-plus to help ensure that the workshop was well-targeted to their needs. During these interviews, early feedback on the challenges experienced by the country core teams were shared, which helped to develop the guidance notes and the workshop sessions, mentioned above. **Annex G** presents the interview questions that were used as a guide, although they were not asked to every participant. **Annex H** provides anonymous responses from participants to those questions. One concern shared among several participants was to ensure that MoH participants felt involved in the workshop and to give them a good space. This concern had been discussed with several participants. Another challenge was that it was difficult to engage with the MoH participants without having some kind of developed concept note on what the NGO was proposing. However, once the proposal was developed, some participants had the perception that the MoH actors should have been involved before. Engaging with them presented challenges, and they were not easily accessed. Nonetheless, the workshop provided an opportunity to address this concern and the sessions were developed with this consideration in mind.

Pre-workshop preparation

Considering the highly participatory approach of the workshop, and that every participant had a role to play, the workshop participants were asked to prepare for the workshop. **Annex I** presents the guidance on the preparation of the various presentations for the workshop. The representatives from MoH were invited to present the core strategy of ACPs in their country, focusing specifically on iron-folic acid supplementation. The NGOs were asked to prepare and present the corresponding parts of their proposal in each of the following sessions: 1) Program and intervention(s) (15 minutes); 2) Theory of Change (including challenges of doing theory of change - ToC) (10 minutes); 3) Connecting Assessment and Analysis to Actions (15 minutes); 4) Inquiry approach and bottleneck analysis (15 minutes); 5) Country learning approach about IS/IR (10 minutes). The organizers also requested that participants review key materials to make the best use of the workshop:

1. *SISN Webinar on Implementation Science*: This webinar presents the core concepts of implementation science in nutrition (duration of one hour). http://www.implementnutrition.org/implementation-science-in-nutrition-emory-presentation/
2. *Review of a tool to guide bottleneck analysis*: one core component of this initiative is the bottleneck inventory, which will be built initially and updated in an ongoing manner. Several tools may be used, and each team will decide which one to use. The Program Assessment Guide is an example: http://www.a2zproject.org/pdf/PAG.pdf

Although some participants were able to review the materials, many participants did not have time, and thus, the materials on IS did not seem to have been widely viewed.

WORKSHOP

Approach

The workshop was designed as a collaborative learning workshop. For most sessions, the organizers provided a short presentation related to a specific section of the proposal guidelines that URC and FHI360 had followed in order to develop the first full drafts of the proposal. Then, both organizations presented their proposed approaches and various exercises on the specific sections were conducted. Typically, the sessions ended with a plenary discussion. Some participants (like researchers and Government representatives) had been less directly involved during the writing process, so the workshop provided an opportunity to engage everyone and ensure that all perspectives were considered and accounted for in the proposals. The feedback during the workshop allowed for modifications to the proposals. The workshop was co-facilitated by the SISN senior technical lead (IML) and a facilitator with expertise in partnership brokering (Helga Van Kampen) to build the foundation for this initiative. **Annex J** presents a brief workshop agenda along with a detailed agenda developed for the facilitators and organizers. **Annex K** presents a list of workshop participants.

Sessions and key insights

An analogy was done between the various workshop sessions and the different parts of a tree. Each country core team had a tree drawn that they were filling in along with the various sessions. **Annex L** presents an illustration of their trees and the group work. It seemed that participants liked the analogy and adding various parts throughout the workshop.

Session 1: Setting the scene for IS and building a solid partnership

This session presented key principles of IS and the various components of ISI. Prior to the workshop, participants were asked to watch a SISN webinar covering some IS concepts. However, many participants were unable to watch it. Although participants understood the various components of the initiatives, it remained difficult for them to understand how they all fit together. At several times, the facilitators helped to explicitly make the linkages among the various components.

Later during the first day, one participant asked if there was an assumption that all participants had the same vision for what IS was. Participants mentioned that they seem already to have used an IS approach so they were trying to understand the differences between ISI and what they were already doing. This led to further discussion and raised questions about what this initiative brought compared to their previous experiences with IS (for example, doing a formative assessment or other IR study). The facilitators emphasized that the comprehensive bottleneck assessment and updated inventory, the systematic approach of assessment and learning, and the use of KB and of existing knowledge were several innovations of ISI that were most likely not a part of their previous experiences of IS. The facilitators captured the words of the participants on IS, which were then reflected back to the group on the second day. In the future, the introductory session on IS should start with what participants already know about IS, followed by helping them to reaching a shared understanding of IS. The session would benefit from comparing IS to what some of them are already doing. Although organizers can provide participants with materials to review beforehand, it is unlikely that all of them will have the time to read it.

Figures 1-2 below illustrates what was presented to participants on the second day, based on their input. One quote presented in session 1 resonated very much with some participants and was referred to several times during the workshop.

> *"We are faced with the paradox of non-evidence-based implementation of evidence-based programs."*
>
> - Drake, Gorman & Torrey, 2002

Figure 1: Representation of IS from participants' perspectives

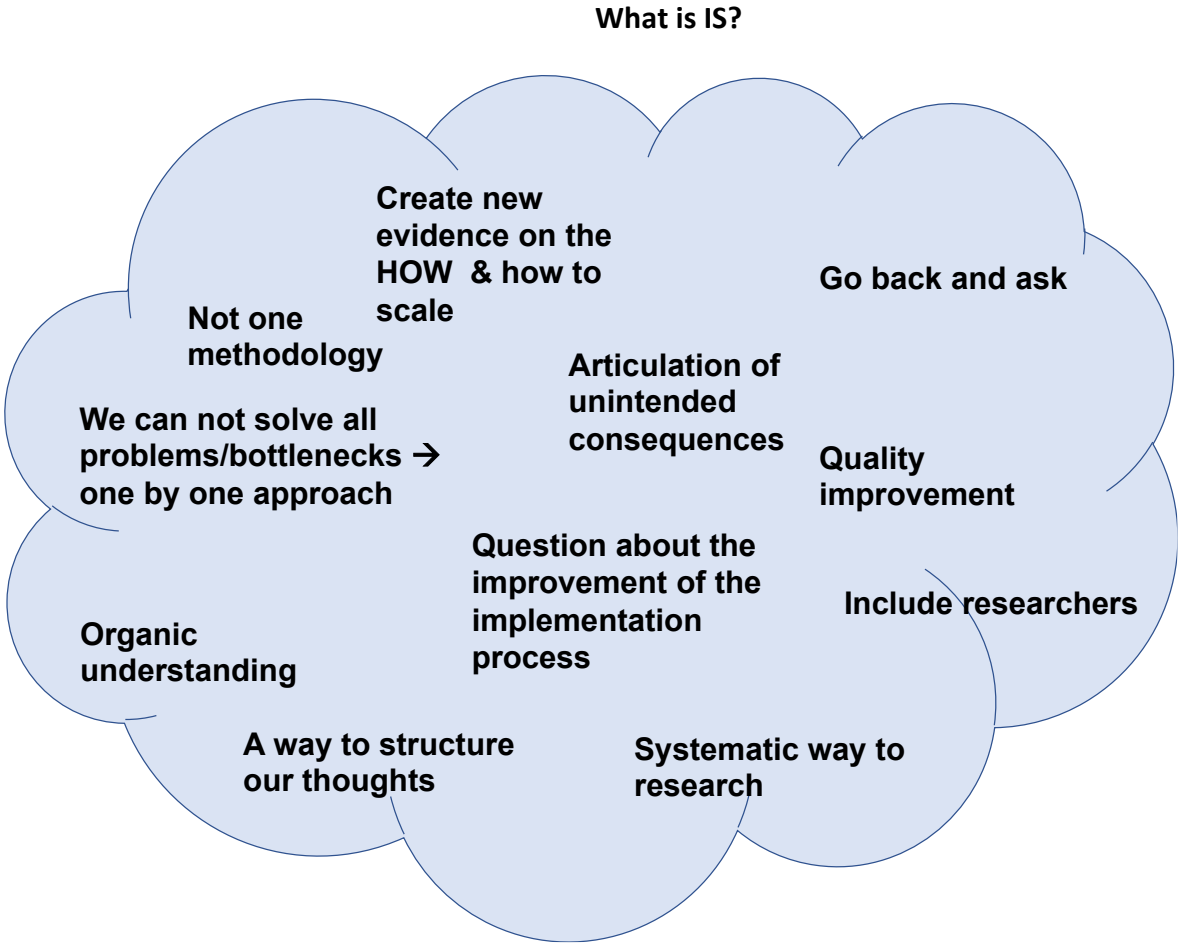
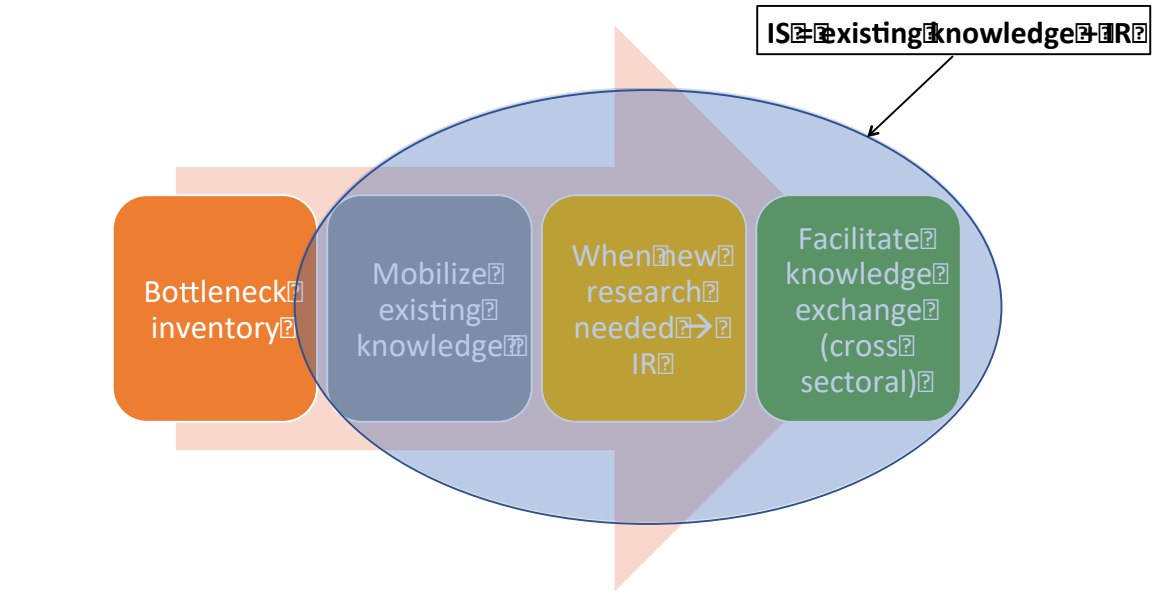


Figure 2: Representation of IS in regards to ISI[1]



Within this first session, a facilitated dialogue on partnership led to lively discussions among the core team members on what was important to them. Developing trust and relationships, having clarity of roles and responsibilities of the various people, and common focus were some of the points raised. The teams also tried to envision challenges which included: differing priorities and cultures, unhealthy competition and attribution of success, and engagement of the right stakeholders. Regarding the latter, the absence of donors at the workshop was raised as a potential challenge because it would be difficult for them to understand the approach without having been involved. This highlights the importance of objective #5 in this initiative ("Cultivate interest in IS/IR within the country's larger nutrition community"), which is to be achieved through other means in the initiative.

Session 2: National strategies and focal programs

The representatives from MoH presented their national strategies and priorities. Participants realized that there were a lot of similar challenges among countries. Then, both NGOs presented their focal programs. Although this session did not involve group work, it helped to build awareness of commonalities and differences among countries. It also allowed for better understanding of each focal program, which was important to help country core teams understand the selected program of the other country's NGO.

Session 3: Theory of Change (ToC)

The team proposals needed to include a theory of change of the iron-folic acid supplementation (IFAS) delivered through the health system. Both organizations developed a ToC for their focal programs. The teams found it challenging to develop a ToC because they quickly became very detailed and difficult to follow. The organizers developed guidance to help them, and these sessions seemed

[1] Co-creation from Van Kampen H, Michaud-Létourneau I and workshop participants.

to have been particularly appreciated. The main message captured by participants was to "keep it simple – break things down." The presentations and discussions allowed the organizers to highlight that multiple ToCs could (and should) be developed for this overall initiative. Key terminology and an example of ToC was presented, and the teams had the rest of the session to work on their ToC. The teams needed quite some time to work on their ToCs, thus, the facilitators/organizers decided to extend the length of the session to leave enough time for the core teams to discuss many aspects of the ToC.

Session 4: Bottleneck assessment

After the ToC session, the bottleneck assessment and inventory was the second component that was most difficult to undertake, from the perspective of the country core teams. This was not surprising, considering that many tools can be used to carry out a bottleneck assessment, and those all have different names that participants may not be familiar with. The facilitators tried to simplify this component as much as possible, by developing an exercise in which both teams would use two different tools. Considering the limited time, the two tools were greatly simplified. The tools were part of the Program Assessment Guide (PAG), a comprehensive tool to help decision-making. The PAG had been shared previously with the participants, but some mentioned that they found it difficult to envision how to use it. Thus, two specific sections of the PAG were used: Mapping the delivery system (tool 1) and the Five Needs tool (tool 2). The facilitators highlighted some points to consider for their planning of the bottleneck assessment: use a systematic approach with a tool to do an assessment; find a way to update it; carry out a collaborative process involving various actors working at different spaces in the program delivery system; find a way to prioritize the bottlenecks and address some of them. From participants' comments on this session, it seems that the practical exercises helped them very much in understanding how they could carry out this assessment. The planning for this assessment will require support from the SISN technical lead, but it seems that the teams see the benefits and that it is feasible.

Session 5: Knowledge brokering

The guidance on knowledge brokering had been shared through a guidance note with the NGOs early on during the proposal writing process. This note was a response to some questions asked by several people. The initial plan from SISN and 3ie was to hire a knowledge broker in each country. After a review of the literature, and the unlikely prospect of finding a single person with all the necessary skills and attributes to play this role, it became clear that ISI should seek to form knowledge brokering teams instead. This session began with a self-assessment based on Belbin team roles[2]. Each participant was able to see what was their preferred team role among the following: innovator, coordinator, monitor evaluator, implementer, completer finisher, resource mobilizer, shaper, teamworker. The exercise took more time than expected, but it was quite appreciated by participants and led to valuable discussion about the desired composition of the core teams. A parallel was shown between the Belbin roles and the tasks identified for the team-based approach to knowledge brokering. Although the teams did not have a chance to good deep into the separation of roles, it provided them tools to help them clarify their roles, based on their own individual preferences. Based on the guidance note on knowledge brokering provided before the workshop, members from one team had already met and discussed the guide, and found it useful. In this session, the different levels

[2] More information can be found at : http://www.belbin.com/about/belbin-team-roles/

of engagement among the country team members was also discussed. For example, people from MoH may not have time to be closely involved in certain activities, but they should remain in the loop. The core team from Kenya, that included MoH representatives, was able to touch on this issue, but the Uganda team was not able to do so because no MoH representative was present for this session. This is a point the team will need to follow-up on.

Session 6: Country learning approach about IS/IR

The session was built for the country core teams to consider the various groups and stakeholders who could be engaged into an IS/IR network in country. The teams worked individually and then shared some of their ideas in plenary. The discussion allowed the teams to realize that altogether they have access to an important pool of resources in the country and they have access to multiple stakeholders who could become part of this network. A key lesson was to use existing networks and groups rather than creating new ones.

Session 7: IS learning and high-level research agenda

This session did not take place. It was envisioned to begin discussing IR in this session. A major challenge experienced during the planning process was that before we could even discuss IR, it was necessary to understand all the other components, because IR was the end goal (in a certain sense). This led to a situation in which the NGOs were receiving a grant to develop their IR study, but we could not talk much about it. They needed to plan and undertake a systematic comprehensive assessment before. Nonetheless, the questions raised by participants regarding the specific IR studies to be undertaken were answered. Considering that this point was not raised in the end-of-workshop survey, we assume that participants received enough information about the research pieces, for present purposes, and once researchers are involved the project managers will work with the SISN technical lead to develop the research proposals.

Participants' satisfaction about the workshop

Annex M presents the end-of-workshop survey form that was used after each day. **Annex N** presents the results of the survey. Overall, the workshop sessions were much appreciated and the participants appreciated the value-add of this workshop for their proposal writing. It was mentioned that the length of some presentations was perceived as long, and some would have liked even more group work, despite that the workshop already included much group work. There was also a need to balance between providing some guidance (often requested by participants) and leaving them time to apply some of the exercises and content. Some participants would have liked to receive guidance along the way to simplify several things earlier. However, it is important to note the nature of this initiative, as a learning project. This means that the simplification comes after having acknowledged the challenges experienced by the country teams in response to the various documents of ISI. Thus, although we draw insights from this experience, it would not have been possible to go the other way around, by providing guidance based on the challenges without first having identified those challenges and the ways to address them. This is an important point that needs to be kept in mind as it will mostly likely be experienced at other times of the ISI. This emphasizes the importance of the documentation of these experiences.

POST-WORKSHOP

After the workshop, one core team has already submitted a revised proposal. Reading through this revised version makes clear that a main objective of the workshop, which was to strengthen the proposal, was achieved. The approaches proposed by the NGO regarding the various components are well articulated, simplified and much more developed to also fit into their contexts.

Insights and suggestions

These early experiences in planning and conducting the workshop, and the various data collected since the beginning of ISI, lends to several insights and suggestions.

1. ***The workshop could precede and aim to strengthen the proposal writing process*.** There is good reason to believe that it would be beneficial to have the workshop before the core teams even begin writing their proposals. This would avoid them spending much time in trying to understand the various components of the initiative. 3ie has positive experiences with a matchmaking event in which the creation of teams happened after an initial workshop. While IS is relatively new and ISI is quite different from 3ie's usual projects, both organizations (SISN and 3ie) could envision the benefits of having the workshop earlier. This could also help to engage MoH or other government representatives early on, right at the beginning of the workshop, so they could be further involved and share ideas for the development of the content of the proposal. One important counterargument, however, is that the current arrangement (with proposals developed beforehand) allowed the country core teams to come to the workshop well-prepared and with a lot of questions. This made the group work and discussion very rich and they got what they needed from the workshop. Until participants play and try to use some of the concepts and tools, they will not gain the same awareness. Therefore, having the workshop earlier may also influence the levels of learning. In addition, the workshop planning was based in response to comments and exchanges with participants, something that could not have happened had the workshop being done before the writing process. While funds for grant management were purposefully restricted to provide more funding for the core teams to implement the ISI, additional funds to both competitively bid the projects and provide two workshops, one prior to the proposal writing and one after, could also facilitate the selection of teams and improvement of proposals.

1. ***Having expertise on partnership brokering was quite valuable and likely will bring additional benefits to the initiative***. The involvement of an expert on partnership brokering during the workshop, and the effort to begin the partnership formation between 3ie and SISN was very helpful. The distinct organizational cultures and the need to define new roles and responsibilities for this specific initiative required a calibration period in which open discussions and adjustments were necessary. The professional partnership broker was originally engaged to assist the country teams but, fortuitously, she was also able to assist the lead organizations. The emphasis on partnerships, as well as the distinct perspectives of 3ie and SISN, was also noted and appreciated by some of the workshop participants. Finally, during the "extra" (third) day of the workshop with the project managers, it was possible to discuss some challenges that the country teams were already anticipating. The partnership broker was helpful in the discussions and likely could play

valuable roles later in the initiative as and when the teams experience partnership difficulties, as most always do.

2. ***Time for cross-learning among both countries was limited***. Although the initial intent was to foster collaboration and cross-learning between the core team members from both countries, it was difficult to achieve. There was minimal time for having group exercise with mixed participants. This point was not raised in the evaluation survey, most likely because participants understood that they needed to be working with their own team for most sessions. Nonetheless, this is a point that the facilitators and organizers want to keep in mind in order to consider ways by which both teams could benefit from each others' experiences. On the third additional day for the project managers, some time was spent so they got to know each other. The SISN technical lead plans to carry out some of the skype calls with the two project managers together, so they can support each other, as they will experience similar challenges.

3. ***The presence of donors and researchers would be desirable at the workshop***. The absence of donors at the workshop was raised as a potential challenge because it would be difficult for them to understand the IS approach and this initiative without having been involved. In addition, the low presence of researchers (there was only one researcher) was noted. A challenge for having the presence of researchers was that the contracting with 3ie was planned to take place after the workshop (which made it difficult for them to invite researchers). This challenge had been acknowledged by different people including 3ie and SISN, but the contracting issue was not the only reason. There was a need to balance the number of participants from both countries. The fact that the workshop was taking place in Uganda would have made easier for researchers to come to the workshop (without contract), but the organizers wanted to make sure that the team were of similar size. In future workshop, this point may need to be discussed.

4. ***The innovation of team-based KB needs to be further followed and investigated***. The session on KB was appreciated by participants and led to important discussions. However, the time was insufficient to examine more deeply how this innovation within ISI will take place. The plan is to continue supporting and documenting the process of team-based KB. This is an aspect that SISN technical lead will focus on in the months following the workshop.

5. ***ISI is a learning initiative, which make it hard to anticipate many aspects, but that emphasizes the importance of documenting the experiences.*** The detailed, prospective documentation of experiences in this initiative is an important (and rare) feature which will provide insights on how to build IS capacity and support IS initiatives in the future. It does require adopting a different mindset about project implementation, a willingness to acknowledge and embrace error along the way and a continuous effort to document the emergent experiences. Fortunately, the parties in this initiative are off to a good start and this will yield good dividends for the global learning objectives of this project.

Annex A: Implementation science proposal guidelines

Introduction to an Implementation Science (IS) Approach

This project seeks to strengthen the implementation of anemia control interventions by applying an implementation science (IS) approach. Such an approach involves complying with several guiding principles, explained throughout these proposal guidelines. Considering that IS is relatively new and that the current project does not involve a competitive process, the national core teams will receive technical guidance from SISN and 3ie to write their proposal. The following two points provide an overview of the proposal content and several relevant definitions are provided in Annex I.
First, the proposal should lay out an explicit theory of change (ToC) for the focal intervention, by adapting the template in Annex II. The ToC will provide the basis for assessing the extent to which all the assumptions and the elements in the program's ToC are happening as expected, help identify key bottlenecks in the focal anemia control program and later guide the development of the implementation research (IR).

Second, the proposal should describe how the principles of IS will be followed. This requires not only that bottlenecks are assessed and analyzed through various forms of IR, but also that the core team will mobilize stakeholders and decision-makers to address the bottlenecks. The Triple-A cycle is a simple way to explain this, as illustrated in Annex III. The figure shows the need for effective interactions among researchers, policy-makers and implementers, not only at the end of the research process but at multiple points throughout the process. It also illustrates three categories of knowledge and experience that can assist such iterative process.

In sum, throughout the project, the core team should use the Triple-A cycle with the program ToC as tools to identify and address any bottlenecks that may occur at any point along the impact pathway. This is the essence of the IS approach as designed for the current project. SISN and 3ie will be collaborating with the core teams in learning about and applying this approach.

Proposal Requirements

1. Programme and intervention

1.1 Overview of the programme

This section should present a one to two paragraph description of the programme within which iron-folic acid supplementation (IFAS) is embedded as part of a larger package of health interventions at the health facility. It should include the overall objectives of the programme, the key activities, the geographic locations to be included in this project and the target groups. The description needs to be appropriate for non-specialist readers.

1.2 Description of the intervention of interest

This section should describe the intervention of interest (IFAS) within the programme with more details. It should include enough contextual information to provide an understanding of how IFAS is placed within the whole package of interventions of the programme and within the larger health system in which it takes place. A particular emphasis should be placed on antenatal care (ANC) services since IFAS is primarily delivered through this channel.

This section should present a ToC for the IFAS intervention. It should begin with the development of a logic model on which the ToC will expand. The ToC should include all the activities, sets of assumptions and external factors, as described below (Annex II).

Activities: *all activities needed to deliver the intervention in an integrated approach along with other interventions. Activities can be related to: production and supply chain, delivery mode, quality and behavior change. It should not include activities related to the other interventions unless they directly affect the program in which IFAS is delivered.*

Assumptions*: events and conditions that need to occur between two elements of the ToC in order to move along the results chain. Those can relate to reach (e.g. specific target groups, scale of implementation, equity consideration), capacity change (e.g. change in knowledge, attitudes, skills, aspirations, and opportunities), and behaviour change (e.g. factors that may prevent women from translating knowledge into action).*

External factors: *events and conditions unrelated to the intervention that can influence the results chain. Those factors can bring positive or negative influence on different elements of the causal pathway.*

This exercise seeks to create a visual depiction of the main components of the intervention of interest, which will then allow better understanding of the programme implementation and identification of various implementation challenges.

1.3 Description of implementation challenges (referred to as bottlenecks)

This section should include a description of several bottlenecks already identified and their importance to the delivery of IFAS. It could also include information about prior attempts to address those bottlenecks. Specifically, it should address the following:

A. Describe your current understanding of the main bottlenecks that are affecting the delivery, uptake and utilization of IFAS. How do you know about those bottlenecks?

B. Describe the underlying system-level factors that are creating those bottlenecks.

The discussion of the bottlenecks will provide a starting point to explicitly describe the nature of the program and its experiences to date. However, it is important to note that those bottlenecks may or may not be the ones selected to be addressed at the onset of the project, because there is a need to undertake a more comprehensive assessment of the bottlenecks and then identify priorities and strategies. The core teams will receive technical assistance from SISN and 3ie on how to undertake such a comprehensive assessment.

2. Implementation Science as an Iterative Process

As explained above, implementation science is not only about doing field research; rather, it is a holistic and continuous problem-solving approach that ensures that key stakeholders are engaged in assessing and addressing critical bottlenecks, as shown in Annex III. Many development organizations

and donors have recognized that some type of holistic and continuous process is needed in order to improve program implementation in complex environments.[3]

This holistic and continuous approach may require some adjustments on the part of members of the core team. Researchers often engage in discrete research projects that have a beginning and an end, but in this case it is a continuous and iterative process. Implementers often engage in planning, process evaluation or assessment exercises only at program inception or at mid-term, but they too must view this as a continuous and iterative process so that problems and bottlenecks can be addressed as they emerge. As such, researchers and implementers (including national or sub-national policy makers) become partners in an ongoing process and programmatic success depends vitally on this partnership.

2.1 Description of the inquiry approach

This section should lay out the approach by which the national core team will assess and document bottlenecks at the outset and then in an on-going manner. The "bottleneck inventory" will be a key tool in this process (see Annex I). Throughout the data collection period, the national core team will use this tool to track its progress and identify ways in which these bottlenecks can be addressed either through accessing and applying strategies, lessons or tools from elsewhere or by undertaking IR. This process will take place in an iterative manner.

A. For the initial identification of bottlenecks:

i. Who will you bring together early in the project (in terms of researchers, implementers and policymakers) to undertake a comprehensive and systematic assessment of the bottlenecks?
ii. What practical and time-limited methodology(ies) might you use for this assessment? (Annex IV provides one example, but you can describe others that have worked well for you in the past).
iii. Since there are several districts or counties in your program area, how will your methodology accommodate the diversity in programmatic conditions and the need to involve diverse stakeholders and decision makers from each? <u>What resources would you need to implement this plan?</u>

B. For the ongoing and iterative inquiries:

i. How will various members of the core team interact with each other and with implementers in the various districts and counties, to track and assist efforts to address the bottlenecks?
ii. How will field notes be kept and by whom, in order to document these efforts and update the bottleneck inventory?
iii. How will your core team access knowledge (i.e., strategies, lessons, frameworks and tools from elsewhere) to address some of the bottlenecks? (Note that SISN/3ie will be available to assist in this process).

[3] One example is Problem-Driven Iterative Adaptation (PDIA): https://bsc.cid.harvard.edu/about

3. Connecting Assessment and Analysis to Action (Annex III)

It is an unfortunate reality that despite the best of intentions and efforts, many if not most efforts to link implementation knowledge and research to action (to improve program performance) fail to achieve this goal. This was stated eloquently in a recent paper: *"Health research is conducted with the expectation that it advances knowledge and eventually translates into improved health systems and population health. However, research findings are often caught in the know-do gap: they are not acted upon in a timely way or not applied at all."*[4] For this reason the current project places a heavy emphasis on making this link to action. It does so, first, by acknowledging that the knowledge of how to make this link is still emerging (as described in the same paper cited above); second, by positioning this project as a collaborative effort between the core teams and SISN/3ie to gain experience with intentional strategies to make this link; and third, by ensuring that these experiences are documented in order to generate lessons for national and global audiences.

3.1 Description of connecting knowledge to action

This section should describe the experiences and perspectives of the core team members concerning challenges and strategies for connecting implementation knowledge to actions to improve program performance. This will provide SISN and 3ie with a baseline understanding of the "knowledge translation" context in each country so that strategies for this component can be collaboratively developed with the core teams during the post-award workshop. Specifically:

A. Considering each of the known bottlenecks you identified in section 2 above, who are the key stakeholders at district level that would need to be involved in addressing each? Which of these would have the final authority and which may be key advisors, influencers, champions, trusted individuals, or knowledge brokers, etc.? (Note that this may vary depending on the bottleneck in question).

B. For each bottleneck, who may need to be involved at the national level (and what roles may they play, as above)?

C. What factors do you think (based on first-hand experience and/or your general knowledge of the context) would enable or inhibit efforts to connect knowledge to action at district level? At national level?

D. What strategies do you think (based on experience or knowledge of context) might be effective in strengthening the enabling factors or overcoming the inhibiting factors?

E. What resources would you need to implement these strategies?

4. Learning approach about IS/IR

This project seeks to improve IFAS in the focal program, but also to facilitate learning in the broader nutrition stakeholder community about the methods, experiences and benefits of building local capacity for IS and applying IS to other nutrition programs.. For this latter purpose, there is a need to engage various stakeholders from the beginning. This section should describe how the national core team envisions cultivating the interest in IS/IR with a larger set of stakeholders in nutrition and bringing them together on a periodic basis. Note that different methods might be needed for different members or sub-groups of this stakeholder community.

A. Which stakeholders would you seek to involve?

[4] Open Access: https://implementationscience.biomedcentral.com/articles/10.1186/s13012-017-0700-y

B. What activities might be organized for this purpose? At what frequency?
C. Which existing forums might be used?
D. Who in the stakeholder group might be an ally in convening and engaging them?
E. What other organizations or individuals in the country are already committed to and/or engaged in IS/IR (even if by another name) and might collaborate with you in cultivating broader interest?
F. What resources would you need in order to implement the above plan?
G. If you were to catalyze the formation of an IS/IR Network in the country, who would you involve and how would you go about it? <u>What resources would you need for this?</u>

5. Project management

5.1 Management plan

The management plan should describe the overall management for the project, including the IR. The plan should identify a single project lead for the project as a whole and indicate their level of effort in the budget. This project lead must have the authority to speak for the prime grant-holding institution. This project lead will be the primary point of contact for 3ie.

5.2 Staffing plan

In country, a coordinator/knowledge broker hired by the selected implementing agency will coordinate among the various members of the national core team, including stakeholders at the national level as well as county/district level. This coordinator/knowledge broker will play a central role by: a) assuring project coordination; b) providing knowledge brokering activities; and c) cultivating interest in IR/IS among nutrition stakeholders. Knowledge brokering includes facilitating the process of identifying bottlenecks, collaborating with SISN/3ie to identify existing tools, frameworks or guidelines to address these bottlenecks and supporting researchers to test new and innovative implementation practices. Desired qualifications of the coordinator/knowledge broker include:

- Good relationships with key stakeholders (in Ministry of Health, in the focal program and possibly in the broader nutrition community)
- Multi-year experience with health/nutrition program management/implementation, monitoring and evaluation and/or quality improvement
- Able to work semi-independently to achieve project objectives
- Outgoing personality, effective networker, considerable people and organizational skills
- Curiosity, critical thinking, appreciation for research
- Familiarity with the focal anaemia control programme or other similar programme is desirable

This section should present the names and credentials of the research PI (or PIs) and any other key personnel needed for the conduct of the IR. Curriculum Vitae (no more than four pages each) should be included in an annex, but all relevant qualifications should be summarized in the text of the technical proposal.

This section should indicate which members will be available to attend the post-award workshop that is to be held approximately 6 weeks after proposal submission (to be discussed). The post-award workshop is hosted by 3ie and most travel costs (outside of time) are covered by 3ie. This is a pre-program activity and should not be included in the project budget. 3ie allows for up to three people

to attend. At least one researcher and one implementer (someone from the implementing organization) should attend, and we recommend that the project coordinator/knowledge broker attend as well.

5.3 Budget

The budget does not need to include detailed activities and specific costs. It does, however, need to work within a $400,000 budget ceiling and estimate general costs. For example, please include all the personnel and their estimated salary (does not have to be a specific person, could be a position title), travel costs for trips to, between and from study sites/headquarters/local meetings, meeting and event costs (estimate the number and cost of each), and other direct costs. Personnel costs should be associated with the IR activities and not the activities already being implemented as part of the standard service delivery and/or program.

Note that we have already indicated some key activities that will require resources from your budget (these are underlined in sections 2.1, 3.1, 4.1). These should be considered provisional estimates that may change based on collaborative discussions with SISN/3ie in the coming weeks.

Please note that indirect costs are limited to 15% for the prime grantee, and the grantee may not claim indirect costs on any amount provided for a sub-grant. Sub-grants, if necessary, can only be made to research institutions. The sub-grantee may not charge more than 15% in indirect costs and they may not make any sub-grants. A budget proposal must include the following elements in the required formats:

A. Line-item budget proposal conforming to the 3ie direct cost policies and using the 3ie budget template, which includes the below line items:

i. Staffing
ii. Travel
iii. Data collection
iv. Consultants
v. Other direct costs
vi. Sub-grants (you cannot collect indirect costs on sub-grants)
vii. Dissemination (not a specific line item, but the budget must include funds to disseminate final project findings at the national level—these funds can be budgeted under Other Direct Costs, travel, and staffing for their time)

B. Budget narrative submitted as a Word file according to the instructions in the budget workbook template.

Annex I: Terminology

Problem-Driven Iterative Adaptation (PDIA) is an intentional [and iterative] approach to solving problems in response to new information and changes in context."[5]

Bottleneck Inventory is a living document, updated over time, that records the factors that are preventing the program from achieving its objectives (these are the "bottlenecks"), the factors that are creating the bottlenecks, what efforts have been made to address them, the experiences and outcomes from those efforts and the next steps.

Implementation Knowledge refers to frameworks, tools, innovative approaches and experiences from the same setting or elsewhere that can help solve problems and perform various implementation tasks.

Implementation Science (IS) is "an interdisciplinary body of theory, knowledge, frameworks, tools and approaches whose purpose is to strengthen implementation quality and impact.[6]" It involves the use of existing Implementation Knowledge and new knowledge arising from implementation research in context. The core principles of IS include:

1. Collaboratively identify research topics based on priority implementation questions or bottlenecks,
2. Mobilize existing knowledge, frameworks and tools to address some of the bottlenecks whenever possible,
3. When research is needed, use methods with the level of rigor, practicality and timeliness appropriate to the decision context,
4. Facilitate formal and informal interaction, knowledge exchange and collaboration between researchers and program/policy actors on a regular basis to ensure the knowledge is being used to improve program implementation.

Implementation Research (IR) is defined by its objectives and not the type of study or its design. IR can take many forms and be called different names, which makes it difficult to recognize at times. It includes: formative research, opinion leader research, stakeholder analysis, rapid assessment, operations research, acceptability assessments or trials, capacity assessments, costing studies, bottleneck assessments, etc.

Knowledge Brokers are individuals at the interface between knowledge and practice. They facilitate the processes of identifying bottlenecks, identifying tools, frameworks, strategies or research to address them, and facilitating the uptake and use of those knowledge products.[7,8] In this project the

[5] https://bsc.cid.harvard.edu/about

[6] SISN. The five domains that affect implementation quality and impact. Available at: http://www.implementnutrition.org/the-many-forms-and-purposes-of-implementation-research-in-nutrition-definitions-domains-and-distinctions-for-advancing-research-and-practice/

[7] Foundation, Canadian Health Services Research. (2003). *The Theory and Practice of Knowledge Brokering in Canada's Health System: A Report Based on a CHSRF National Consultation and a Literature Review December 2003*: Canadian Health Services Research Foundation. Available at: http://www.cfhi-fcass.ca/migrated/pdf/Theory_and_Practice_e.pdf

knowledge broker on the core team will be supported by SISN/3ie staff in the knowledge brokering process.

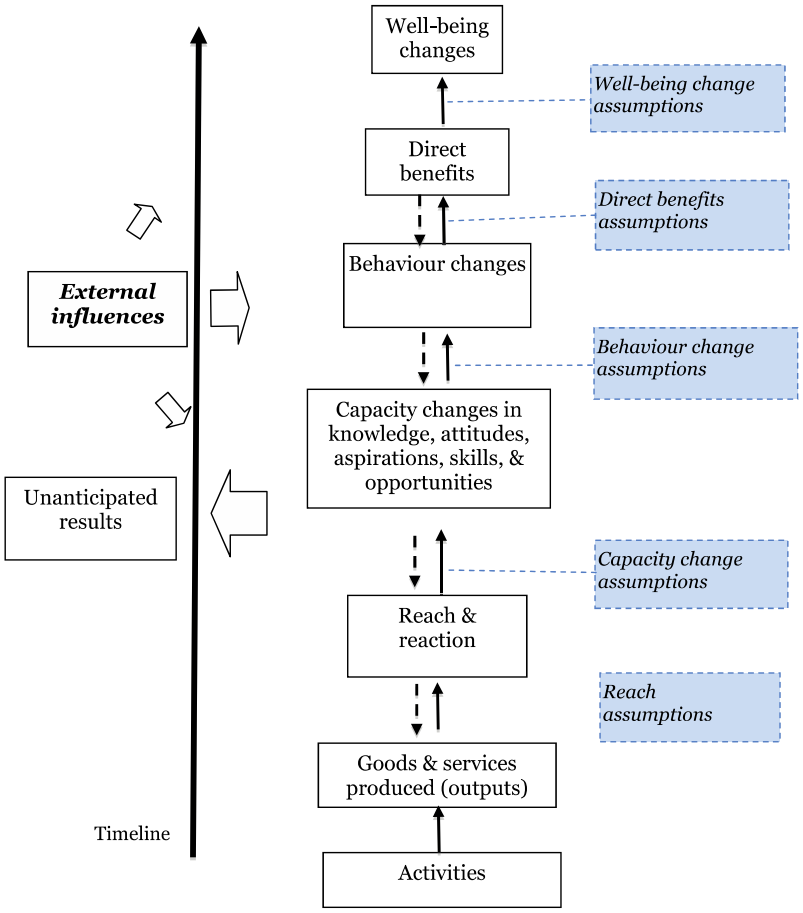
Logic model (also known as a logical framework) is a management tool for planning, implementing and evaluating programs, consisting of a graphical depiction (or matrix) of the logical relationships between the resources, activities, outputs and outcomes of a program.

Theory of change, another management tool, is a more elaborated and detailed version of a logic model that makes explicit the conditions that must exist in order for each causal link in the logic model to occur. As such it spells out the often tacit assumptions built into the logic model and helps identify potential bottlenecks and ways to address them.[9]

[8] Ward, Vicky, House, Allan, & Hamer, Susan. (2009). Knowledge brokering: the missing link in the evidence to action chain? *Evidence & Policy: A Journal of Research, Debate and Practice, 5*(3), 267-279. Available at: https://www.ncbi.nlm.nih.gov/pmc/articles/PMC3024540/pdf/ukmss-31790.pdf

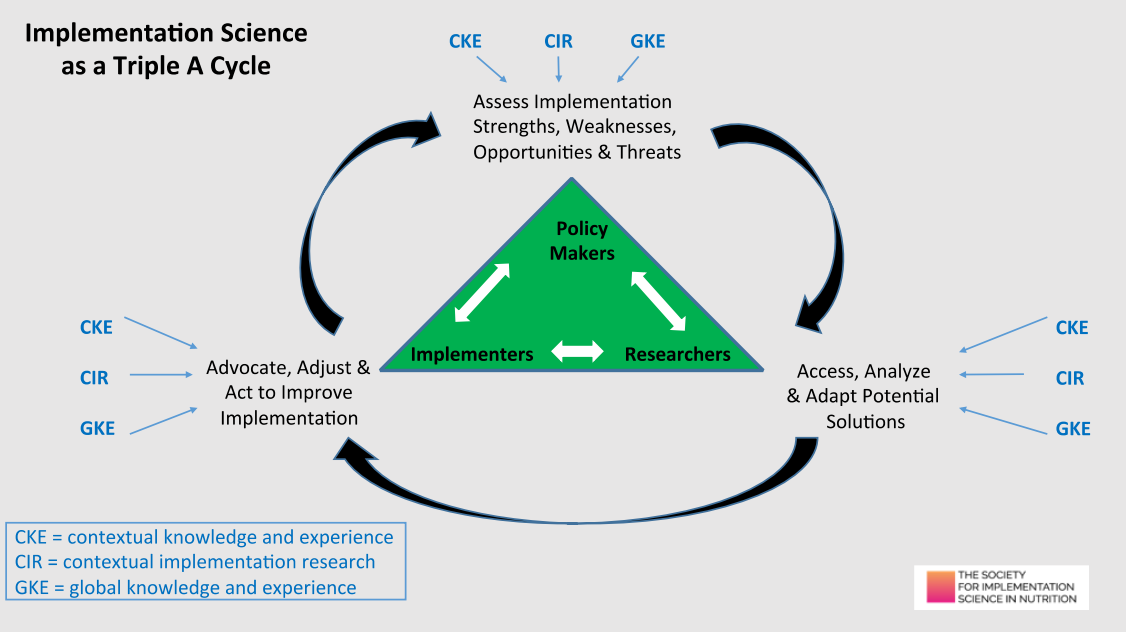
[9] http://www.tools4dev.org/resources/theory-of-change-vs-logical-framework-whats-the-difference-in-practice/

Annex II: Generic Model of Theory of Change (ToC)[10]



[10] Mayne, John. (2015). Useful Theory of Change Models. *Canadian journal of program evaluation, 30*(2).

Annex III: Triple A cycle[11]



The triangle illustrates that the interactions among the policy makers, implementers and researchers bring a wealth of complementary knowledge, which allows one to undertake the Triple A cycle. The current project is based on the assumption that those interactions are necessary not only to carry out an assessment, but also to analyze and adapt potential solutions. Once the solutions are put in place, then the assessment continues with an examination of how it strengthens the implementation and a second round can take place to identify additional implementation challenges (bottlenecks).

CKE
Contextual Knowledge and Experience

The knowledge and experience of actors in a given country used in everyday decision when planning and implementing programs, including:

- *Stakeholder relations, histories and dynamics,*
- *Capacity strengths and weaknesses,*
- *What has or has not worked, where, when, how, why*
- *Formal and informal administrative procedures*
- *Etc.*

CIR Contextual Implementation Research

practical inquiries embedded in and connected to implementation in a given country, such as:

- *formative research,*
- *stakeholder analysis,*
- *opinion leader research,*
- *rapid assessments,*
- *operations research,*
- *special studies,*
- *process evaluation,*
- *costing studies,*
- *Delphi studies,*
- *various forms of quality improvement or quality assurance,*
- *Etc.*

GKE
Global Knowledge and Experience

Published or unpublished findings, frameworks, tools and guidelines from:

- *implementation research in other countries*
- *implementation experience in other countries*

and

Experiential knowledge of practitioners from other countries

[11] SISN, IFPRI, SUN secretariat. Sharing knowledge, methods, and experiences on implementation: How can SUN Countries better implement priority actions? Session presented at the SUN Global Gathering, Abidjan, Ivory Coast, November 2017.

Annex IV: Tool for comprehensive assessment of program bottlenecks – Program Assessment Guide[12]

The Program Assessment Guide (PAG) was developed as a 'structured, systematic method for country teams to make decisions related to the design, implementation, and improvement of nutrition interventions delivered at scale in low-income countries.' The PAG involves a 9-step analysis and decision process typically carried out in a 3-day workshop regarding a particular intervention.[13] The PAG has proved to be effective not only during the planning phase of the intervention, but to re-visit the objectives of a particular program, the program theory or the design and implementation plans. The PAG is an example of a tool that could help the national core teams to undertake a systematic assessment of bottlenecks of their focal program.

Table 1 presents a brief description of the 9 steps of the PAG with illustrative examples of how the steps (or only several steps) could reveal different types of bottlenecks in the focal program.

Table 1: Steps of the Program Assessment Guide

Steps/modules	Description	Types of bottlenecks uncovered
Laying the Groundwork		
Clarifying the problem and the solutions	Clarify the focal nutrition problem and the types of solutions being proposed.	When using the PAG for an existing program, we begin the assessment at step 3.
Goals and associated values	Envision the desired future and develop a common statement.	
Delivery systems	Map out the systems involved in delivering commodities and behavior change to the target populations at various levels.	By using a visual depiction of the whole system, based on the collective knowledge of the stakeholders, this exercise reveals a first round of bottlenecks.
Hard to reach populations	Identify specific vulnerable or hard to reach groups and people or organizations that might help reach them.	These types of bottlenecks may be less visible because they are more related to the typical 20% of the target population who are not reached, but who may benefit the most from the intervention.
People, roles & responsibilities	Identify the roles and responsibilities that each staff member should fulfill at each level of the delivery system.	This step takes a people-centered perspective on the delivery systems and helps to ensure that their central roles are considered. Bottlenecks that hinder their work can then be identified and considered.

[12] Pelletier D, Corsi A, Hoey L, Houston R, Faillace S. Program Assessment Guide. August 2019, A2Z Project, AED, Washington DC. Available at: http://www.a2zproject.org/pdf/PAG.pdf

[13] Pelletier, David, Corsi, Allison, Hoey, Lesli, Faillace, Silvana, & Houston, Robin. (2011). The program assessment guide: an approach for structuring contextual knowledge and experience to improve the design, delivery, and effectiveness of nutrition interventions. *The Journal of nutrition, 141*(11), 2084-2091.

Building or Strengthening the Intervention		
Needs, inputs, activities, and system changes	Identify what actors in the system need to successfully fulfill their roles and responsibilities (inputs, activities and system changes). Five categories of needs are considered: awareness, knowledge information and skills, motivation and commitment, resources, and support from others.	This step will reveal if the different needs of staff seem met. Although it will not be possible to examine this for each staff position, the core teams could select critical positions for which they would want to undertake a closer look. If one bottleneck identified is related to one particular staff position, such deeper analysis of underlying bottlenecks could be insightful.
Action planning	Specify the people, organizations, resources, supports, accountability and timetables needed to deliver (all the various elements identified previously).	For a program already implemented, this step can be used to do a deep dive on one part of the program. In addition, if a solution has been selected to address a bottleneck and be implemented, there is a need to think about the planning of this new solution.
Building Support Systems and the Enabling Environment		
Monitoring & evaluation and quality improvement	Identify critical control points in the delivery systems to be included in the M&E and QI systems.	This step can help the core teams specify the weak links in the delivery systems that should be monitored as implementation continues.
Organizing, leading and managing	Ensure that the vision, values and goals created when carrying out this exercise become reality. This involves envisioning the change process.	The current project seeks to allow a change process to become possible by creating a core national team that includes key stakeholders to undertake an ongoing assessment and take actions whenever needed.

The PAG is only one example of a tool that can be used to carry out a comprehensive assessment of bottlenecks. Guides, such as the “Bottleneck analysis” from UNICEF, could also be used for undertaking such an assessment. Several tools will be shared with the core teams to help them decide on which ones they would like to use.

Annex B: Components of the Implementation Science Initiative

The Implementation Science Initiative (ISI) involves the undertaking of six components that are described below. Table 1 presents a timetable with key milestones. Table 2 provides illustrative examples of processes and outcomes to carry out each of those components.

Component 1 - creation of a national core team to apply an IS approach: The implementer will undertake an IS approach and lead the creation of a national core team that will include a senior Ministry of Health (MOH) nutrition decision-maker, a senior nutrition expert from the contractor, a coordinator/knowledge broker hired by the contractor (employed for the project), researcher(s) in country and any other actor that the team feels should be included. Throughout the project, the core team will use the Triple-A cycle (Assess, Analyze, Action) with the program ToC as tools to identify and address any bottlenecks that may occur at any point along the impact pathway. The core team will, together, mobilize additional stakeholders and decision-makers to address the bottlenecks identified, as needed. During the post-award workshop, the core team will collaboratively develop strategies to ensure that knowledge is used for action. They will create a platform and/or modalities for information sharing among themselves.

Component 2 - creation and continuous updating of a bottleneck inventory: This initiative seeks to identify and address implementation bottlenecks throughout the duration of the initiative. The implementer will undertake a comprehensive baseline assessment with involvement of the entire core team to identify the main bottlenecks affecting the delivery, uptake and utilization of iron-folic acid supplementation (IFAS) and updating this over time. This will involve implementing a holistic and continuous problem-solving approach that ensures that key stakeholders are engaged in assessing and addressing critical bottlenecks. The implementers will work with the entire core team and especially the MOH to ensure the bottleneck inventory considers the system-level factors that are creating those bottlenecks. This will help ensure that strategies are developed to also address the bottlenecks. The undertaking of the comprehensive assessment will involve interaction with SISN so existing knowledge, tools and frameworks can be located to address bottlenecks, and eventually identify potential research questions to develop the implementation research (IR).

Component 3 - implementation research (IR): Once the baseline bottleneck assessment has been carried out, the stakeholders will seek to address some of the bottlenecks identified through: a) using existing knowledge when possible (through experience and tools, frameworks or known innovations), and b) identify when additional knowledge is needed, which will be gathered through various forms of IR, assessments or inquiries. Study protocols will be formulated with leadership from the researchers, but involvement from all members of the national core team.

Component 4 - knowledge brokering (KB) strategy: This initiative seeks to use an innovative strategy of knowledge brokering to address the gap between knowledge and action. The strategy can be referred as a 2-level knowledge brokering strategy. Level 1 involves the direct engagement of a knowledge brokering team in country who is closely linked to implementation. Level 2 is the SISN senior technical advisor who will provide support to the knowledge brokering team in country, primarily through direct engagement with the project manager. The use of a KB strategy will allow

bringing in tools, frameworks and innovations or experiences from elsewhere to address the identified bottlenecks when necessary.

Component 5 –IS network to build national interest and capacity for IS/IR: This will help catalyze, facilitate and/or support the formation of an interactive platform (e.g., "IS network"), with varying degrees of formality or informality, that brings researchers and policy/program actors together, focusing in the early stages on those interested in anemia control but with an eye towards expansion in the longer-term. This may involve the use of an existing network in which some synergies could be built.

Component 6 - ongoing documentation of the experiences: the documentation of the experiences over the course of the initiative is a key component. This documentation will help generate lessons for national and global audiences. The documentation will include updates on the various components of the initiative that highlight lessons learned and adaptations in reaction to emerging findings from the context. For example, the holistic and continuous approach may experience challenges and require some adjustments on the part of members of the core team, and this should be documented.

Table 1: Timeline of key milestones

Milestones	**Date targeted for completion**
Project plans finalized	July 15. 2018
Baseline bottleneck inventory completed	October 15, 2018
First IR study started, data collection	December 30, 2018
1st webinar	By Jan 31, 2019
Second IR study	June 30, 2019
2nd webinar	By July 31, 2019
3rd webinar	By Jan 31, 2020
Results-sharing event	May 15, 2020

Table 2: Components detailed

Phase/components/activities	Type of process expected	Soft outcomes	Hard outcomes and timeline
Component 1: national core team to apply an IS approach - Identification of the core team members - Meeting with MOH actors - Identification of the MOH focal points - Development and agreement on strategies to ensure knowledge is used for action - Creation of a platform for information sharing	- Meetings - Consultation with relevant key stakeholders - Workshop - Facilitation of formal and informal interaction - Bi-monthly or quarterly conference calls with SISN working group - Participation in SISN webinars	- Shared vision for the IS approach - Use of a common approach (Triple-A cycle with the program ToC) - Creation of a platform and/or modalities for information sharing - Effective working relationships - Increased leadership role by the team members	- Draft IS proposals submitted **(30 may 2018)** - Participation in the workshop (**30 June 2018)** - Revised IS proposals submitted, including budget **(15 July 2018)** - Participation in the IS network webinars: - Webinar #1 (by 31 January 2019) - Webinar #2 (by 31 July 2019) - Webinar #3 (by 31 January 2020)
Component 2: creation and continuous updating of a bottleneck inventory - Baseline identification of bottlenecks - Undertaking a comprehensive assessment to identify main bottlenecks - Set of prioritized bottlenecks to be addressed - Description of system-level factors creating the bottlenecks - Update of the bottleneck inventory	- Systematic synthesis of contextual knowledge and experience with relevant stakeholders - Formal assessment among the core team - Decision-making among the core team (prioritization) - Interaction with SISN and 3ie - Weekly or bi-weekly skype calls with SISN KB - Webinars	- Creation and use of a holistic and continuous problem-solving approach - New or enhanced understanding of bottlenecks and their causes - Common agenda of bottlenecks to address	- Comprehensive bottleneck assessment (30 July - 15 August 2018) - Initial report on the bottleneck assessment, summarizing findings and presenting recommendations (30 August 2018) - Updated bottleneck inventory (with the progress report) - Bottleneck inventory final report **(submitted by 30 May 2020)**
Component 3: IR - Use of existing knowledge to address bottlenecks - Articulate research questions - Articulate approach for evidence uptake - Identify the researchers to be involved (if not already done) - Develop research proposals	- Meetings - Consultative process with key relevant actors - TA - Bi-monthly or quarterly conference calls with SISN working group	- Common understanding - Agreement on the research questions - Appropriate interpretation and application of IR findings	- Study protocols submitted to IRB (1 September 2018) **(IRB approvals obtained by 15 September 2018)** - Data collection (variable, but tentative 31 December 2018 for the first IR study) - Amendment submitted to IRB committee for the second IR study (tentative date, 30 June 2019)

- Submit research protocols to IRB - Carry out the study - Amend research protocols to carry out an additional IR study - Use emergent findings from IR			- IR report submitted by each country team (**30 May 2020**)
Component 4: KB strategy - At the workshop, discussion on roles and responsibilities of the members of the core team (knowledge brokering team) - Identification of gaps in specific skills to play KB activities - Identification of other individuals playing already KB activities - Capacity building of the project manager to increasingly play KB role	- Weekly or bi-weekly skype calls - Field visits and ongoing remote support by SISN KB - Log book - Reflective practice exercise - Webinars - TA	- Living document on the various tools and frameworks used (for KB) - Enhanced skills of the project manager in the 5 KB domains - Trust developed by the local project manager with key stakeholders	- Log books filled by the project manager in country on activities carried out (monthly) - The month following each TA visit in country by the SISN KB, the project manager will produce a brief action report to describe the actions that were put in place: 1: 31 December 2018 2: 30 June 2019 3: 31 December 2019
Component 5: IS network to build national interest and capacity for IS/IR - Identification and link if there is an existing IS network (e.g. health system strengthening, others) - Understand their work and modality - Participate in their activities - Assess potential collaboration with them - Establish formal collaboration	- Consultation in country - Participation in existing network - Annual virtual meetings on IS/IR - Potential synergy with SISN webinars	- Understanding of IS existing network in country (e.g. Health System Strengthening) - Enhanced capacity for IS in country	- Dissemination of ongoing program improvements through policy briefs, presentations and possibly media coverage
Component 6: Ongoing documentation of the experiences - Purposeful reflection on the process and experiences	- Use of developmental evaluation - Weekly or bi-weekly skype calls - Site visits - TA - Local or global venues to share emergent experiences	- Development of trust between the SISN KB to gather insights throughout the process - Position members of the core teams as emergent leaders of IS	- Co-author final publication based on the country experience is drafted and produced - Final manuscript (**31 August 2020**) - Country briefs (15 September 2020)

Annex C: Guidance note on theory of change[14]

Background

Theories of Change (ToC) have increasingly been used in program evaluation, most specifically to explain how a program is expected to lead to desired results (Mayne, 2015). At its core, a ToC explains how and why an intervention or program is expected to have its intended effects. It should also include external factors that may affect its ability to achieve those effects. In this Implementation Science Initiative, the ToC will correspond to an implementation ToC, and will be used for different purposes presented in this guidance note. This document was prepared based on the literature and in response to the experiences and challenges expressed by the country core teams during the proposal writing process.

The country teams have already put together a ToC, so this will be the starting point at the workshop. Among the core team members, views may differ on various elements related to the ToC. The different perspectives are important to discuss because they can help clarify and strengthen the ToC. In addition, the work of the members of the core team may be located at different points of the national system. This means that some actors may have a partial but deeper understanding of some parts while others may have broader systems view. This participatory workshop brings the opportunity for the actors to build on their tacit knowledge, which will help strengthen the ToC.

Purposes of the ToC

ToC can be used for various purposes and 10 of them are enumerated below (Mayne, 2015). For this initiative, we envision that there will be three main purposes of the ToC (#6-8).

Designing/planning interventions

1. Designing interventions
2. Understanding and agreeing on interventions with stakeholders
3. Identifying and addressing equity, gender, and empowerment issues
4. Ex ante evaluation of proposed interventions

Managing interventions

5. Designing monitoring systems
6. Understanding implementation, managing adaptively, and learning

Assessing interventions

7. Designing evaluation questions, methods, and tools
8. Making causal claims about impact
9. Reporting performance

Scaling

10. Generalizing to the theory, to other locations and for scaling up and out

[14] This document was developed based on the following papers:
Mayne, John. (2015). Useful Theory of Change Models. *Canadian journal of program evaluation, 30*(2).
Mayne, John. (2018). Developing and using useful theories of change. Available at:
https://www.researchgate.net/publication/317371677_Developing_and_Using_Useful_Theories_of_Change

In this guidance note, we discuss only the purpose #6, which focus on implementation. The ToC will help the core team to put their perspectives in common on how the intervention of interest (IFAS) is expected to be implemented. The ToC is a tool that should not be considered as finalized as it will probably be refined throughout the initiative as more information is obtained on different selected elements of the ToC, for example.

How to build a solid ToC?

For this initiative, various ToC could be developed. The focus of the present ToC should be on the implementation of IFAS intervention. There are a few steps that can be followed to properly develop a ToC. Those are described below with an orientation towards implementation.

Step 1: Develop the logic model

Begin with a logic model to illustrate the various activities of the implementation of IFAS intervention, and how they are expected to lead to the desired results. The following elements are commonly seen in logic models: activities, outputs, intermediate outcomes, long-term outcomes, impact.

Be careful to stay focused only on the activities for the implementation of the IFAS (the intervention), and not on the mechanisms of the intervention itself neither on the activities of the focal program of the NGO. Activities of the implementation often fall into three categories: policies, product supply management and behavior change approach. Those can be used as a starting point.

Step 2: Articulate the assumptions behind the links in the logic model

A link leads each element of the logic model to the subsequent one. The second step is to formulate assumptions for each of these links.

- What salient events **have to occur**, or what conditions **must be in place,** for each link to work as expected?
- What is **necessary** for the link to work?
- What is the basis for believing this link will occur (e.g., evidence from previous formal studies, prior experience in this setting or others, strong theoretical considerations, authoritative statements from normative or expert institutions, etc.)

An assumption is an **explanation** of how and why the link happens. It is not a description of a link.

Step 3: Think about the external influences

Consider the external influences that can be at play. External influences are events or conditions, **unrelated to** the implementation of IFAS intervention, that could affect this implementation either positively or negatively. They can include political events, economic or social trends, weather or natural shocks, other interventions or programs in the area.

Step 4: Identify unintended effects

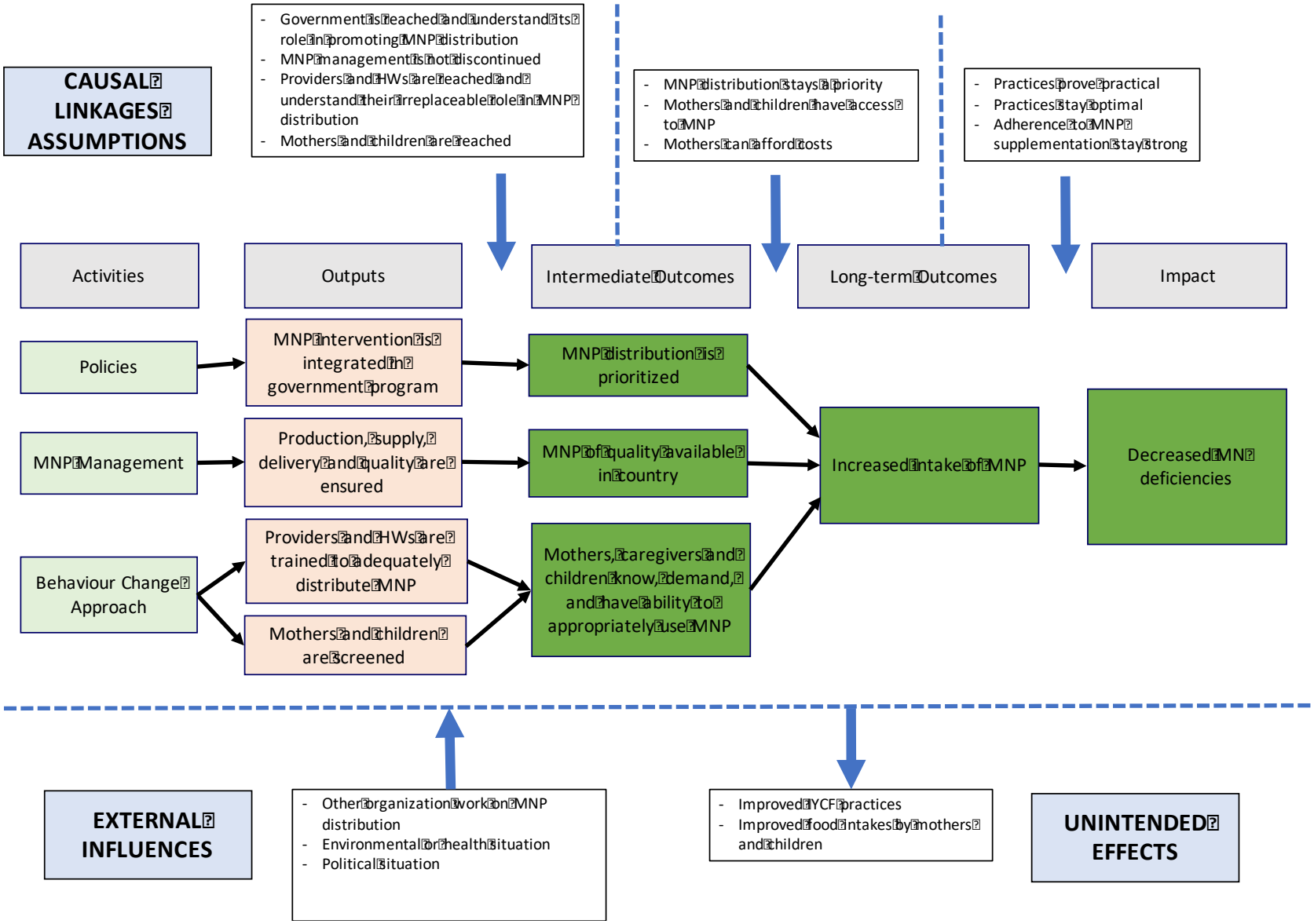
Try to identify some unintended effects of the implementation of IFAS intervention. The unintended effects can be defined as positive or, more usually, negative effects that occur **as a result of** the activities and results. Some unintended effects can be anticipated (which you are asked to do in this step) and others come as a surprise and can only be identified through ongoing vigilance and assessments during implementation.

Table 1 presents a checklist to help you consider various elements.

Table 1: Checklist to create a proper ToC

		Yes	No	Further action
	Step 1: *Develop the logic model*			
1	The focus of the ToC should be the implementation of IFAS intervention. Is there anything in your ToC that do not belong to the implementation of IFAS?			
2	A ToC can be shown at any level of detail. When it is too detailed, it may not be as useful as it becomes very complex. Do you feel that you have the right level of detail?			
3	Activities represent the main actions of different people involved in the implementation of the IFAS intervention. Have you thought about the following categories of activities: policies, product supply management and behavior change approach?			
	Step 2: *Articulate the main assumptions behind the links in the logic model*			
4	Each of the assumptions can be a threat to the realization of a particular link. In other words, the assumptions **need to occur** for a particular link to work. Is this the case for each of your assumption?			
	Step 3: *Think about the external influences*			
5	Are your external influences really **unrelated** to the implementation of the IFAS intervention?			
6	Have you considered political events?			
7	Have you considered potential natural events?			
8	Have you considered/identified other programs that are occurring concurrently?			
9	Have you considered social or economic trends?			
	Step 4: *Identify unintended effects*			
10	Are your unintended effects really **related to** the implementation of the IFAS intervention?			
11	What could be some negative effects of the implementation of IFAS intervention?			
12	What could be positive effects of the implementation of IFAS intervention?			

Figure 1: Example of implementation ToC



Annex D: Guidance note on knowledge brokering

Background

The International Initiative for Impact Evaluation (3ie) and the Society for Implementation Science in Nutrition (SISN) have partnered to carry out the Implementation Science Initiative (ISI) that aims to improve the implementation and scaling-up of anemia control programs (ACPs) for women in Kenya and Uganda. This initiative has been developed to address: 1) the profound gap between knowledge of what works and the implementation of proven interventions to achieve coverage and impact at-scale; and 2) a major gap in utilization of existing knowledge (of many forms). This initiative will apply implementation science (IS) principles to address these gaps and create an effective coalition of policy makers, program actors, and researchers to strengthen ACPs during implementation. Iron-folic acid supplementation (IFAS) has been selected as the focal intervention and one focal program in each country has been selected to provide the implementation arena.

In each country, a core team is being created with a senior nutrition expert from an NGO, a senior Ministry of Health (MOH) official, a researcher and a program manager to:

1. Identify implementation bottlenecks in the focal program
2. Facilitate access to and utilization of existing knowledge to address them, when possible
3. Conduct Implementation Research (IR) and facilitate the use of findings, when necessary
4. Facilitate capacity building for IS/IR, through learning-by-doing
5. Cultivate interest in IS/IR within the larger nutrition community in the country

ISI will support these national core teams by providing access to user-friendly knowledge, frameworks, guidance and tools to address implementation bottlenecks and assistance to carry out IR. This initiative involves undertaking six core components: 1) forming a national core team to apply the IS principles; 2) create and continuously update of a bottleneck inventory; 3) Apply a knowledge brokering (KB) strategy; 4) conduct IR study(ies); 5) form an IS network to build national interest and capacity for IS/IR; and 6) document experiences in an on-going manner.

The overall goal is to strengthen program implementation by: 1) closing the utilization gap through technical assistance, mentoring and KB, and 2) when necessary, conducting practical IR study in the form of rapid assessments, operations research, process evaluation or other exercises, as appropriate to address the critical challenges facing implementers and policy makers.

A transversal component at the center of ISI is KB because various forms of knowledge are likely to be needed regarding each of the other components. This KB Guidance Note has been developed to help country teams develop and implement their KB strategy.

A major conclusion from the literature on KB is that finding an individual who possess all the qualities necessary to perform KB activities appears daunting and unlikely. This has led to the suggestion that KB should be undertaken by collectives or teams rather than a single individual. Thus, one innovation in the ISI is to include KB as a core component of the work and a second innovation is to use a team- rather than individual approach to KB.

The first step is for the national core team to assess if the ISI team members as a whole possess all the necessary qualities to play the various KB roles. To assist this assessment Table 1 presents the main

qualities and skills required for the initiative. This tool will help identify which qualities already are present on the team as well as gaps or weaknesses. The gaps and weaknesses can be addressed by hiring part-time consultants to carry out specific KB roles or activities.

The core team members could discuss the following questions[15]:

- Does the team have the combination of skills required for the realization of all KB activities?
- What skills are currently weak or lacking and how can their development be supported?
- What arrangements need to be put in place to ensure the mobilization of the brokered knowledge into actual practice?
- Does the team have credibility with researchers, clinicians, managers and decision-makers at different organizational levels?
- How can individuals already playing the role of informal KB roles locally be identified and engaged?

Once a strong team is built with those qualities among its members, the next step is to determine who will play the specific roles and carry out the various KB activities. Table 2 describes the main role domains and KB activities envisioned for this project. Note that these are illustrative at this point, and additional ones may be required as the initiative unfolds; and, since KB as an intentional strategy will require considerable learning-by-doing, the country KB teams will be supported by SISN staff throughout the process.

[15] Adapted from Kislov, Roman, Wilson, Paul, & Boaden, Ruth. (2017). The 'dark side'of knowledge brokering. *Journal of Health Services Research & Policy, 22*(2), 107-112.

Table 1: Qualities and Skills among the Core Team Members

	Characteristics	**Coordinator**	**NGO lead**	**MOH official**	**Researcher**	**Other**
1	Respect (seniority, reputation, authority)					
2	Credibility • Research • Topic (IFAS) • Government					
3	Accessibility, responsiveness and flexibility for KB roles and activities					
4	Reliability					
5	Self-confidence					
6	Motivational skills (enthusiastic and creative)					
7	Interpersonal skills and team builder					
8	Oral and written communication skills					
9	Tact, diplomatic and mediator					
10	Tireless commitment and determination					
11	Problem-solving skills					
12	Networking skills and an existing network					
13	Change management skills					

List of key attributes inspired from various sources: (Canadian Health Services Research Foundation, 2003; Catallo, 2015; Dagenais, Somé, Boileau-Falardeau, McSween-Cadieux, & Ridde, 2015; Dobbins et al., 2009; Hoens, 2018; Kislov, Wilson, & Boaden, 2017; Olejniczak, Kupiec, & Widawski, 2016; D. Phipps & Morton, 2013)

Table 2: Role Domains and Knowledge Brokering Activities

Role Domains and KB activities	Coordinator	NGO lead	MOH official	Researcher	Other
Knowledge manager					
Seek and share knowledge from different sources related to implementation bottlenecks					
Facilitate the formulation of research questions to design IR					
Create a platform for information sharing among the core team members					
Package research syntheses and facilitate the use of emergent findings from IR					
Linking agent					
Facilitate coordination and communication among the core team members					
Communicate effectively with actors at the district level					
Keep the key actors engaged at the national level					
Identify opportunities to connect different actors and foster trust and relationship					
Create the IS network and link with existing groups					
Capacity builder					
Help identify the topics for which training appears needed					
Identify gaps in knowledge and skills and find ways to address them					
Bring in IS principles/concepts to guide the initiative (in collaboration with SISN)					
Facilitator					
Facilitate agreement on modalities for the functioning of the core team					
Support the change process and update of research findings					
Facilitate the development of research proposals					
Seek out relevant support when gaps in KB activities are identified					
Evaluator					
Conduct initial assessments (e.g. baseline assessment at the individual, organizational and environment levels, bottleneck assessment, strengths and gaps in the KB team)					
Monitor progress (responding to the various assessments)					
Update the bottleneck inventory in an ongoing manner					
Help identify and assess the system-level factors creating the bottlenecks					
Participate in the documentation of the experience (log book, skype calls, reflective practice)					
Facilitate and evaluate change					

Table inspired from the following sources on knowledge brokering: (Bornbaum, Kornas, Peirson, & Rosella, 2015; Bowen, Martens, & Team, 2005; Canadian Health Services Research Foundation, 2003; Dagenais, Laurendeau, & Briand-Lamarche, 2015; Dagenais, Somé, et al., 2015; Dobbins et al., 2009; Glegg & Hoens, 2016; Hering, 2016; Kislov et al., 2017; Olejniczak et al., 2016; D. J. Phipps, Brien, Echt, Kyei-Mensah, & Weyrauch, 2017; Ridde, Dagenais, & Boileau-Falardeau, 2013; Van Eerd et al., 2016; Van Kammen, de Savigny, & Sewankambo, 2006; Ward, House, & Hamer, 2009) .

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Annex E: Guidance note on inquiry approach and bottleneck assessment

Background

This Implementation Science Initiative (ISI) seeks to identify and address implementation bottlenecks throughout the duration of the initiative in a program that deliver iron-folic acid supplementation (IFAS) to pregnant women primarily through antenatal care (ANC) services. A comprehensive bottleneck assessment needs to be done initially in order to identify the main bottlenecks affecting the delivery, uptake and utilization of IFAS. This will allow creating a bottleneck inventory that will be updated over time. This component involves a holistic and continuous problem-solving approach that ensures that key stakeholders are engaged in assessing and addressing critical bottlenecks.

There are various ways by which the bottleneck assessment can be done. We do not want to be prescriptive regarding the choice of the approach taken or the tools used for this assessment. The main requirement is that the tool should allow taking a systems view because bottlenecks are challenges experienced at any level in the system. It is not possible to map out all the challenges, but we would like you to use tools and a systematic approach.

Bottleneck assessment

An exercise is proposed to illustrate one way by which this assessment could be done, with the adaptation of modules from the Program Assessment Guide (PAG).[16] To produce the desired impacts on a national scale, health and nutrition programs must deliver commodities and/or services to the relevant target populations on a large scale basis. For this to happen successfully each country must strengthen and organize ***systems, people and processes*** to ensure the nutrients are produced, procured, delivered, and appropriately used to/by the intended individuals, households, and communities. In each case, attention must be directed to four key dimensions:

a) supply system,
b) household and community demand, utilization, and compliance,
c) information and decision support at each level of the system, and
d) social and political commitment.

Each of these dimensions must be addressed to have a system-wide impact on achieving effective coverage at scale and intervention sustainability over time. The particular contextual factors that may enable or inhibit these four dimensions can and do vary widely within and across countries. Therefore, these factors must be systematically assessed throughout the project cycle.[17]

Considering that the focal program selected involves the support of existing services delivered through the health system, the implementer is expected to work closely with the relevant government actors to ensure that the bottleneck assessment considers the system-level factors that are creating those bottlenecks. This will help ensure that strategies are developed to address the bottlenecks.

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[16] This guidance has been developed based on the following document:
Pelletier D, Corsi A, Hoey L, Houston R, & Faillace, S. (2010). Program Assessment Guide. In A. Z. Project (Ed.), *AED*. Washington, DC.

[17] Excerpt from the PAG, p. 5.

Creation of a bottleneck inventory

The initial bottleneck assessment will allow the development of a bottleneck inventory. It is anticipated that this inventory will become more extensive, detailed and nuanced as more knowledge is gained about IFAS intervention, and that "bottlenecks within bottlenecks" will be revealed, including bottlenecks in getting decisions made. The inventory will be converted into a Gantt chart to note progress and will be updated regularly. The SISN technical lead will provide support throughout these processes. It will be a central focus of the regular Skype calls between SISN and the project manager and help identify the types of support needed.

The undertaking of the comprehensive assessment should involve regular interaction with SISN so that existing knowledge, tools and frameworks can be located to address bottlenecks, and eventually identify potential research questions to develop the implementation research (IR). The implementers will need to provide report, and the initial one should include: What was the process by which government actors and others were involved in the comprehensive bottleneck assessment? Which tool or process was used? Description of the various bottlenecks identified? Identification of the bottlenecks prioritized to be addressed?

Tool 1: Mapping the delivery system

- Your team needs to map out the systems (the primary people, organizations and processes) involved in delivering IFAS to pregnant women.
- Specify these at national, regional, district, facility, community, and household levels.
- Identify at least one person at each level with a description of the activities this person need to carry out:

1. ***Supplies and logistics***: How will the supplements get from national level to all pregnant women in the communities?
2. ***Behavior Change Communication (BCC):*** How will BCC get to all pregnant women?

In other words, who is involved and what needs to happen at every level for IFAS to be delivered. You should map out the primary vertical links in the chain at the different levels of the system, to implement IFAS in a quality manner. We only need the primary links in outline form and this will be put on a flip chart paper.

Addressing the bottlenecks

Once the bottlenecks will be identified, the core team will need to prioritize the ones that are considered critical. The project managers will work with the SISN senior nutrition advisor to find existing knowledge that could help find solutions and innovations used in other contexts and that could be applicable to the IFAS intervention. When existing knowledge will not be found, the core team, supported by researchers, will help identify relevant questions that will form the basis for the IR study and implementation strategies to address the knowledge gaps.

Tool 2: Five Needs Tool

Each person working for the delivery of IFAS to pregnant women has certain **needs** that must be met in order to fulfill their role or responsibility. These can be met through inputs, activities, and/or system changes. In light of the mapping exercise done, please fill in the template in table 1 by considering all five needs of at least one individual at each level. An illustration of those needs is found below. It is important to consider the five needs of all actors in the system.

1. **Awareness:** Caregivers that influence pregnant women need to have awareness of the purpose and benefits of the IFAS intervention.
2. **Knowledge, Information & Skills:** Caregivers must have the specific knowledge, information and skills required for accessing and using the intervention appropriately.
3. **Commitment and Motivation:** Caregivers need periodic support from health workers and mother-in-laws, reinforcement from mass media messages and local opinion leaders, and regular support from family members and others, to sustain motivation.
4. **Resources:** Caregivers need a consistent supply of certain commodities (e.g., micronutrient powders or fortified foods); they may need time, transportation or bus fares to visit clinics; they may need to communicate the proper use of the commodity to relatives and other caregivers who feed the young children when the mother is away, etc.
5. **Support from others:** Caregivers need support from the volunteer health workers and from the community and other social networks to reinforce the new behavior of use of the commodity. For instance, they may need husbands, mother-in-laws and other relatives to support their decision to use the commodity or to initiate and sustain the behavior change.

A major flaw in much planning and intervention design is to focus on knowledge needs, but knowledge is a necessary but not sufficient condition for fulfilling one's roles and responsibilities. The five needs tool helps identify the other conditions.

Examples

To illustrate the information generated by the Five Needs Tool, in a program designed to deliver and promote the consumption of micronutrient powders by young children, the **mother** would need awareness of the problem, some behavioral objectives, the knowledge, skills, cues, reinforcement, and confidence for properly using the powder (along with improved feeding practices more generally), the motivation and incentives to prioritize these behaviors, the time and other needed resources, and the support from significant others such as her husband and mother-in-law. Meanwhile, the **clinic worker** distributing the powders and offering guidance to mothers would also need the awareness and some performance goals in support of this intervention, the knowledge and skills for delivering it, the motivation and incentives to give it priority, the resources (powders, time, etc,), and support from significant others (the clinic supervisor, the logistics and supplies team, the community outreach workers, etc.).[18] And so on, at every level in the delivery system.

Finally, after identifying the needs of each actor, it is necessary to figure out what inputs, activities or systems changes (module 6 of the PAG) can help address the gaps, recognizing that prioritization will be necessary (based on assumed feasibility and effectiveness.

[18] Excerpt from: Pelletier D, Corsi A, Hoey L, Faillace S, & Houston R. (2011). The program assessment guide: an approach for structuring contextual knowledge and experience to improve the design, delivery, and effectiveness of nutrition interventions. *The Journal of nutrition, 141*(11), 2084-2091.

Table 1: People and their five needs

Levels	**Tool 1: Mapping the system** **People and responsibilities**	**Tool 2: Five needs** 1) Awareness; 2) Knowledge, Information & Skills; 3) Commitment and Motivation; 4) Resources; 5) Support from others
National		
Region		
District		
Clinic		
Community		
Household		

Annex F: Guidance note on reflective practice and documentation

A Guidance Note for the Project Manager

Creating your own logbook

We hope to undertake a reflective practice approach to capture the work of project managers and how they navigate within the development of team-based knowledge brokering.

Much is written about the complex role of a knowledge broker. What becomes clear is that it often is a demanding and not very straightforward role. The IS program likes to gain deeper insight in the role of the project manager as part of a knowledge brokering team because much less is known about collective knowledge brokering.

We invite you to create your own logbook – in the form of a journal – in which you closely reflect on what you do, especially in the role of a KB and how the other KB tasks are carried out by other members of your team. What works well and what doesn't, what is challenging in this role and how do you address these challenges, and what thoughts and insights emerge for you in this role?

> ***"We do not learn from experience… we learn from reflecting on experience."***
>
> ***– John Dewey***
>
> ***"Reflective practice is the capacity to reflect on action so as to engage in a process of continuous ongoing learning"***
>
> ***– Donald Schon***

In this journal you are asked to record on a weekly basis your knowledge brokering activities, interventions, role, thoughts and explore why this is significant[19]. This is **building your own story as a unique knowledge broker practitioner and within a knowledge brokering team** and, hopefully, will align well with building your stories from the front line about the achievements / challenges of the knowledge brokering you are involved with.

The two project managers will keep such a journal as well as SISN technical lead regarding various aspects of this initiative. The journals are meant to become a rich resource on how collective KB takes place.

- The journal is mostly a resource for you – so make it your own and make it work for you.

[19] Knowledge transfer and knowledge brokering are complex activities. The Oxford Esh Dictionary defines brokers as middlemen, intermediaries or agents who act as negotiators, interpreters, messengers or commissioners between different merchants or individuals (OED online). Brokers traditionally favour neither individual but instead act as go-betweens, serving the needs of both. In the case of the IS project in Uganda and Kenya this means that there will be ongoing dialogue between Government, researchers and program implementers.

- We like to learn from your practice so you are asked to share your journal once a month with SISN technical lead (IML). All information in your journal will be treated confidential but we would like to see if there are common themes, challenges, insights that we could use to build our knowledge about the role of a KB.
- We will organize two online learning events (webinars) in which you may be asked to share the major insights during your reflective practice with your KB colleagues.

You will find a number of resources (article, power point and work during the session on Knowledge Brokering) and we invite you to take the opportunity to be visual / imaginative and (at least to some extent) to work with images as well as words since these can often be more vivid. The ***'What… So What… Now What' framework may be useful to use[20].***

What…	So What…	Now what…
… was my plan? … happened? … did other people do who were involved in this? … did I see/do? … was my reaction to it … were reactions of others to it?	…did I feel at the time of the event and after? … were the effects of what I did (or did not do)? … positive aspects now emerge for me? … have I noticed about my behaviour in practice by taking a more measured look at it?	…are the implications for me and others in this practice? …difference does it make if I choose to do nothing? …is the main learning that I take from reflecting on my practice in this way? … do I need to help me 'action' the results of my reflections? …How can I modify my practice if a similar situation arises again?

You are asked to state clearly in each weekly log:

- Week number
- Aims of the week (for you as a knowledge broker)
- Plans for the week (what strategies do you like to try/use, what activities do you plan to undertake, what role will you choose).

20 Terry Borton's (1970) 3 stem questions: 'What?', 'So What?' and 'Now What?' were developed by John Driscoll in 1994, 2000 and 2007.

Other questions to ponder:

Elaborate on your knowledge brokering activities and interventions and think about:
… what happened
… what went well & why
… what was challenging & why
… what needs change
… what would you do different a next time?

… What other thoughts and questions crossed your mind this week?

… Any lessons you learned or insights you got about your role as a KB?

… Any lessons related to the sharing of KB role among the various members of the core team?

HOW TO BE A REFECTIVE EXPLORER?

1. Use all your senses in your investigations
2. Always be looking
3. Everything is interesting – look closer
4. Reflect for short and long durations
5. Notice the many stories going on around you
6. Look for patterns and make connections
7. Document your findings in a variety of ways
8. Observe movement
9. Trace things back to their origins
10. Find imaginative ways to chart the journey

Finally, the calls between the project managers and the SISN technical lead will touch on several aspects of the initiative, and not only the role of KB, as part of the documentation of the experiences. For example, often there will be questions on the bottlenecks experienced within the focal programs. The solutions envisioned and tried will also be investigated. Although the project managers do not need to keep a specific part of their logbook on the bottlenecks, it may be helpful to do so. The exercise for reflective practice will evolve over time in response to the changing contexts and the development of the initiative.

Annex G: Pre-workshop interviews

Prior to the workshop, the participants were asked to answer several questions, which helped to better tailor each session at the workshop.

1. What are your expectations and needs for this workshop?
2. Are there any concerns regarding the workshop that would be good for us to know beforehand?
3. What are the outcomes (tangible and intangible) that you would want to achieve during this workshop?
4. What are some challenges that you are currently experiencing going through the proposal development process?
5. What sections of the proposal guidelines would you like to have more clarity about (or related to the 6 components)?
    a. Theory of change
    b. Bottleneck assessment and inventory
    c. Knowledge brokering
    d. Implementation research
    e. Composition of the national core team
    f. Implementation Science network
6. What questions do you have?

Annex H: Responses from the pre-workshop interviews

Participants from Kenya and Uganda were asked to answer several questions to better tailor each session at the workshop. Their responses included the following.

1. **What are your expectations and needs for this workshop?**
   - The workshop will provide an opportunity to interact more on the ToC and the bottleneck analysis.
   - I guess you think that the Kenya and Uganda team should present the tools that they will be using to do the bottleneck analysis. So we should spend a little bit of time for harmonizing. But will the proposal still be up for review and tightening after final approval? (Isabelle: yes, completely …)
   - For all of us, to be able to be on the same page, to understand and harmonize our approach for the implementation of the program.
   - To be able for us to understand each other's role and responsibilities during the implementation and how both countries can share and learn among each other, about best practices and discuss about the different challenges because we'll probably have the same challenges and bottlenecks about the implementation.
   - Fine-tuning our proposal and make the changes where necessary.
   - The design of the workshop should have a lot of discussion to help feed into our proposal.
   - One main expectation from me, is to identify the documents that will be useful and how actually, we will be able to share knowledge and approaches during the implementation. (Isabelle, could say more about the documents that you are referring to?)
   - I believe that Kenya may have other documents that they are using, for example, the bottleneck analysis, they can have something else so then, we can see if we can adapt something. So this would be very useful for us.
   - Also looking at the frequency and mode of sharing will be useful, as for the 2 countries, this would be good.

2. **Are there any concerns regarding the workshop that would be good for us to know beforehand?**
   - Ensure that MOH people feel involve.

3. **What are the outcomes (tangible and intangible) that you would want to achieve during this workshop?**
   - Not being in Uganda, hearing from others in Uganda, MOH, to get their perspectives will be very useful and having discussion with them around our proposal would be a very helpful outcome for the workshop and thinking about how we can introduce the feedback into the proposal.
   - We could organize the workshop in such a way that the MOH people feel that they take leadership.
   - We can do the background, but we need to make sure that they are included in the presentation. They should feel that it's their things.

4. **What are some challenges that you are currently experiencing going through the proposal development process?**

- Difficult to have the team meets together to work on the proposal.
- Even more difficult to get the MOH people involved.
- Section 3.1 in the proposal guidelines is more difficult to work on.

5. **What sections of the proposal guidelines would you like to have more clarity about (or related to the 6 components)?**

i. Theory of change

- Because they are looking at 4 interventions so thinking about a ToC that encompasses everything is very challenging. Isabelle's suggestion of focusing on several parts of the ToC was useful.

ii. Bottleneck assessment and inventory

- Challenging in coming up with the different barriers was related to a lack of disaggregated date to be able to use it, to have it at the lowest level, at the service delivery. It was difficult when they were trying to describe the underlying causes, etc. … they will have to identify more clear bottlenecks (through the assessment) as compared to what is in the proposal.
- For example, low adherence to first visit, for us to be able to come with a clear bottleneck, with the underlying causes. Most of what we say comes from the experience as opposed to statistics and literatures.
- Most of the data is aggregated to national level.
- He provides an example that one of the challenges also about the bottleneck is that the interventions of IFAS may not even be implemented because clients do not come to the clinic, so the bottleneck is before.
- Lack of national data performance.
- Maybe the workshop can help to dig deeper into some of those discussions.

iii. Knowledge brokering

- The document on the guidance note for KB appears very useful. He really like the chance towards having a switch to a KB team rather than having one person playing this role.

iv. Implementation research

- Questions if it's ok to have a menu with a list if items that could be done, in order to help build a budget. (Isabelle – yes and explanation)

v. Composition of the national core team

vi. Implementation Science network

6. **Any other questions you may have?**

- We should have the program about the workshop prior and have inputs. For example, MOH people could present what they have been doing in terms of addressing anemia. Then, we can start about the program and what we are proposing. (Isabelle: explanation on the program)

Annex I: Guidance for the presentations of the country teams

	Presentation (time)	Responsibles and/or presenters	Guidance
1	Opening remarks (2-3 minutes each)	1) Maureen Bakunzi, OPM, Uganda 2) Jesca Nsungwa-Sabiiti, MOH, Uganda 3) Betty Samburu, MOH, Kenya	What makes you excited about this implementation science initiative and its focus on IFAS?
2	Session 2: National strategies for anemia and priorities (10 minutes each)	1) Betty Samburu and Julia Rotich, MOH, Kenya 2) Albert Lule and Sarah Ngalombi, MOH	Can you draw a brief picture of anemia in your country and present the main strategy to address anemia? How does IFAS fit into this? What are some major issues?
3	Session 2: Focal programmes (15 minutes each)	1) NHP-plus, Kenya 2) URC/RHITES, Uganda	Both selected programs are complex and IFAS is integrated with multiple interventions. How does IFAS fit into the broader program? Can you describe what are the main elements that will help the others understand the core activities that relate to IFAS? Which areas are you focusing on for this initiative? The better the other team understands your program and how IFAS fits into it, the more they will be able to provide you with useful feedback to strengthen subsequent parts of your proposal.
4	Session 3: Theory of change (10 minutes each)	1) URC/RHITES, Uganda 2) NHP-plus, Kenya	We want you to present your ToC, its diagram that depicts the components and flows, and the included assumptions and risks. Could you also talk about your current challenges in doing the ToC? This is not part of the proposal but it will help us to address those challenges.
5	Session 5: Inquiry approach and bottleneck analysis (15 minutes each)	1) NHP-plus, Kenya 2) URC/RHITES, Uganda	Please, present your proposed approach responding to the questions in section 2.1 of the proposal guidelines. How do you plan to carry out the initial bottleneck assessment? How will you work together for the ongoing and iterative assessment that will help populate the bottleneck inventory?
6	Session 6: Country learning approach on IS/IR (15 minutes each)	1) URC/RHITES, Uganda 2) NHP-plus, Kenya	How do you plan to cultivate the interest of IS/IR in your country? Present your main ideas responding to the proposal guidelines' section 4.

Annex J: Post-selection workshop agenda

Day 1, June 27

Time	Session	Facilitation
8:30-8:45	Introductions and Welcome	- Sara Pacqué-Margolis and Anna Heard, 3ie
8:45-9:00	Opening remarks – importance of anemia control programs	- Maureen Bakunzi, Office of the Prime Minister, Uganda - Jesca Nsungwa-Sabiiti, Commissioner, Community Health, Ministry of Health, Uganda (TBC) - Betty Samburu, Programme Manager, Research in nutrition, Ministry of Health, Kenya
9:00-10:30	Session 1: Setting the scene for Implementation Science (IS) and building a solid partnership	Welcome and introduction of the workshop approach/objectives - Isabelle Michaud-Létourneau, SISN Presentation on IS approach and partnership - Isabelle Michaud-Létourneau, SISN - Helga Van Kampen, PBA Group exercise on principles
10:30-11:00	*Coffee Break*	
11:00-12:30	Session 2: National strategies and focal programmes	Presentations of the national strategies for anemia and priorities - Julia Rotich, Ministry of Health, Kenya - Ministry of Health, Uganda Presentations of the focal programmes - FHI360/NHP-plus and IFAS, Kenya - URC/RHITES-EC and IFAS, Uganda
12:30-1:30	*Lunch*	
1:30-3:00	Session 3: Theory of Change	Presentations of the ToC of focal programmes - ToC of URC/RHITES-EC and IFAS, Uganda - ToC of FHI360/NHP-plus and IFAS, Kenya Presentation on Theory of change (ToC) - Anna Heard and Isabelle Michaud-Létourneau Group work on ToC
3:00-3:30	*Coffee Break*	
3:30-4:30	Session 4: Knowledge brokering	Presentation on Knowledge brokering - Helga Van Kampen, PBA - Isabelle Michaud-Létourneau, SISN Group exercise on collective knowledge brokering
4:30-5:00	Closing	Take-away exercise/messages
5:30	Dinner	

Day 2, June 28

Time	Session	Facilitation
8:30-9:00	Welcome	- Organizers sets the stage for the second day
9:00-10:30	Session 5: Inquiry approach and bottleneck inventory	Presentation of inquiry approach and bottleneck analysis - FHI360/NHP-plus, Kenya - URC/RHITES-EC and IFAS, Uganda Presentation on bottlenecks analysis - Isabelle Michaud-Létourneau, SISN Group exercise
10:30-11:00	*Coffee Break*	
11:00-12:30	Session 6: Country learning approach about IS/IR	Presentation on country learning approach about IS/IR - URC/RHITES-EC and IFAS, Uganda - FHI360/NHP-plus, Kenya Presentation - Isabelle Michaud-Létourneau and Helga Van Kampen Group exercise
12:30-1:30	*Lunch*	
1:30-3:00	Session 7: IS learning and high-level research agenda	Presentation on documentation of experiences and reflective practice - Isabelle Michaud-Létourneau and Helga Van Kampen Group exercise
3:00-3:30	*Coffee Break*	
3:30-4:30	Session 8: 3ie policies and processes	Presentation on 3ie Policies and Processes - Sara Pacqué-Margolis and Marie-Eve Augier Presentation on budget requirements and considerations - Anna Heard, 3ie - Q&A session
4:30-5:00	Closing	- Take-away exercise - Sara Pacqué-Margolis
5:30	Dinner	

Detailed description of the workshop sessions[21]

DAY 1

Introductions and Welcome

1. To begin knowing each other and help to build interactions and participation

Welcome and exercise (ice-breaker): Sara Pacqué-Margolis and Anna Heard
*For example, ask everyone to say their name, organization and something that made them smile last week?

Session 1: Setting the scene for Implementation Science and building a solid partnership (1h30)

Session objectives:

Presentation

1. Share the IS approach and what it takes to work in multi-stakeholder partnership
2. Build understanding of multi-stakeholder collaboration by introducing a number of frameworks and concepts
3. Provide an opportunity to explore partnering challenges and agree on good practice principles

Group exercise

1. Agree on guiding principles and begin to envision how the members of the core team will be able to follow them

Content:

Presentation of workshop objectives/approach/expectations (5 min)

Presentation on Implementation Science (Isabelle Michaud-Létourneau) (15 min)

- What is the IS approach?
- Guiding principles to undertake IS/IR
- Categories of Implementation Knowledge
- Illustration of the triple-A cycle

- Facilitated conversation about working in collaboration ('partnership') (Helga Van Kampen) (15 min)
  - What is a partnership? Different types?
  - What are the different phases in a partnership (partnering cycle)
  - What gets in the way of partnership working effectively?
  - Common partnership challenges & principles.

Group exercise: Comments, questions and parallel experiences (45 min)
**Throughout the workshop, we will use the analogy between the exercises and a tree. For this exercise, the teams will be asked to write on paper different principles and those will be put on the roots of the tree. The same will be done for success, but they will be put on the leaves. For the other questions, participants will discuss and report later to the larger group.*

[21] This detailed agenda reflects changes made during the workshop to better reflect what happened, compared to what was planned. The changes were not major, but helped to address participants' comments and ensure all the pieces of the approach fall well together.

1. How do the core teams describe their partnership? Can you come up with a partnership definition? (*on the roots*)
2. What are important principles of working together for the core team to adhere to? *(on the roots)*
3. What does success looks like? *(on the leaves)*
4. How do you consider success of IS?

Sharing between the teams (10 min)

Key messages

- The success of ISI lies on the partnership built among the core team members.
- Every individual and every organization are important and play complementary role.
- Strengthening programs during implementation is at the core of ISI.

Expected outcomes

- Dialogue among the core team on what is important for them.
- Agreement on certain measures to begin thinking about group functioning (mention them that this will initiate the conversation, but it will continue during the other session).

Session 2: National strategies and focal programs (1h30)

Session objectives:

1. To understand the contexts, main strategies and programs in each country and relevant for ISI.

Content:

Presentations

National strategies for anemia and priorities

- Julia Rotich, Ministry of Health, Kenya
- Sarah Ngalombi, MOH Ministry of Health, Uganda

Focal programs

- FHI360/NHP-plus and IFAS, Kenya
- URC/RHITES-EC and IFAS, Uganda

*After the 2 presentations, there will be a 10-min Q&A period to clarify or better understand certain aspects. If there is time left, we can ask the following questions:

- What do you see are similarities between both programs? Or both focus/priorities of national strategies?
- Any major differences?

Key messages

- Both programs support the national health system and thus require working closely with various actors in the national systems.
- Partnership and linkages need to be built at every level of these systems.

Expected outcomes

- Good understanding from all participants on the programs and national strategies. This will allow both teams to provide and receive useful feedback that is context-specific from the other participants.

Session 3: Theory of Change (ToC)

Session objectives:

Presentation

1. Expose the main elements of ToC
2. Discuss challenges of doing ToC
3. Discuss how to use, strengthen, and update ToC during this initiative
4. Understand the different ToC of this initiative

Session

1. Develop the implementation ToC of IFAS

Content:

Presentation of ToC and challenges faced

- ToC of IFAS programs in Kenya (10 min)
- ToC of IFAS programs in Uganda (10 min)

Presentation on ToC: Anna Heard and Isabelle ML (20 min)

- Concepts from complexity science
- ToC as a tool and terminology
- Building your ToC
- Examples of ToC

Group exercise: Build an implementation ToC of IFAS intervention

**Each team will work separately to discuss and try to strengthen their ToC with the use of a checklist (35 min). Participants will work with large post-it to co-construct their ToC. Note that each team will have received detailed comments on their ToC from SISN/3ie prior to the workshop. However, they will be advise to work on the ToC only with the presence of the core team members at the workshop.*

Sharing among the teams

**Each team will present what the major insights were from doing this exercise.*

Key messages

- The ToC is a tool to help break the complexity of a program and to understand how a program works (and/or its implementation)
- Simplifying ToC: need to determine the level of details (too detailed ones may not be useful)
- Need to update the ToC and collect data regarding the various elements of the ToC
- Developing ToC as an iterative process: The process of doing a ToC is as important as the outcomes (the ToC by itself)
- Using nested ToC as a way to unpack complexity
- What could be different ToC involved in this initiative?
  - ToC #1 on the implementation of IFAS through ANC services (health system)
  - ToC #2 on how the NGO strengthens the service delivery of IFAS (focal program that seek to improve parts of the health system)
  - ToC #3 on knowledge brokering as it related to tools as well as IR findings
- ToC will help developing a contribution story of the intervention(s)/action(s)

Expected outcomes

- Solid implementation ToC of IFAS intervention
- Strengthened understanding of how to build ToC
- Awareness of the numerous ToC related to this initiative

Last session of day 1: Take-away exercise

Sara Pacqué-Margolis

- Most important insights of the day
- Brief inventory of outstanding issues (to be address on the second day if possible, or as a follow-up)

Survey

Participants take some time to fill out the survey about the first day.

DAY 2

Introductions and Welcome (30 min)

Helga and Isabelle open the day with a summary of some observations from the previous day. If the teams have requested additional information at the closing session or in the evaluation form, this time can be used to discuss those issues. (This time focused on discussing the IS approach)

Session 4: Inquiry approach and bottleneck inventory (1h30)

Session objectives:

- to exemplify how the baseline bottleneck assessment could be carried out initially with the use of assessment tools (Program Assessment Guide – mapping tool and Five needs tool);
- to illustrate the inquiry approach of assessment to action by linking the triple-A cycle and the bottleneck inventory.

Content:

Presentation: Isabelle Michaud-Létourneau (SISN) (10 min)

- Inquiry approach: the triple-A cycle and the bottleneck assessment
- Problem-solving approach as continuous and iterative process to update the bottleneck inventory

- Group exercise (60 min): Bottleneck assessment

Each team use the guidance on bottleneck assessment to use two tools from the PAG:

Tool 1: Mapping the delivery systems (30 min):

NHP-plus: Supplies and logistics: How ill the supplements gets from national level to al pregnant women in the communities?

URC: BCC: How will BCC get to all pregnant women?

- Map out the systems (the primary people, organizations and processes) involved in delivering IFAS to pregnant women.
- Specify these at national, regional, district, facility, community, and household levels.
- Identify at least one person at each level with a description of the activities of this person.

Tool 2: Five Needs Assessment (30 min):

In light of the mapping exercise done, each team filled one template by considering all 5 needs to at least one individual at each level (awareness; knowledge, information and skills; commitment and motivation; resources; support and others).

- Sharing among the country core teams: presentation and discussion and key insights of doing the exercise) (20 min)

Key messages

- It is not possible to investigate all the factors that can affect implementation, but the use of

the initial assessment and the triple-A cycle will help improve various elements of implementation.
- It is important to assess bottlenecks at various levels, which requires discussion among people at those levels.
- All people at different levels in the system need to meet those 5 needs in order to be able to fill their roles and responsibilities.

Expected outcomes

- Visual and concrete image of the delivery systems: 1) supplies and logistics; and 2) behavior change communication.
- Participants pool their knowledge and see their complementarity to understand the system.

Session 5: Knowledge Brokering (1h30)

Session objectives:

Presentation

1. Explain the gap in knowledge utilization and exchange and the use of knowledge brokering (KB'ing) as an effective strategy to close this gap
2. Familiarize the core team with concept of KB'ing and explore how to fulfill the tasks in their core teams
3. Discuss the perspectives of the core team members on group functioning and how the various roles will be performed by the core team

Group exercise

1. Explore what each team member can contribute to the KB'ing task
2. Identify different team roles and KB activities in the team

Content:

Presentation and facilitated conversation (15 min.) (Isabelle Michaud-Létourneau and Helga Van Kampen)

- Gap in knowledge utilization and exchange
- What is KB'ing? What are the essential skills? What are the desirable skills? (write on flip chart)
- Why is it important in this program? Connecting knowledge to action
- Characteristics of KB's
- Domains and activities of KB

Group exercise (individual and group)

**Each participant will do a self-assessment according to Belbin team roles. In core teams they fill out the team circle (20 min). After this they divide the KB'ing activities according to preferred team roles. (15 min.)*

Group exercise:

- How will you communicate with each other?
- Try to divide the tasks among the members, the tasks included in the guidance on KB.
- For the people less involved: What can you do to support this initiative? What is the role that you would like to play?

Key messages

- KB'ing is a team effort and can only be carried out if they use the complimentary 'talents' they possess as a team.
- There are different levels of engagement among the country team members. For example, people from MoH may not have time to be closely involved in certain activities, but they should remain in the loop.

Expected outcomes

- Teams are familiar with the concept of KB'ing and are clear about how to shape this role in the core team.
- Participants are aware of the different activities that need to be carried out in order to be successful in KB
- Participants will be aware that it is about KB'ing instead of a KB.
- Participants are more aware about their own preferred team role/talents and what they can contribute to KB in their core team.
- Participants think about their preferred team roles (based on personal attributes and experiences) and identify KB activities to people in the core team.

Session 6: Country learning approach about IS/IR (1h00)

Session objective:

- to plan how the broader nutrition stakeholder community will be engaged on IS/IR

Group work:

- How do you envision creating a learning approach/culture among the core team members? How do you want to capture learning, how often would you like to exchange, any specific learning objectives?
- How do you envision wider learning?
- And learning between the countries?

Roundtable: Comments, questions and parallel experiences
How to create the platforms and venues about how the stakeholders can interact and collaborate?

Sessions 7: IS learning and high-level research agenda

(This session did not take place due to limited time, but this topic was discussed with the project managers on the third day)
Objective: To share the high-level IS research agenda on how to apply IS and the documentation component to achieve this broad objective.

Part 1 documentation process: team experiences over the 18-month period
Presentation of the template to update the bottleneck inventory (documentation) (SISN) (10 min)

- bottlenecks identified before and during the project,
- frameworks, tools and research activities used to address each bottleneck,
- success with which each of the bottlenecks was resolved,
- factors that facilitated or inhibited success in each case and
- recommendations for how implementation science can be strengthened and applied to

other nutrition-specific and nutrition-sensitive programs in the country.

Part 2 documentation process: This part seeks to document the broad experience on how to apply IS in country and to build capacity for IS/IR (10 min) (Isabelle Michaud-Létourneau)

- Use of principles of developmental evaluation

Roundtable: How to build a holistic and continuous process to improve program implementation and document the experiences throughout? Explore ideas per country?

Session 8: 3ie policies and processes (1h00)

Objective: to provide an orientation of all activities of the project and discuss management issues.

Presentation:

- Overview of all the activities of the project (Anna)
- 3ie Policies and Processes (Sara and Marie-Eve)
- Budget requirements and considerations (Anna)

Discussion: Q&A session to answer all questions of workshop participants

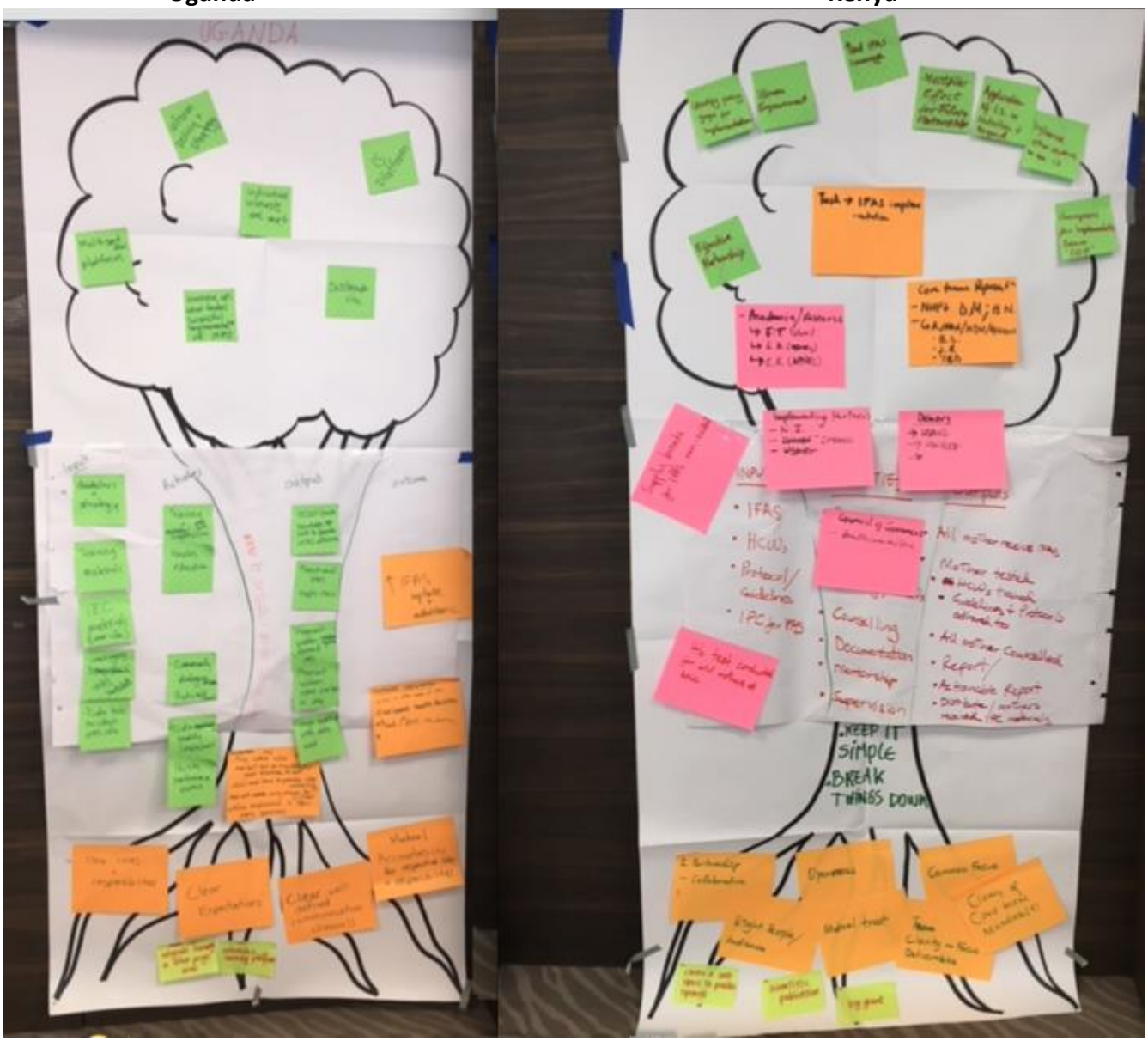
Annex K: List of workshop participants

	Participants	Organizations	Function	Days attended
KENYA				
1	Betty Samburu	MoH	Programme manager, research in nutrition	1, 2
2	Julia Rotich	MoH	Supplementation officer	1, 2
3	David Mwaniki	FHI360	Chief of Party	1, 2
4	Brian Njoroge	FHI360	Project manager	1, 2, 3
5	Faith Thuita	University of Nairobi	Senior Lecturer, School of Public Health, University of Nairobi	1, 2
UGANDA				
6	Sarah Ngalombi	MoH	Principal nutritionist	1
7	Nathan Tuwesigye	URC	Chief of Party	1, 2
8	Ahmed Luwangula	URC	Technical advisor	1, 2
9	Twaha Rwegyema	URC	Project manager	1, 2, 3
10	Sara Riese	URC	Senior technical advisor	1, 2
Organizers and facilitators				
11	Isabelle Michaud-Létourneau	SISN	Technical lead	1, 2, 3
12	Helga Van Kampen	PBA	Facilitator	1, 2
13	Anna Heard	3ie	Evaluation specialist	1, 2
14	Sara Pacque-Margolis	3ie	Director, Washington office	1, 2
15	Marie-Eve Augier	3ie	Project Manager	1, 2

People who were unable to attend: Jesca Nsungwa-Sabiiti (Commissioner, MOH, Uganda), Albert Lule (Head of Nutrition, MOH, Uganda), Mareen Tumusiime Bakunzi (Office of the Prime Minister, Uganda)

Annex L: Illustration of the group work

Uganda **Kenya**



Annex M: End-of-workshop survey

Day 1 Survey

1. **Do you agree that the communications/documents you received before the workshop were clear and sufficient? If not, what would have been more helpful?**

- ☐ Agree
- ☐ Agree somewhat
- ☐ Disagree somewhat
- ☐ Disagree

Comments:

2. **Do you agree that the support you received during the proposal writing process was sufficient? If not, how can we improve that process?**

- ☐ Agree
- ☐ Agree somewhat
- ☐ Disagree somewhat
- ☐ Disagree

Comments:

3. **Do you agree that the workshop objectives were clear? If not, what was unclear?**

- ☐ Agree
- ☐ Agree somewhat
- ☐ Disagree somewhat
- ☐ Disagree

Comments:

4. **How would you rate session 1 "Setting the scene for Implementation Science (IS) and building a solid partnership"?**

- ☐ Very useful
- ☐ Useful
- ☐ Somewhat useful
- ☐ Not useful at all

5. **What aspects of the session were the most useful? Least useful? How can we improve this session?**

6. **How would you rate session 2 "National strategies and focal programmes"?**

- Very useful
- Useful
- Somewhat useful
- Not useful at all

7. **What aspects of the session were the most useful? Least useful? How can we improve this session?**

8. **How would you rate session 3 "Theory of Change"?**

- Very useful
- Useful
- Somewhat useful
- Not useful at all

9. **What aspects of the session were the most useful? Least useful? How can we improve this session?**

10. **How would you rate session 4 "Knowledge brokering and knowledge to action"?**

- Very useful
- Useful
- Somewhat useful
- Not useful at all

11. **What aspects of the session were the most useful? Least useful? How can we improve this session?**

12. **What do you hope to discuss/learn tomorrow?**

Day 2 Survey

13. **Do you agree that all the participants had the same opportunity to intervene (there was no domination of the conversation by a small number of people or any single institution)?**

- ☐ Agree
- ☐ Agree somewhat
- ☐ Disagree somewhat
- ☐ Disagree

Comments:

14. **Do you agree that the institutions involved in the workshop were the ones that should have been invited for getting started with this initiative? If not, who should we have included/not included?**

- ☐ Agree
- ☐ Agree somewhat
- ☐ Disagree somewhat
- ☐ Disagree

Comments:

15. **Do you agree that the practical exercises (group work) were well designed and a good use of our time?**

- ☐ Agree
- ☐ Agree somewhat
- ☐ Disagree somewhat
- ☐ Disagree

16. **Do you agree that there was sufficient time to accomplish the objectives of the workshop?**

- ☐ Agree
- ☐ Agree somewhat
- ☐ Disagree somewhat
- ☐ Disagree

17. **Do you agree that the workshop fostered new and innovative ideas?**

- ☐ Agree
- ☐ Agree somewhat
- ☐ Disagree somewhat
- ☐ Disagree

18. Do you agree that the workshop fostered new and strengthened current relationships?

- Agree
- Agree somewhat
- Disagree somewhat
- Disagree

19. How would you rate session 5 "Inquiry approach and bottleneck inventory"?

- Very useful
- Useful
- Somewhat useful
- Not useful at all

20. What aspects of the session were the most useful? Least useful? How can we improve this session?

21. How would you rate session 6 "Country learning approach about IS/IR"?

- Very useful
- Useful
- Somewhat useful
- Not useful at all

22. What aspects of the session were the most useful? Least useful? How can we improve this session?

23. How would you rate session 7 "IS learning and high-level research agenda"?

- Very useful
- Useful
- Somewhat useful
- Not useful at all

24. What aspects of the session were the most useful? Least useful? How can we improve this session?

25. How would you rate session 8 "3ie policies and processes"?

- Very useful
- Useful
- Somewhat useful
- Not useful at all

26. What aspects of the session were the most useful? Least useful? How can we improve this session?

Are you clear on the role of 3ie? If no, what needs to be clarified?

- Yes
- No

Comments:

27. Are you clear on the role of SISN? If no, what needs to be clarified?

- Yes
- No

Comments:

28. Please use the space below to comment on what session was most and least helpful, any other aspects of the workshop and how we can improve it, remaining comments and/or questions.

Most helpful and why:

Least helpful and why:

Other:

Annex N: Survey results

DAY 1

Question	Agree	Agree Somewhat	Disagree somewhat	Disagree
Do you agree that the communications/documents you received before the workshop were clear and sufficient? If not, what would have been more helpful?	7	2	1	
Comments: Travel requirements as a reminder; Informative doing pre-reading plus proposal outline; Documents highlighted objectives; Illustration/practical guidance of expectations				
Do you agree that the support you received during the proposal writing process was sufficient? If not, how can we improve that process?	5	4		1
Comments: Prior consultation & agreement on some areas; Guidance to simplify approaches would have been helpful earlier; Could arrange virtual support discussions through proposal drafts in addition to written comments; Team was approachable and provided clarifications; Workshop should precede group assignment; Time allocated was too short				
Do you agree that the workshop objectives were clear? If not, what was unclear?	8	2		
Question	**Very Useful**	**Useful**	**Somewhat useful**	**Not useful at all**
How would you rate session 1 “Setting the scene for Implementation Science (IS) and building a solid partnership”?	9	1		
Comments: Useful though technical and complex, useful and interlinked, application will help understand more; Thinking through building successful partnerships was helpful perhaps encourage participants to think about key steps to build partnerships; Missing explanation of major theme i.e. IS; Practical exercises; Visualization of the tree; Partnership principles; Transactional vs collaborative partnerships; Most useful - framing, least useful - missed opportunity; Clarified partnership concept and its implications at planning, implementation and reporting levels, all really useful				
How would you rate session 2 “National strategies and focal programmes”?	6	4		
Comments: Good comparison between two countries but simplify further; Should have provided guidance/template to focus presentations; Country experiences, global perspectives on IFAS; Both countries face same challenges + performance trends are poor and require addressing using simple innovations; Useful - sharing commonalities between countries; Most useful - understand focal program complexity				

How would you rate session 3 “Theory of Change”?	8	2		
Comments: Filling in the model with actual IFAS concepts; Clarity on focus of the ToC; Needed more time for exercises; Simplicity & linkage to logical framework practical session most useful; Being very focused and keeping the ToC simple + understanding the systems we operate in; Useful - practical lessons/learning; Simplicity of development of ToC based on the guidance provided				
General comments: Presentations a bit fast-paced				

DAY 2

Question	**Agree**	**Agree Somewhat**	**Disagree somewhat**	**Disagree**
Do you agree that all the participants had the same opportunity to intervene (there was no domination of the conversation by a small number of people or any single institution)?	7			
Comments: Methodology allowed for everyone's expression of ideas; Question time & contributions well accommodated for all; Group work & participatory approaches used were engaging; Few participants/evolved to teams				
Do you agree that the institutions involved in the workshop were the ones that should have been invited for getting started with this initiative? If not, who should we have included/not included?	4	2		1
Comments: Academia should have been included; Govt representation was not adequate; Follow-on steps will cover gaps; Would have been great to ensure researcher involvement (difficult w/o contract), also to have donor involvement				
Do you agree that the practical exercises (group work) were well designed and a good use of our time?	7			
Do you agree that there was sufficient time to accomplish the objectives of the workshop?	5	2		
Do you agree that the workshop fostered new and innovative ideas?	7			
Do you agree that the workshop fostered new and strengthened current relationships?	6	1		
Question	**Very Useful**	**Useful**	**Somewhat useful**	**Not useful at all**
How would you rate session 5 “Inquiry approach and bottleneck inventory”?	6	1		
Comments: Process for bottleneck inventory was well-handled and informative; All useful & linked; Tools used like 5 needs tool; Useful: Belbin analysis; Team formation				

How would you rate session 6 “Country learning approach about IS/IR”?	5	2		
Comments: Useful & relevant; Learning approaches identified; Idea generation; Cross-country learning				
How would you rate session 7 “Knowledge Brokering”?	7			
Comments: Most useful: roles/domain of knowledge brokers; Whole session was useful; Key roles for each team member and assessment of personal strengths; Personality test was useful/interesting				
How would you rate session 8 “3ie policies and processes”?	3	4		
Comments: Understanding of timelines & the support available to meet those; Timelines and deliverables expected as well as the flexibility; Useful: clarification of guidelines; Deadlines & Deliverables				

Question	**Yes**	**No**
Are you clear on the role of 3ie? If no, what needs to be clarified?	6	1
Comments: Provide admin pieces of the puzzle		
Are you clear on the role of SISN? If no, what needs to be clarified?	6	
Comments: Technical aspects of project		
General Comments: All sessions very useful, especially when combined the linkage between the sessions helps appreciate the importance of each; Most useful was addressing bottlenecks using systematic approach; Most helpful: development process for the ToC, bottleneck analysis & knowledge brokering; Most helpful: Resolving questions around ToC, Treatment of the subject for different issues/agendas; Most helpful: Bottleneck inventory; Most helpful: Implementation Science		