

# Strengthening health systems

for treating tobacco  
dependence in  
primary care

Part I: Training for policy-makers



**World Health  
Organization**

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# **Strengthening health systems for treating tobacco dependence in primary care**

**Part I: Training for policy-makers:  
Developing and implementing health systems policy  
to improve the delivery of brief tobacco interventions**

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### INTRODUCTION

Treatment of tobacco use and dependence is mandated in Article 14 of the World Health Organization (WHO) Framework Convention on Tobacco Control (WHO FCTC) as a key component of comprehensive tobacco control strategy. The tobacco-related death and disease burden can be reduced considerably in the short to medium term if population-level tobacco control policies are complemented by interventions to support tobacco users to quit. Guidelines for the implementation of Article 14 of the WHO FCTC identify the key effective measures needed to promote tobacco cessation and to incorporate tobacco dependence treatment into national tobacco control programmes and health systems. Parties are encouraged to use these guidelines to assist them in fulfilling their obligations under the WHO FCTC and in protecting public health.

Tobacco dependence treatment is recommended by WHO as part of a comprehensive package of essential services for prevention and control of non-communicable diseases (NCDs) in primary care in accordance to the revised draft of the WHO Global Action Plan for the Prevention and Control of NCDs (2013–2020). This idea has already been reflected in this training package by emphasizing it as part of WHO MPOWER comprehensive tobacco technical assistance package, focusing on integration of tobacco dependence treatment into primary care. In order to implement successfully the plan, the provision of technical resources and support to countries is needed for integrating tobacco dependence treatment into their NCDs prevention and control programmes, along with high-level political commitment and concerted involvement of governments, communities and health-care providers.

The overall goal of this training package is to provide a technical resource to assist countries to integrate brief tobacco interventions (brief advice) into primary care as part of their efforts to implement the WHO FCTC Article 14 guidelines and the WHO NCDs Global Action Plan.

### WHY FOCUS ON BRIEF TOBACCO INTERVENTIONS?

Although all countries should aim to develop a comprehensive system to provide a range of interventions for tobacco cessation and treatment of tobacco dependence, the guidelines for implementation of Article 14 of the WHO FCTC recommend that Parties use a stepwise approach to develop tobacco dependence treatment, taking into account the fact that resources are always limited and very few countries can develop a comprehensive system simultaneously. Using existing resources and infrastructures as much as possible to ensure that tobacco users receive at least brief advice has been recommended to Parties as one of their first steps towards developing a comprehensive tobacco dependence treatment system. In this way, Parties can develop their tobacco dependence treatment system as rapidly as possible and at as low a cost as possible. In line with the recommendation of the Article 14 guidelines, this training package aims to assist countries in taking their first action towards providing comprehensive tobacco dependence treatment to all tobacco users by integrating brief tobacco interventions into their primary care services. This has the potential to:

- reach more than 80% of all tobacco users per year;
- trigger 40% of cases to make an attempt to quit;
- help 2–3% of those receiving brief advice quit successfully;
- form a promising referral source and create demand for more intensive tobacco cessation services such as quit-lines and specialized tobacco dependence treatment.

## WHY FOCUS ON PRIMARY CARE

Despite the evidence on the effectiveness and cost-effectiveness of brief tobacco interventions, more than 50% of health-care providers, especially those in low- and middle-income countries do not routinely deliver these interventions. The low availability of tobacco cessation services in countries is mainly caused by the weaknesses of their health systems. Guidelines for implementation of Article 14 of the WHO FCTC highlighted the central role of the health system and recommended that brief advice be integrated into all health systems. Although the brief tobacco interventions should be made available throughout a country's health system at all levels of service delivery, the primary care setting should be the main focus. It has the potential to reach the majority of tobacco users in many countries, where the cost of service delivery in primary care settings is relatively low.

## STRUCTURE AND CONTENT

### Structure of the training package

The training package is organized in four parts. Three separate parts were developed for training of policy-makers, primary care service managers and primary care providers, based on the understanding that the whole health-care system needs to function well and all health system actors should improve their skills and play a better role in order to improve the integrated delivery of brief tobacco interventions in primary care. In order to meet the need for training the trainers, this package also includes a fourth part on "Applying adult education skills to training". Relevant parts and target audiences are summarized in the Table A1.

Table A1. The parts of the training package and their target audiences

| Subject of each part                                                                                                             | Target audiences                                                                                                                                                                                                                                                                                                                                                                                 |
|----------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Part I: Developing and implementing health systems policy to improve the delivery of brief tobacco interventions (seven modules) | Policy-maker: a person with power to influence or determine policies and practices at national, regional, or local level.                                                                                                                                                                                                                                                                        |
| Part II: Planning and implementing system changes to support the delivery of brief tobacco interventions (seven modules)         | Primary care service manager: an administrator with special training and skills, who is concerned with the management, planning and provision of primary care services. Primary care service managers could be general practitioners (GP) and managers of community health services, or they could be health-care workers, although normally they do not provide directly primary care services. |
| Part III: Brief tobacco interventions (nine modules)                                                                             | Primary care provider: a person who helps in identifying or preventing or treating illness or disability in primary care settings.                                                                                                                                                                                                                                                               |
| Part IV: Applying adult education skills to training (one module)                                                                | Future trainer: a person who has basic knowledge and skills of medical education, and is willing to provide further training for policy-makers, primary care service managers or primary care providers.                                                                                                                                                                                         |

Each part of the training package consists of a *Facilitators' guide* and *Participants' workbook* and includes a certain number of training modules, depending on the number of topics and activities needed. Each training module is presented in a four-step format: preparation, presentation, practice and evaluation. This structure ensures that we use a variety of adult teaching methods and provide sufficient opportunity for participants to share their experiences and to practise their newly learned skills.

### Content of the training package

The training package content is developed based on:

- guidelines for implementation of Article 14 of the WHO FCTC adopted by the WHO FCTC Conference of the Parties;
- the “Offer help to quit tobacco use” component of WHO’s MPOWER package;
- the WHO Health System Framework (the six building blocks of a health system);
- best available scientific evidence, best practice approaches and models in the field of tobacco dependence treatment and health system strengthening.

Analysis of the tasks required for policy-makers, primary care service managers and primary care providers to integrate brief tobacco interventions into existing primary care services revealed that the whole health-care system needs to be strengthened in order to improve the delivery of brief tobacco interventions in primary care. Therefore, reflecting their needs, in line with the WHO Health System Framework, the training package content was designed to improve the knowledge and skills of policy-makers, primary care service managers and primary care providers to enable them to bring about changes in some or all of the six health system building blocks (leadership and governance, service delivery, health workforce, information, medical products and technologies, and financing). Table A2 summarizes the system changes that three target audiences need to bring about for improving the integrated delivery of brief tobacco interventions in primary care settings.

Table A2. Target audiences and projected system changes

|                                     | Leadership/<br>governance | Service<br>delivery | Health<br>workforce | Information | Medical<br>products and<br>technologies | Financing |
|-------------------------------------|---------------------------|---------------------|---------------------|-------------|-----------------------------------------|-----------|
| Policy-makers                       | ✓                         | ✓                   | ✓                   | ✓           | ✓                                       | ✓         |
| Primary care<br>service<br>managers | ✓                         | ✓                   | ✓                   | ✓           | ✓                                       | ✓         |
| Primary care<br>providers           |                           | ✓                   | ✓                   |             |                                         |           |

### HOW TO USE THIS TRAINING PACKAGE

This training package is meant to be a capacity-building and training tool for WHO, WHO Member States and international partners to help them improve their contribution to the implementation of the WHO FCTC Article 14 guidelines and the WHO NCD Action Plan. WHO recommends that implementing this training package to integrate brief tobacco interventions into existing primary care services should be conducted in conjunction with other population-level tobacco control measures covered by the WHO FCTC in order to achieve a synergistic effect and maximize its impact. It is also recommended that this training package is implemented to improve the delivery of brief tobacco interventions as a key component of integrated health programmes dealing with NCDs and tuberculosis, as well as with maternal and child health in primary care.

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Ideally a country should use the whole package to conduct training for policy-makers, primary care service managers and primary care providers in order to promote the effective integration of brief tobacco interventions into existing primary care services. However, a country may choose to train just one or two of these groups, taking into account national circumstances and priorities. When the training package is implemented either fully or partially in a specific country, it should be adapted to suit country-specific situations.

The entire training for policy-makers, primary care service managers and primary care providers lasts a total of 7.5–9 days with 2.5–3 days for each. The training for future trainers will last 0.5–1 day.

### **MORE INFORMATION AND GUIDANCE**

This training package is intended for use by staff of WHO and government departments of WHO Member States. However, its components and tools can be used in other contexts to promote treatment of tobacco dependence in primary care.

If you use this package outside the context of a WHO-sponsored training workshop, please let us know. Your experience and feedback will help WHO improve the package and share lessons learned with others.

For feedback and additional guidance in implementing the package, please contact:

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Dongbo Fu coordinated the production of this package under the direction of Armando Peruga and Douglas Bettcher. Miriamjoy Aryee-Quansah provided administrative support.

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Interim versions of this package were piloted at workshops in the WHO African Region (Mauritius), the WHO Region of the Americas/Pan American Health Organization (Bahamas, Barbados, Panama and Trinidad and Tobago), the WHO Eastern Mediterranean Region (Iran and Jordan with participants from Egypt and Iraq), and the WHO Western Pacific Region (Malaysia and Philippines). The comments and suggestions provided by participants at these workshops have been used to refine and improve the training package.

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# PART I:

## TRAINING FOR POLICY-MAKERS:

### DEVELOPING AND IMPLEMENTING HEALTH SYSTEMS POLICY TO IMPROVE THE DELIVERY OF BRIEF TOBACCO INTERVENTIONS

#### INTRODUCTION

The role of policy-makers in strengthening health systems to deliver brief tobacco interventions in primary care is to form policies, strategies and health plans to support system changes in relation to the six health system building blocks. The purpose of Part I is to improve policy-makers' knowledge and skills to enable them to recognize the treatment of tobacco dependence as a priority for their health system and to develop supportive policies to strengthen health systems to improve the delivery of brief tobacco interventions in primary care as part of their efforts to implement the WHO FCTC and to control NCDs.

#### LEARNING OBJECTIVES, SKILL DEVELOPMENT AND OUTCOMES

##### Learning objectives

Upon completion of this training participants will be able to:

- recognize treatment of tobacco dependence as a key component of any comprehensive tobacco control programme;
- make treatment of tobacco dependence a top priority for their health systems;
- list policy-makers' responsibilities for strengthening health systems to improve the delivery of brief tobacco interventions in primary care;
- apply the WHO Health System Framework to diagnose the causes of poor performance of brief tobacco interventions in primary care and to develop health systems policies to improve the performance;
- describe the five steps for health policy formulation (AIDE-ME);
- develop action plans for assessing the performance of brief tobacco interventions in primary care; establishment, implementation, monitoring and evaluation (M&E) of new health systems policies.

##### Skills developed

1. Ability to use the WHO Health System Framework to diagnose the causes of poor performance in delivering brief tobacco interventions in primary care settings.
2. Ability to identify appropriate strategies and policy interventions to tackle health system constraints to improve the performance of brief tobacco interventions delivery in primary care.
3. Ability to effectively engage all stakeholders in the process of policy development and implementation.
4. Ability to develop an implementation plan and an M&E plan for new health system policies.

##### Outcomes

1. Increased political commitment to strengthening health systems to improve the delivery of brief tobacco interventions in primary care.
2. Action plans for diagnosing the performance of brief tobacco interventions in primary care; establishment, implementation, monitoring and evaluation of new health systems policies to improve the delivery of brief tobacco interventions in primary care settings.

## STRUCTURE AND CONTENT

### The full version

The full training for policy-makers consists of seven modules. Each of the seven modules addresses a specific issue or phase of the process of developing and implementing health systems policies to integrate brief tobacco interventions into primary care services. Each training module is presented in a four-step format, namely: preparation, presentation, practice and evaluation. The modules are summarized below. Further guidance for facilitators follows in the detailed *Facilitators' guide*.

**Module 1:** Treatment of tobacco dependence: a top priority for health-care systems

**Module 2:** WHO Health System Framework and steps for formulating policy interventions to strengthen health systems

**Module 3:** Assessing the performance of brief tobacco interventions in primary care

**Module 4:** Identifying the causes of poor performance

**Module 5:** Defining appropriate health systems strengthening strategies

**Module 6:** Establishing and implementing health systems policies

**Module 7:** Monitoring and Evaluation

If all seven modules are used, the training workshop duration is 2.5 days. However, the duration and details covered in each module should be adapted to the needs of the participants. Their needs will depend on their experience and knowledge of the issue, the stage of WHO FCTC implementation in the country, and the strengths and weaknesses of their health system. A sample agenda for the training workshop of 2.5 days is provided below.

| Day 1         |                                                                                                                              |
|---------------|------------------------------------------------------------------------------------------------------------------------------|
| 8:30 – 9:00   | Registration                                                                                                                 |
| 9:00 – 9:30   | Welcome and Workshop Overview<br>Participant introductions                                                                   |
| 9:30 – 10:30  | <b>Module 1:</b> Treatment of tobacco dependence: a top priority for health-care systems (1)                                 |
| 10:30 – 10:45 | Coffee break                                                                                                                 |
| 10:45 – 11:15 | <b>Module 1:</b> Treatment of tobacco dependence: a top priority for health-care systems (2)                                 |
| 11:15 – 12:15 | <b>Module 2:</b> WHO Health System Framework and steps for formulating policy interventions to strengthen health systems (1) |
| 12:15 – 13:15 | Lunch                                                                                                                        |
| 13:15 – 14:15 | <b>Module 2:</b> WHO Health System Framework and steps for formulating policy interventions to strengthen health systems (2) |
| 14:15 – 15:00 | <b>Module 3:</b> Assessing the performance of brief tobacco interventions in primary care (1)                                |
| 15:00 – 15:30 | Coffee break                                                                                                                 |
| 15:30 – 16:30 | <b>Module 3:</b> Assessing the performance of brief tobacco interventions in primary care (2)                                |
| 16:30 – 17:00 | Daily wrap-up                                                                                                                |

| Day 2         |                                                                               |
|---------------|-------------------------------------------------------------------------------|
| 8:30 – 9:00   | Interactive discussions                                                       |
| 9:00 – 10:45  | <b>Module 4:</b> Identifying the causes of poor performance                   |
| 10:45 – 11:00 | Coffee break                                                                  |
| 11:00 – 12:45 | <b>Module 5:</b> Defining appropriate health systems strengthening strategies |
| 12:45 – 13:45 | Lunch                                                                         |
| 13:45 – 15:00 | <b>Module 6:</b> Establishing and implementing health systems policies (1)    |
| 15:00 – 15:30 | Coffee break                                                                  |
| 15:30 – 16:30 | <b>Module 6:</b> Establishing and implementing health systems policies (2)    |
| 16:30 – 17:00 | Daily wrap-up                                                                 |
| Day 3         |                                                                               |
| 8:30 – 9:00   | Interactive discussions                                                       |
| 9:00 – 10:30  | <b>Module 7:</b> Monitoring and evaluation (1)                                |
| 10:30 – 10:45 | Coffee break                                                                  |
| 10:45 – 11:45 | <b>Module 7:</b> Monitoring and evaluation (2)                                |
| 11:45 – 12:30 | Closing session<br>Workshop evaluation                                        |

### The simplified version

Considering that policy-makers are generally not available to attend a long training workshop, a simplified training module has been developed for a half-day workshop for policy-makers. The purpose of this simplified version of the training is to increase the awareness of policy-makers of the importance of tobacco dependence treatment as part of a comprehensive tobacco control strategy and the need to strengthen health systems to support the integrated delivery of brief tobacco interventions in primary care. The simplified training module is also presented in the four-step format: preparation, presentation, practice and evaluation.

This simplified module has five main components, namely:

- the current situation of tobacco use and tobacco control in the country;
- what a country can do to support tobacco users to quit, and how;
- prioritizing tobacco dependence treatment in primary care;
- WHO Health System Framework: a tool for strengthening health systems;
- policy-makers' commitment to strengthening health systems to improve the delivery of brief tobacco interventions in primary care.

Below is a sample agenda for organizing a half-day training workshop for policy-makers.

| Half day training workshop                                                                                                               |                                                                                                                                  |
|------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------|
| 8:30 – 9:00                                                                                                                              | Registration                                                                                                                     |
| 9:00 – 9:30                                                                                                                              | Welcome and workshop overview<br>Participant introductions                                                                       |
| <b>Section 1: Tobacco use: a big public health problem in the country</b>                                                                |                                                                                                                                  |
| 9:30 – 9:50                                                                                                                              | The current situation of tobacco use and tobacco control in your country                                                         |
| <b>Section 2: What a country can do to support tobacco users to quit, and how</b>                                                        |                                                                                                                                  |
| 9:50 – 10:20                                                                                                                             | Supporting tobacco users to quit: the Parties' obligations under the WHO FCTC                                                    |
|                                                                                                                                          | The WHO FCTC Article 14 guidelines recommendations                                                                               |
| 10:20 – 10:40                                                                                                                            | Coffee break                                                                                                                     |
| <b>Section 3: Prioritizing tobacco dependence treatment in primary care</b>                                                              |                                                                                                                                  |
| 10:40 – 11:10                                                                                                                            | Why treatment of tobacco dependence should be a top priority for health-care system?                                             |
|                                                                                                                                          | The need to strengthen health systems to promote brief tobacco interventions in primary care                                     |
| <b>Section 4: WHO Health System Framework: a tool for strengthening health systems</b>                                                   |                                                                                                                                  |
| 11:10 – 12:25                                                                                                                            | WHO Health System Framework and WHO definition of health system strengthening                                                    |
|                                                                                                                                          | Practise using the WHO Health System Framework to identify effective policy interventions to promote brief tobacco interventions |
| <b>Section 5: Your commitment to strengthening health systems to improve the delivery of brief tobacco interventions in primary care</b> |                                                                                                                                  |
| 12:25 – 13:25                                                                                                                            | Group presentation and discussion on effective policy interventions to promote brief tobacco interventions in primary care       |
| 13:25 – 13:45                                                                                                                            | Closing session<br>Workshop evaluation                                                                                           |

## PREPARING FOR THE TRAINING

Organizing a training workshop requires many practical considerations to be addressed, such as when and where the training will be provided, forming a facilitation team, setting up a workshop programme and agenda, selecting participants, and logistics and materials.

### The facilitation team

The training should be delivered by an expert facilitation team identified by the organizer in consultation with key local partners. The team should include:

- a lead facilitator with detailed expertise in treatment of tobacco dependence and health systems and experience in facilitating workshops;
- one or two additional facilitators with expertise in one or more aspects of tobacco control, medical education, health systems and policy;
- additional content presenters as necessary.

The facilitation team should be supported by one or more logistics assistants to facilitate logistical needs during the workshop, including production and reproduction of materials.

### Workshop programme and schedule

Prior to the training, the organizer and facilitators should gather as much information as possible about the country situation and the knowledge, skills and needs of participants in order to determine the training content and structure. If necessary, adjustments can be made to the content and structure to suit the situation. The organizer and facilitators will then need to design an appropriate training schedule or agenda based on the content they want to offer to the participants, the time needed for each module and the overall timeframe of the workshop. Please try to avoid creating an overcrowded schedule during the planning of the schedule.

### Selecting participants

The workshop is targeted at those who have power to influence or determine policies and practices at national, regional or local level. These could be health authorities at national level (Ministry of Health), or at sub-national level (provincial, regional and district health bureau). The choice of participants will depend on the goals of the training. For instance, a workshop for establishing health-system policies to integrate brief tobacco interventions into a national health system will require more national representatives than local, and vice versa.

It is recommended that the workshop be conducted with a maximum of 20 participants.

### Logistics

The workshop requires standard meeting/training tools and facilities, namely:

- one main meeting room, with participants seated around small tables in small groups;
- one or two additional break-out rooms if the large room cannot accommodate small group discussions;
- flipcharts and markers (one for each small group);
- projector and screen for presentations;
- laptop computer with speakers for presentations;
- presenter's microphone;
- portable microphones for discussions (optional);
- desktop computer, printer and photocopier for document production during the workshop (optional).

### Materials

All the workshop training and background materials are provided online by WHO. These include:

- the *Facilitators' guide*;
- presentations;
- the *Participants' workbook*;
- workshop evaluation forms (see Appendix for sample evaluation form).

The References and Resources section contains hyperlinks to the relevant materials needed throughout the workshop. In addition to online materials, each participant should receive a binder or folder with key printed materials, particularly:

- handouts of presentations;
- key resource documents for each theme.

The facilitation team should decide which resources are most relevant to the participants and should include them in the printed materials. The facilitation team should also ensure that key materials are available in the language of the participants.

# FACILITATORS' GUIDE

## FOR THE FULL VERSION

### Module 1: Treatment of tobacco dependence: a top priority for health-care systems

|                   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
|-------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Duration</b>   | 1.5 hours                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| <b>Objectives</b> | <p>Upon completion of this module, participants will be able to:</p> <ul style="list-style-type: none"> <li>– recognize treatment of tobacco dependence as a key component of any comprehensive tobacco control programme;</li> <li>– list the reasons for countries to make treatment of tobacco dependence a top priority for their health-care systems;</li> <li>– state rationales for promoting access to treatment of tobacco dependence in primary care settings.</li> </ul> |

| Time                | Facilitator activity                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | Participant activity                                                                                                                                              | Audiovisual                                                                            |
|---------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------|
| <b>Preparation</b>  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                                                                                                                                   |                                                                                        |
| 15 minutes          | <p>Tell stories about:</p> <ul style="list-style-type: none"> <li>• what happened after the smoke-free laws were implemented in the UK;</li> <li>• what happened after the USA raised federal tobacco tax in early 2009;</li> <li>• what happened after the tax on tobacco increased in Hong Kong SAR, China.</li> </ul> <p>Explain that this training workshop is a chance to self-define the need for scaling up tobacco dependence treatment in primary care and to improve necessary skills for policy change.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | Conclude that implementing population-level tobacco control policies can motivate people to stop smoking, and can create demand for tobacco dependence treatment. | Workbook, PowerPoint presentation<br><i>Part I-Module 1-A</i>                          |
| <b>Presentation</b> |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                                                                                                                                   |                                                                                        |
| 15 minutes          | <p>Use the WHO FCTC to explain:</p> <ul style="list-style-type: none"> <li>• Only a comprehensive tobacco control strategy can reverse the global tobacco epidemic.</li> <li>• Treatment of tobacco dependence should not be neglected as a key component of any comprehensive tobacco control programme because tobacco control interventions are complementary.</li> <li>• Providing support for tobacco users to quit can also help reduce their resistance to the implementation of population-level tobacco control policies.</li> </ul> <p>Use the WHO MPOWER package to explain how WHO provides country-level assistance to promote tobacco dependence treatment.</p> <p>Ask:</p> <ul style="list-style-type: none"> <li>• Which article of the WHO FCTC is related to treatment of tobacco dependence?</li> <li>• Which measure in the MPOWER package is related to treatment of tobacco dependence?</li> </ul> <p>Refer participants to the workbook; show the core provisions in the WHO FCTC and the nature of the MPOWER package.</p> | Anticipated response: Article 14 of the WHO FCTC and Policy “O” (Offer help to quit tobacco use) of the MPOWER package.                                           | Workbook, flipchart or whiteboard, PowerPoint presentation<br><i>Part I-Module 1-B</i> |
| 10 minutes          | <p>State that a country's health system should assume the major responsibility for treating tobacco dependence and every country should make the treatment of tobacco dependence a top priority for their health-care system.</p> <p>Ask participants to brainstorm: why the treatment of tobacco dependence should be a top priority for a health-care system.</p> <p>Write down participants' responses on a flipchart page or a whiteboard.</p> <p>Refer participants to the workbook, use PowerPoint slides to present the reasons:</p> <ul style="list-style-type: none"> <li>• Treating tobacco dependence is the best thing that the health system can do to improve health for all.</li> <li>• Treating tobacco dependence is one of the most cost-effective among other common medical interventions.</li> </ul> <p>The presentation should emphasize the points that participants do not mention in the brainstorming exercise.</p>                                                                                                      | Brainstorm the reasons.                                                                                                                                           | Workbook, flipchart or whiteboard, PowerPoint presentation<br><i>Part I-Module 1-C</i> |

| Time                | Facilitator activity                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | Participant activity                                                                                                                        | Audiovisual                                                                       |
|---------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------|
| <b>Presentation</b> |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                                                                                                             |                                                                                   |
| 10 minutes          | <p>Explain that, although the treatment of tobacco dependence should be made available in a country's entire health system at all levels of service delivery, including primary, secondary and tertiary health care settings, primary care settings should be the main focus.</p> <p>Refer participants to the workbook, use PowerPoint slides to present the rationales for promoting access to tobacco cessation services in primary care settings:</p> <ul style="list-style-type: none"> <li>• The public health impact of an intervention/service depends on effectiveness, reach and delivery cost.</li> <li>• The primary care can help: <ul style="list-style-type: none"> <li>– <b>reach</b> the majority of tobacco users in many countries;</li> <li>– reduce the <b>delivery cost</b> by using the integrated service delivery model.</li> </ul> </li> </ul> <p>Ask for the conclusion that:</p> <ul style="list-style-type: none"> <li>• Consistent provision of treatment of tobacco dependence to tobacco users in primary care settings could have a substantial public health benefit, as there are various existing opportunities and entry points in primary care to reach the majority of tobacco users.</li> </ul>                                                                                                                             |                                                                                                                                             | PowerPoint presentation<br><i>Part I-<br/>Module 1-D</i>                          |
| <b>Practice</b>     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                                                                                                             |                                                                                   |
| 20 minutes          | Assign participants to pair up with the person sitting next to them to list all existing effective tobacco cessation services in primary care settings.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | Work in pairs to list existing effective tobacco cessation services.                                                                        | Workbook                                                                          |
| <b>Evaluation</b>   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                                                                                                             |                                                                                   |
| 20 minutes          | <p>Ask volunteers to share their lists of existing effective tobacco cessation services.</p> <p>Make sure that participants understand the following statements:</p> <ul style="list-style-type: none"> <li>• Countries should aim to develop a comprehensive system to provide a range of interventions for tobacco cessation and treatment of tobacco dependence.</li> <li>• The guidelines for implementation of Article 14 of the WHO FCTC recommend that countries use a stepwise approach to developing their treatment system: if they cannot do it simultaneously, <b>they should at least ensure that tobacco users receive brief tobacco interventions in primary care settings.</b></li> <li>• Many opportunities and entry points exist in primary care to reach tobacco users and provide them with brief tobacco interventions. If health-care system does not function well, it may not be able to respond adequately to such opportunities.</li> </ul> <p>Prompt that, in line with the Article 14 guidelines, and considering the potential public health impact, this training is provided to assist countries to take one of their first actions towards developing a comprehensive tobacco dependence treatment system, namely: <b>to strengthen health systems to improve the delivery of brief tobacco interventions in primary care.</b></p> | <p>Share with the group their lists of existing effective tobacco cessation services.</p> <p>Everyone helps critique and give feedback.</p> | Flipchart or whiteboard, PowerPoint presentation<br><i>Part I-<br/>Module 1-E</i> |

## Module 2: WHO Health System Framework and steps for formulating policy interventions to strengthen health systems

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| <b>Duration</b>   | 2 hours                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| <b>Objectives</b> | <p>Upon completion of this module participants will be able to:</p> <ul style="list-style-type: none"> <li>– define a health system and health system strengthening;</li> <li>– state the functions, structure and goals of a health system;</li> <li>– describe the WHO Health System Framework;</li> <li>– describe the five steps for health policy formulation (AIDE-ME);</li> <li>– list policy-makers' responsibilities for strengthening health systems to promote brief tobacco interventions;</li> <li>– show political commitment for strengthening health systems to improve the delivery of brief tobacco interventions in primary care.</li> </ul> |

| Time                | Facilitator activity                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | Participant activity       | Audiovisual                                                                                 |
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| <b>Preparation</b>  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |                            |                                                                                             |
| 20 minutes          | <p>State that any strategy for strengthening health systems to improve delivery of brief tobacco interventions needs the knowledge of health system basics, which are learning objectives for this module.</p> <p>Refer participants to the workbook, and do the quiz for the following questions:</p> <ul style="list-style-type: none"> <li>• What is health system?</li> <li>• What are health system goals?</li> <li>• What is health system strengthening?</li> </ul> <p>Tell participants that they will have an opportunity to improve their knowledge about health systems in this module.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | Do the quiz independently. | Workbook                                                                                    |
| <b>Presentation</b> |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |                            |                                                                                             |
| 10 minutes          | <p>Use PowerPoint slides to present:</p> <ul style="list-style-type: none"> <li>• WHO definition of a health system;</li> <li>• WHO Health System Framework.</li> </ul> <p>Explain that the WHO Health System Framework (six building block framework) can help one understand the structure, goals and functions of a health system.</p> <p>Be sure to use examples to explain:</p> <ul style="list-style-type: none"> <li>• The structure of a health system( six building blocks);</li> <li>• The multiple goals of a health system: <ul style="list-style-type: none"> <li>– improving health and health equity, which is the defining goal for a health system,</li> <li>– responsiveness to needs,</li> <li>– fairness in financial contribution;</li> </ul> </li> <li>• The basic functions of a health system: <ul style="list-style-type: none"> <li>– stewardship(governance),</li> <li>– creating resources,</li> <li>– delivering services,</li> <li>– financing;</li> </ul> </li> </ul> <p>Introduce the results chain and explain that:</p> <ul style="list-style-type: none"> <li>• The route from inputs, processes and outputs to health impact is through achieving intermediate objectives: greater access to and coverage of effective health interventions (enhancing the system's performance).</li> <li>• <b>These intermediate objectives can be targeted and changed by health system strengthening interventions.</b></li> </ul> | Refer to the workbook.     | Workbook, flipchart or whiteboard, PowerPoint presentation<br><i>Part I-<br/>Module 2-A</i> |

| Time                | Facilitator activity                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | Participant activity                                                                                                                   | Audiovisual                                                        |
|---------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------|
| <b>Presentation</b> |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                                                                                                                        |                                                                    |
| 15 minutes          | <p>Introduce the WHO definition of health systems strengthening.</p> <p>Emphasize that the WHO Health System Framework can be a useful tool for strengthening health systems to promote brief tobacco interventions in primary care because it shows practical ways to strengthen health systems by using six operational “building blocks”.</p> <p>Emphasize that, for the rest of the course, participants will learn how to use the WHO Health System Framework as a tool to strengthen their health systems to deliver brief tobacco interventions.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | Refer to the workbook.                                                                                                                 | Workbook, PowerPoint presentation<br><i>Part I-<br/>Module 2-B</i> |
| 15 minutes          | <p>Introduce the five steps for health policy formulation.</p> <p>Explain that:</p> <ul style="list-style-type: none"> <li>• The WHO Health System Framework reveals the content areas of health system strengthening interventions, but it does not tell us what to do and how to strengthen each of the six building blocks.</li> <li>• For the purpose of translating the WHO Health System Framework into health system strengthening actions at the operational level, on the basis of the “Health Policy Cycle”, a five-step process (<b>AIDE-ME</b>) is summarized for formulating policy interventions to strengthen health systems, i.e.: <ol style="list-style-type: none"> <li>1. <b>A</b>ssess health systems performance.</li> <li>2. <b>I</b>dentify causes of poor performance and opportunities to improve.</li> <li>3. <b>D</b>efine appropriate health system strengthening strategies.</li> <li>4. <b>E</b>stablish and implement health systems policies.</li> <li>5. <b>M</b>onitoring and <b>E</b>valuation.</li> </ol> </li> </ul> <p>Use a figure to visualize the health policy formulation process.</p> <p>Point out that participants will have opportunities to go through each of these five steps to improve necessary skills for formulating health policy.</p> | Refer to the workbook.                                                                                                                 | Workbook, PowerPoint presentation<br><i>Part I-<br/>Module 2-C</i> |
| <b>Practice</b>     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                                                                                                                        |                                                                    |
| 30 minutes          | <p>Prompt participants that a health systems strengthening is a complicated process, which involves all key actors of a health system, including policy-makers. Policy-makers have key roles and responsibilities in strengthening health systems to promote access to brief tobacco interventions.</p> <p>Assign participants to work in small groups to brainstorm and list the responsibilities of policy-makers for strengthening health systems to improve the delivery of brief tobacco interventions in primary care.</p> <p>Give the groups a template to make the list according to each of the six building blocks.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | Work in small groups and use the pre-set template to generate a list of responsibilities of policy-makers.                             | Workbook, flipchart or whiteboard                                  |
| <b>Evaluation</b>   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                                                                                                                        |                                                                    |
| 30 minutes          | <p>Ask the groups to present their lists of policy-makers' responsibilities.</p> <p>Refer to the workbook and summarize the roles and responsibilities of policy-makers for strengthening health systems.</p> <p>Ask participants:</p> <ul style="list-style-type: none"> <li>• As a policy-maker, are you willing to take any action to strengthen health systems to improve the delivery of brief tobacco interventions?</li> </ul> <p>Encourage participants to make a statement and measure the political commitment by counting positive statements made by participants.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | <p>Everyone helps critique and give feedback.</p> <p>Anticipated response: participants express their willingness to take actions.</p> | Workbook, PowerPoint presentation<br><i>Part I-<br/>Module 2-D</i> |

### Module 3: Assessing the performance of brief tobacco interventions in primary care

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|-------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Duration</b>   | 1 hour 45 minutes                                                                                                                                                                                                                                                                                                                                                                                                                          |
| <b>Objectives</b> | <p>Upon completion of this module participants will be able to:</p> <ul style="list-style-type: none"> <li>– define performance of brief tobacco interventions in primary care;</li> <li>– use appropriate indicators and measurement methods to assess the performance of brief tobacco interventions in primary care;</li> <li>– develop a plan for assessing the performance of brief tobacco interventions in primary care.</li> </ul> |

| Time                | Facilitator activity                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | Participant activity                                                                                                         | Audiovisual                                                                                         |
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| <b>Preparation</b>  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                                                                                                                              |                                                                                                     |
| 15 minutes          | <p>Ask participants:<br/>What is “performance of brief tobacco interventions in primary care”?</p> <p>State that:<br/>“Performance” here relates to <b>how well primary care providers perform to deliver brief tobacco interventions</b>.<br/>In this module, participants will discuss how to assess the performance of their primary care providers for delivering brief tobacco interventions.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | Participants respond to the question.                                                                                        | Workbook                                                                                            |
| <b>Presentation</b> |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                                                                                                                              |                                                                                                     |
| 30 minutes          | <p>Explain that assessing the performance of brief tobacco interventions in primary care requires an understanding of the objective of strengthening health systems.</p> <p>State that the objective of WHO health systems strengthening for treating tobacco dependence is <b>to achieve universal coverage of brief tobacco interventions for all tobacco users</b>.</p> <p>Ask participants to brainstorm:<br/>What indicators can be used to measure the performance of brief tobacco interventions in primary care?</p> <p>Write down participants' responses.</p> <p>Describe the indicators and measurement methods:</p> <ul style="list-style-type: none"> <li>• Indicators: <ul style="list-style-type: none"> <li>– coverage (percentage of tobacco users visiting primary care facilities in the last 12 months who stated they received brief tobacco interventions),</li> <li>– equity in brief tobacco interventions coverage (the level of coverage for different districts and different groups, e.g. poor vs. non-poor, female vs. male);</li> </ul> </li> <li>• Data source: <ul style="list-style-type: none"> <li>– clinical data,</li> <li>– survey.</li> </ul> </li> </ul> | <p>Refer to the workbook.</p> <p>Anticipated response: participants participate in the discussion and share their ideas.</p> | <p>Workbook, flipchart or whiteboard, PowerPoint presentation<br/><i>Part I-<br/>Module 3-A</i></p> |
| <b>Practice</b>     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                                                                                                                              |                                                                                                     |
| 30 minutes          | <p>Participants work in small groups to develop a plan for assessing the performance of primary care providers for delivering brief tobacco interventions in their countries.</p> <p>Refer participants to the pre-set template and tell each group that the plan should consist of the following components:</p> <ul style="list-style-type: none"> <li>• indicators;</li> <li>• data source;</li> <li>• data analysis and synthesis;</li> <li>• data dissemination, communication and use.</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | Participants work in small groups to develop a plan for the assessment of primary care providers' performance.               | Workbook                                                                                            |

| Time              | Facilitator activity                                                                                                                                                                                                                                                                    | Participant activity                       | Audiovisual |
|-------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------|-------------|
| <b>Evaluation</b> |                                                                                                                                                                                                                                                                                         |                                            |             |
| 30 minutes        | Ask the groups to present their plans for the performance assessment.<br>Ask for the conclusion that the results of their primary care providers' performance assessment will guide their decision as to whether or not their primary care providers' performance needs to be improved. | Everyone helps critique and give feedback. |             |

## Module 4. Identifying the causes of poor performance

|                   |                                                                                                                                                                                                                                                                                                                                                                                                               |
|-------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Duration</b>   | 1 hour 45 minutes                                                                                                                                                                                                                                                                                                                                                                                             |
| <b>Objectives</b> | Upon completion of this module participants will be able to: <ul style="list-style-type: none"> <li>– discuss the principles and tools for diagnosing the causes of poor performance of primary care providers in delivering brief tobacco interventions;</li> <li>– describe steps to identify the causes of poor performance in delivering brief tobacco interventions in primary care settings.</li> </ul> |

| Time                | Facilitator activity                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | Participant activity                                                                                                                                           | Audiovisual                                                    |
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| <b>Preparation</b>  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                                                                                                                                                |                                                                |
| 15 minutes          | State that this module is going to discuss how to do a DIAGNOSIS.<br>Use PowerPoint slides to explain the definition of “diagnosis”; that “diagnosis of the causes of poor performance” requires us to identify the root causes of low coverage of brief tobacco interventions in primary care settings that can be changed through policy interventions.<br>Point out that the WHO Health System Framework (six building blocks) is a good tool for identifying the underlying causes of poor performance in delivering brief tobacco interventions.             |                                                                                                                                                                | Workbook, PowerPoint presentation<br><i>Part I- Module 4-A</i> |
| <b>Presentation</b> |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                                                                                                                                                |                                                                |
| 20 minutes          | Explain why the WHO Health System Framework can be a good analytical tool for diagnosing the causes of poor performance in delivering brief tobacco interventions.<br>Use one specific example to demonstrate how the diagnostic process operates and to describe the steps of using the WHO Health System Framework to identify the underlying causes of poor performance in delivering brief tobacco interventions in primary care settings.                                                                                                                    | Refer to the workbook.                                                                                                                                         | Workbook, PowerPoint presentation<br><i>Part I- Module 4-B</i> |
| <b>Practice</b>     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                                                                                                                                                |                                                                |
| 40 minutes          | Assign participants to work in small groups to identify the causes of poor performance in delivering brief tobacco interventions in primary care using the WHO Health System Framework.<br>Each group works on one specific performance problem in delivering brief tobacco interventions in their primary care settings.<br>Give each small group a pre-set template to write down their results.                                                                                                                                                                | Work in small groups to identify the causes of poor performance in delivering brief tobacco interventions in their primary care settings.                      | Workbook                                                       |
| <b>Evaluation</b>   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                                                                                                                                                |                                                                |
| 30 minutes          | Ask the groups to present their results.<br>Ask for the conclusion that: <ul style="list-style-type: none"> <li>• The diagnostic analysis of the performance problem requires multiple successive steps, and the WHO Health System Framework can be a helpful organizing device for this analysis.</li> <li>• Solving performance problems may well require action on more than one cause at a time (i.e. changing more than one building block) because a health system is a set of interconnected parts that must function together to be effective.</li> </ul> | Everyone helps critique and give feedback.<br><br>Conclude that more than one building block should be changed for achieving better health system performance. |                                                                |

## Module 5: Defining appropriate health system strengthening strategies

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|-------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Duration</b>   | 1 hour 45 minutes                                                                                                                                                                                                                                                                                                                                                                                                                  |
| <b>Objectives</b> | <p>Upon completion of this module participants will be able to:</p> <ul style="list-style-type: none"> <li>– describe the advantages and disadvantages of different approaches to strengthening health systems;</li> <li>– discuss appropriate strategies for taking advantage of existing opportunities to improve the performance of brief tobacco interventions in primary care while other programmes also benefit.</li> </ul> |

| Time                | Facilitator activity                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | Participant activity                                                                                                                                                                                                            | Audiovisual                                                   |
|---------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------|
| <b>Preparation</b>  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |                                                                                                                                                                                                                                 |                                                               |
| 15 minutes          | <p>Ask participants:</p> <ul style="list-style-type: none"> <li>• Where are we now on health policy formulation journey?</li> </ul> <p>Review the process of the health policy formulation journey (AIDE-ME) and tell participants that they are now moving into the third step to define appropriate strategies to tackle the causes of poor performance in delivering brief tobacco interventions, as identified in Module 4.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | Respond to the question.                                                                                                                                                                                                        | Workbook, PowerPoint presentation<br><i>Part I-Module 5-A</i> |
| <b>Presentation</b> |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |                                                                                                                                                                                                                                 |                                                               |
| 30 minutes          | <p>Explain three common approaches to strengthening health systems:</p> <ul style="list-style-type: none"> <li>• the system-wide approach (horizontal approach);</li> <li>• the disease/service/intervention-specific approach (vertical approach);</li> <li>• the matrix approach.</li> </ul> <p>Make sure to emphasize the advantages and limitations of the horizontal and vertical approaches and the rationale for adopting the matrix approach in order to:</p> <ul style="list-style-type: none"> <li>• have a comprehensive package of different types of services;</li> <li>• arrange a coordinated care at the service delivery point with integration of tobacco cessation interventions into other primary care services;</li> <li>• achieve continuity of care over time;</li> <li>• have integrated policy-making and management;</li> <li>• have coordination between the tobacco cessation services and other social services.</li> </ul> <p>Explain that the key element of a matrix approach is <b>INTEGRATION</b>.</p> <p>Emphasize that participants should use a health system strengthening approach that focuses on <b>integration of brief tobacco interventions into existing primary care services</b>.</p> | Refer to the workbook.                                                                                                                                                                                                          | Workbook, PowerPoint presentation<br><i>Part I-Module 5-B</i> |
| <b>Practice</b>     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |                                                                                                                                                                                                                                 |                                                               |
| 30 minutes          | <p>Assign participants to work in small groups to define appropriate integration strategies for strengthening health systems to improve the performance of brief tobacco interventions delivery.</p> <p>Ask each group to work on one pre-identified major health system constraint.</p> <p>Remind participants that the strategies should focus on integration and should have a balance between shorter-term progress and long-term improvement in the coverage of brief tobacco interventions.</p> <p>Give participants a pre-set template to write down their results.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | <p>Work in small groups to define appropriate health system strengthening strategies for scaling up brief tobacco interventions in primary care settings.</p> <p>Each group works on one specific health system constraint.</p> | Workbook                                                      |
| <b>Evaluation</b>   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |                                                                                                                                                                                                                                 |                                                               |
| 30 minutes          | <p>Ask the groups to present their results.</p> <p>Ask for the conclusion that strategies focusing on integration are appropriate ways for strengthening health systems to improve the performance of delivery of brief tobacco interventions.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | Everyone helps critique and give feedback.                                                                                                                                                                                      | Workbook                                                      |

## Module 6: Establishing and implementing health systems policies

|                   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
|-------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Duration</b>   | 2 hours 10 minutes                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| <b>Objectives</b> | <p>Upon completion of this module participants will be able to:</p> <ul style="list-style-type: none"> <li>– discuss the importance of involving interest groups in the process of policy development;</li> <li>– describe the strategic way to engage all stakeholders;</li> <li>– develop health systems policies based on predefined integration strategies;</li> <li>– list basic organizational tasks for implementing health systems policies effectively;</li> <li>– develop an implementation plan.</li> </ul> |

| Time                | Facilitator activity                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | Participant activity                                         | Audiovisual                                                                             |
|---------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------|-----------------------------------------------------------------------------------------|
| <b>Preparation</b>  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |                                                              |                                                                                         |
| 15 minutes          | <p>Explain that the integration strategies defined in step “D” will give participants direction and scope as to what kind of health system policies or interventions they need in order to improve the performance of brief tobacco interventions delivery in primary care settings. In this module, participants will practise how to develop and implement health system policies to realize predefined integration strategies.</p> <p>Ask participants:</p> <ul style="list-style-type: none"> <li>• What is the process to develop a national health policy in your countries?</li> </ul> <p>Prompt that no matter what process or steps they have to go through to develop and implement national health policy, it is very important to engage all relevant stakeholders in the process.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | Respond to the question.                                     | Workbook                                                                                |
| <b>Presentation</b> |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |                                                              |                                                                                         |
| 25 minutes          | <p>Ask participants to brainstorm:</p> <ul style="list-style-type: none"> <li>• Why it is important to involve all relevant stakeholders in the process of policy development?</li> </ul> <p>Write down participants' responses on a flipchart page or a whiteboard.</p> <p>Explain that:</p> <ul style="list-style-type: none"> <li>• Involving interest groups in the process of policy development serves at least five functions: <ul style="list-style-type: none"> <li>– it allows policymakers to hear and take into account interest groups' concerns;</li> <li>– it increases the acceptance of a policy;</li> <li>– it educates interest groups about the concerns of, and pressures exerted on, policy-makers by other constituencies;</li> <li>– it educates the participants about the details of the policy that ultimately emerge;</li> <li>– it receives authorization and support from the highest political levels. This is particularly important for the treatment of tobacco dependence because, in many countries so far, it has not been given the deserved high priority.</li> </ul> </li> </ul> <p>Emphasize that <b>policy-makers should lead any participatory process of policy development</b> because participation may get out of the hands of a policy-maker. Therefore, the process of policy development needs to be managed strategically and led by policy-makers.</p> <p>Ask participants to brainstorm:</p> <ul style="list-style-type: none"> <li>• Who are the relevant stakeholders we need to engage to scale up brief tobacco interventions in primary care settings?</li> </ul> <p>Write down participants' responses on a flipchart page or a whiteboard.</p> | Actively participate in the discussion and share their ideas | Workbook, flipchart or whiteboard, PowerPoint presentation<br><i>Part I- Module 6-A</i> |

| Time                | Facilitator activity                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | Participant activity                                                                                                                                                        | Audiovisual                                                                                    |
|---------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------|
| <b>Presentation</b> |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                                                                                                                                                                             |                                                                                                |
| 25 minutes          | <p>Make sure that the key stakeholders include:</p> <ul style="list-style-type: none"> <li>• senior policy-makers or managers like ministers of health;</li> <li>• actors in other sectors;</li> <li>• NGOs;</li> <li>• academics</li> <li>• health service managers;</li> <li>• health care providers;</li> <li>• community leaders.</li> </ul> <p>Ask participants to brainstorm:</p> <ul style="list-style-type: none"> <li>• What are appropriate strategies for engaging relevant stakeholders?</li> </ul> <p>Write down participants' responses on a flipchart page or a whiteboard.</p> <p>State that there are many strategies for engaging relevant stakeholders, which can be decided on the basis of a stakeholder's position on the influence/interest grid.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | <p>Actively participate in the discussion and share their ideas.</p>                                                                                                        | <p>Workbook, flipchart or whiteboard, PowerPoint presentation<br/><i>Part I-Module 6-A</i></p> |
| 20 minutes          | <p>Emphasize that good policies are not worth much if they cannot be implemented.</p> <p>Ask participants to brainstorm:</p> <ul style="list-style-type: none"> <li>• What are the key elements of sound process for implementing health systems policies?</li> </ul> <p>Write down participants' responses on a flipchart page or a whiteboard.</p> <p>Make sure to include the following tasks:</p> <ul style="list-style-type: none"> <li>• develop an implementation plan;</li> <li>• assemble a team to carry out the plan and assign tasks to team members;</li> <li>• devise and coordinate schedules.</li> </ul> <p>Emphasize that sound implementation planning is a key element in ensuring the successful delivery of health systems policies.</p> <p>Describe the key component of an implementation plan. Please make sure to include:</p> <ul style="list-style-type: none"> <li>• Broad stakeholder involvement and coordination with the country political and institutional cycles;</li> <li>• Resource planning and program budgeting;</li> <li>• Process management;</li> <li>• Ensuring coherence between the national health policy and other operational plans of disease specific programs;</li> <li>• Designing a performance monitoring, evaluation and feedback system (will be discussed in detail in <b>Module 7</b>).</li> </ul> | <p>Refer to the workbook.</p> <p>Participate in the discussion and share ideas.</p>                                                                                         | <p>Workbook, flipchart or whiteboard, PowerPoint presentation<br/><i>Part I-Module 6-B</i></p> |
| <b>Practice</b>     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                                                                                                                                                                             |                                                                                                |
| 40 minutes          | <p>Refer participants to the workbook and assign participants to work in small groups to:</p> <ul style="list-style-type: none"> <li>• design a policy intervention to change a major health system constraint using the strategies generated during Module 5;</li> <li>• develop an implementation plan for implementing that health systems policy.</li> </ul> <p>Give participants a pre-set template for the discussion. The implementation plan should include:</p> <ul style="list-style-type: none"> <li>• a clear step-by-step task timetable;</li> <li>• the administrative structure to carry out the plan;</li> <li>• an action plan for each of the key tasks (publicity/communication, capacity-building, involving interest groups and relevant stakeholders, monitoring and evaluation);</li> <li>• resources and budget.</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | <p>Work in small groups to develop a policy intervention to change one health system constraint using pre-defined strategies as well as a plan to implement the policy.</p> | <p>Workbook</p>                                                                                |

| Time              | Facilitator activity                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | Participant activity                       | Audiovisual |
|-------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------|-------------|
| <b>Evaluation</b> |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |                                            |             |
| 30 minutes        | <p>Ask group to present their new health systems policies and implementation plans.</p> <p>Emphasize that participants should take action to actually implement their designed health systems policy following its implementation plan. Otherwise, the new policy is meaningless.</p> <p>Encourage participants to establish more new policies to address the other health system constraints that they identified in Module 5 using the principles and tools they have learned.</p> | Everyone helps critique and give feedback. |             |

## Module 7: Monitoring and Evaluation

|                   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
|-------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Duration</b>   | 1 hour 45 minutes                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| <b>Objectives</b> | <p>Upon completion of this module participants will be able to:</p> <ul style="list-style-type: none"> <li>– define monitoring and evaluation (M&amp;E);</li> <li>– describe the components of the operational framework for monitoring and evaluation of health systems strengthening interventions;</li> <li>– conduct M&amp;E activities;</li> <li>– develop an M&amp;E plan for monitoring and evaluation of health systems strengthening interventions for improving the coverage of brief tobacco interventions.</li> </ul> |

| Time                | Facilitator activity                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | Participant activity                                                                            | Audiovisual                                                    |
|---------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------|----------------------------------------------------------------|
| <b>Preparation</b>  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                                                                 |                                                                |
| 20 minutes          | <p>Ask participants to brainstorm:</p> <ul style="list-style-type: none"> <li>• What is monitoring?</li> <li>• What is evaluation?</li> <li>• Why do we need M&amp;E?</li> </ul> <p>Refer participants to the workbook and use PowerPoint slides to review the definition and purposes of monitoring and evaluation.</p> <p>Emphasize that this module will be used to discuss how to develop and implement an M&amp;E plan for monitoring and evaluation of health systems strengthening interventions for improving the coverage of brief tobacco interventions.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | Anticipated response: participants share their understanding about M&E and the purposes of M&E. | Workbook, PowerPoint presentation<br><i>Part I- Module 7-A</i> |
| <b>Presentation</b> |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                                                                 |                                                                |
| 20 minutes          | <p>Point out that:</p> <ul style="list-style-type: none"> <li>• In order to develop an M&amp;E plan we shall need to select an operational framework.</li> <li>• WHO recommends a common framework based on the results chain named the Results Framework for monitoring performance and evaluating progress in health system strengthening actions, which includes four major domains: system input and processes, outputs, outcomes and impact.</li> </ul> <p>Use PowerPoint slides to explain that the Results Framework has two axes, namely:</p> <ul style="list-style-type: none"> <li>• On the horizontal axis of the framework, M&amp;E should measure all changes in each of the four steps of the results chain as a result of your health systems strengthening efforts.</li> <li>• The vertical axis of the framework includes four M&amp;E activities: <ul style="list-style-type: none"> <li>– indicator selection;</li> <li>– data collection;</li> <li>– analysis and synthesis practices;</li> <li>– communication and use of the results for decision-making.</li> </ul> </li> </ul> | Refer to the workbook.                                                                          | Workbook, PowerPoint presentation<br><i>Part I- Module 7-B</i> |

| Time                | Facilitator activity                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | Participant activity                                                                                                                                                                                                                                            | Audiovisual                                                        |
|---------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------|
| <b>Presentation</b> |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |                                                                                                                                                                                                                                                                 |                                                                    |
| 15 minutes          | <p>Describe the steps and activities for M&amp;E of health systems strengthening interventions, namely:</p> <ol style="list-style-type: none"> <li>1. Identify a comprehensive list of core indicators that capture all steps of the results chain.</li> <li>2. Identify associated data sources for each indicator.</li> <li>3. Analyse and synthesize data using the core indicators and targets.</li> <li>4. Translate the data into information relevant for decision-making.</li> </ol> <p>Refer participants to the workbook and describe the useful information or recommendations that the Results Framework has outlined for conducting each of the four M&amp;E activities.</p> <p>Explain to participants that they will need to develop a comprehensive plan in order to be able to conduct M&amp;E activities effectively.</p> | Refer to the workbook.                                                                                                                                                                                                                                          | Workbook, PowerPoint presentation<br><i>Part I-<br/>Module 7-C</i> |
| <b>Practice</b>     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |                                                                                                                                                                                                                                                                 |                                                                    |
| 40 minutes          | <p>Assign participants to work in small groups to practise developing an M&amp;E plan for monitoring and evaluation of their health systems strengthening interventions for improving the coverage of brief tobacco interventions.</p> <p>Give participants a pre-set template to write down their M&amp;E plans covering all M&amp;E activities, namely:</p> <ul style="list-style-type: none"> <li>– indicator selection;</li> <li>– data collection;</li> <li>– analysis and synthesis practices;</li> <li>– communication and use of the results for decision-making</li> </ul>                                                                                                                                                                                                                                                         | Work in small groups to develop an M&E plan.                                                                                                                                                                                                                    | Workbook                                                           |
| <b>Evaluation</b>   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |                                                                                                                                                                                                                                                                 |                                                                    |
| 30 minutes          | <p>Ask the groups to present their M&amp;E plans.</p> <p>Emphasize that:</p> <ul style="list-style-type: none"> <li>• Monitoring and evaluation is an integral part of the health systems strengthening process.</li> <li>• Evaluation of the performance of health systems in delivering brief tobacco interventions requires a solid monitoring and evaluation system, and their M&amp;E plan should build on the country health systems surveillance (CHeSS) platform if one exists.</li> </ul>                                                                                                                                                                                                                                                                                                                                          | <p>Everyone helps critique and give feedback.</p> <p>Agree that M&amp;E is an integral part of the health systems strengthening process. The M&amp;E results should benefit national health information systems and can inform policy-making at all levels.</p> |                                                                    |

# FACILITATORS' GUIDE

## FOR THE SIMPLIFIED VERSION

|                   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
|-------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Duration</b>   | 4 hours                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| <b>Topic</b>      | <b>Developing and implementing health systems policy to improve the delivery of brief tobacco interventions</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| <b>Objectives</b> | <p>Upon completion of this module participants will be able to:</p> <ul style="list-style-type: none"> <li>– acknowledge their obligations under the WHO FCTC to support tobacco users to quit as part of any comprehensive tobacco control programme;</li> <li>– list the reasons for making treatment of tobacco dependence a top priority for their health-care systems;</li> <li>– describe the content areas of health system strengthening interventions: the six health system building blocks identified by WHO;</li> <li>– show political commitment for strengthening health systems to improve the delivery of brief tobacco interventions in primary care.</li> </ul> |

| Time                | Facilitator activity                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | Participant activity                                                                                 | Audiovisual                                                              |
|---------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------|
| <b>Preparation</b>  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |                                                                                                      |                                                                          |
| 25 minutes          | <p>Invite participants to share their knowledge of</p> <ul style="list-style-type: none"> <li>• the prevalence of tobacco use in the country;</li> <li>• the current tobacco control efforts in the country.</li> </ul> <p>Use the recent <i>WHO tobacco control country profiles</i> and <i>WHO global report: mortality attributable to tobacco</i>, to provide participants with information about tobacco prevalence, the implementation of tobacco control measures (including treatment of tobacco dependence), and tobacco-attributable deaths in their country.</p> <p>Prompt participants to summarize that tobacco use is a big public health problem in their country, and that urgent action is needed to reduce tobacco use by fully implementing the WHO FCTC.</p>                                                                                                                                                                                                                                                                                                                          | Agree that tobacco use is a big public health problem in their country, and urgent action is needed. | Workbook, PowerPoint presentation<br><i>Part I- simplified version-A</i> |
| <b>Presentation</b> |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |                                                                                                      |                                                                          |
| 15 minutes          | <p>State that it is a legal obligation for Parties to the WHO FCTC to support tobacco users to quit as part of a comprehensive tobacco control strategy.</p> <p>Make sure to present the following key messages:</p> <ul style="list-style-type: none"> <li>• The WHO FCTC obligates Parties to implement comprehensive tobacco control measures to reverse the global tobacco epidemic, and treatment of tobacco dependence is a key component of any comprehensive tobacco control programme.</li> <li>• Tobacco control interventions are complementary. For instance: <ul style="list-style-type: none"> <li>– implementing population-level tobacco control policies (e.g. increasing tobacco taxes and banning smoking in public places) can motivate tobacco users to quit and can create demand for tobacco dependence treatment;</li> <li>– on the other hand, providing support for tobacco users to quit can help reduce their resistance to the implementation of population-level tobacco control policies.</li> </ul> </li> </ul>                                                           | Refer to the workbook.                                                                               | Workbook, PowerPoint presentation<br><i>Part I- simplified version-B</i> |
| 15 minutes          | <p>Present the WHO FCTC Article 14 Guidelines' recommendations on what a country can do to support tobacco users to quit, and how.</p> <p>What does a country need to do?</p> <ul style="list-style-type: none"> <li>• All Parties should aim to develop a treatment system to provide a wide range of interventions for tobacco dependence treatment.</li> </ul> <p>How does a country develop its treatment system?</p> <ul style="list-style-type: none"> <li>• Parties should use a stepwise approach to develop their tobacco dependence treatment and should start by integrating brief tobacco interventions into primary care.</li> <li>• Starting with integrating brief tobacco interventions into primary care is the quickest and most efficient way for a country to develop a comprehensive tobacco dependence treatment system because the primary care can help: <ul style="list-style-type: none"> <li>– <b>reach</b> the majority of tobacco users in many countries;</li> <li>– reduce the <b>delivery cost</b> by using the integrated service delivery model.</li> </ul> </li> </ul> | Refer to the workbook.                                                                               | Workbook, PowerPoint presentation<br><i>Part I- simplified version-C</i> |

| Time                | Facilitator activity                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | Participant activity   | Audiovisual                                                             |
|---------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------|-------------------------------------------------------------------------|
| <b>Presentation</b> |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                        |                                                                         |
| 15 minutes          | <p>Present evidence on why treatment of tobacco dependence should be a top priority for a country's health-care system?</p> <p>Make sure to include the following key points:</p> <ul style="list-style-type: none"> <li>• Treating tobacco dependence is the best thing that a health system can do to improve health for all because: <ul style="list-style-type: none"> <li>– at individual level, helping smokers quit at age 60, 50, 40 or 30 years gains them, respectively, about 3, 6, 9 or 10 years of life expectancy;</li> <li>– at population level, it is estimated that if adult tobacco consumption were to decrease by 50% by the year 2020, about one third of global tobacco-related deaths could be avoided.</li> </ul> </li> <li>• Treating tobacco dependence is one of the most cost-effective among other common medical interventions.</li> </ul>                                                                                                                                                                                                                                              | Refer to the workbook. | Workbook, PowerPoint presentation<br><i>Part I-simplified version-D</i> |
| 15 minutes          | <p>Emphasize the need to strengthen health systems to improve delivery of brief tobacco interventions.</p> <p>Present the following reasons:</p> <ul style="list-style-type: none"> <li>• Despite the evidence on the effectiveness and cost-effectiveness of tobacco dependence treatments, these are scarce in low- and middle-income countries where health-care providers do not routinely carry out even brief tobacco interventions. The main reasons include: <ul style="list-style-type: none"> <li>– health-care providers' lack of knowledge and training on treatment of tobacco dependence;</li> <li>– lack of integration of tobacco dependence treatment into health-care systems, which would enable health-care providers to treat tobacco users routinely.</li> </ul> </li> <li>• In reality, many opportunities and entry points exist in primary care to reach tobacco users and provide them with brief tobacco interventions.</li> </ul> <p><b>Therefore, the entire health system should be strengthened and should function well in order to respond adequately to these opportunities.</b></p> | Refer to the workbook. | Workbook, PowerPoint presentation<br><i>Part I-simplified version-E</i> |
| 15 minutes          | <p>Introduce the WHO Health System Framework (six building blocks) and the WHO definition of health system strengthening.</p> <p>Emphasize the following:</p> <ul style="list-style-type: none"> <li>• The WHO Health System Framework is a useful tool for guiding policy-makers to strengthen their health systems or to build a well-functioning health system to improve the delivery of brief tobacco interventions in primary care.</li> <li>• The six health system building blocks identified by WHO are the content areas of health system strengthening interventions.</li> <li>• Policy-makers have key roles and responsibilities in changing each of the six building blocks to promote access to brief tobacco interventions.</li> </ul> <p>Refer to the workbook and summarize the key tasks of policy-makers in strengthening health systems.</p>                                                                                                                                                                                                                                                      | Refer to the workbook. | Workbook, PowerPoint presentation<br><i>Part I-simplified version-F</i> |

| Time                  | Facilitator activity                                                                                                                                                                                                                                                                                                                                                                                               | Participant activity                                                                                                                   | Audiovisual         |
|-----------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------|---------------------|
| <b>Practice</b>       |                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                                                                                                        |                     |
| 60 minutes            | <p>Assign participants to work in small groups to brainstorm:<br/>In each of the six building blocks, what policy interventions are needed in order to strengthen their health system to promote brief tobacco interventions?</p> <p>Ask participants to write down their results in Worksheet 6.</p>                                                                                                              | Work in small groups to discuss effective policy interventions in each of the six building blocks.                                     | Workbook, flipchart |
| <b>Evaluation</b>     |                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                                                                                                        |                     |
| 60 minutes            | <p>Ask groups to present their results.</p> <p>Ask participants:</p> <ul style="list-style-type: none"> <li>As a policy-maker, are you willing to take any action to strengthen your health system to improve the delivery of brief tobacco interventions?</li> </ul> <p>Encourage participants to give a statement and measure the political commitment by counting positive statements made by participants.</p> | <p>Everyone helps critique and give feedback.</p> <p>Anticipated response: participants express their willingness to take actions.</p> | Workbook            |
| Closure<br>20 minutes | Closing remarks, evaluation.                                                                                                                                                                                                                                                                                                                                                                                       |                                                                                                                                        |                     |

# PARTICIPANTS' WORKBOOK

## FOR THE FULL VERSION

### Module 1: Treatment of tobacco dependence: a top priority for health-care systems

#### Objectives

Upon completion of this module participants will be able to:

- recognize treatment of tobacco dependence as a key component of any comprehensive tobacco control programme;
- list the reasons for countries to make treatment of tobacco dependence a top priority for their health systems;
- state rationales for promoting access to treatment of tobacco dependence in primary care settings.

#### Agenda

1. Treatment of tobacco dependence: a key component of any comprehensive tobacco control programme (15 minutes).
2. WHO Framework Convention on Tobacco Control (WHO FCTC) and WHO MPOWER package (15 minutes).
3. Treatment of tobacco dependence: a top priority for health systems (10 minutes).
4. Relying on the health system (10 minutes).
5. Existing effective tobacco cessation services in primary care settings (20 minutes).
6. Evaluation (20 minutes).

#### Preparation

##### 1. Treatment of tobacco dependence: a key component of any comprehensive tobacco control programme (20 minutes)

#### Stories

##### *Story 1: What happened after the United Kingdom's smoke-free legislation was introduced?*

Between March 2006 and July 2007 smoke-free legislation was introduced in Scotland, Wales, Northern Ireland and England, making virtually all enclosed public places and workplaces smoke-free. Although the main aim of the legislation was to protect workers from the negative consequences of second-hand smoke, the new law has also encouraged smokers to quit smoking. Local National Health Service (NHS) Stop Smoking Services in England saw an increase in demand of around 20% in the months around the law change.

What does this story imply about treatment of tobacco dependence?

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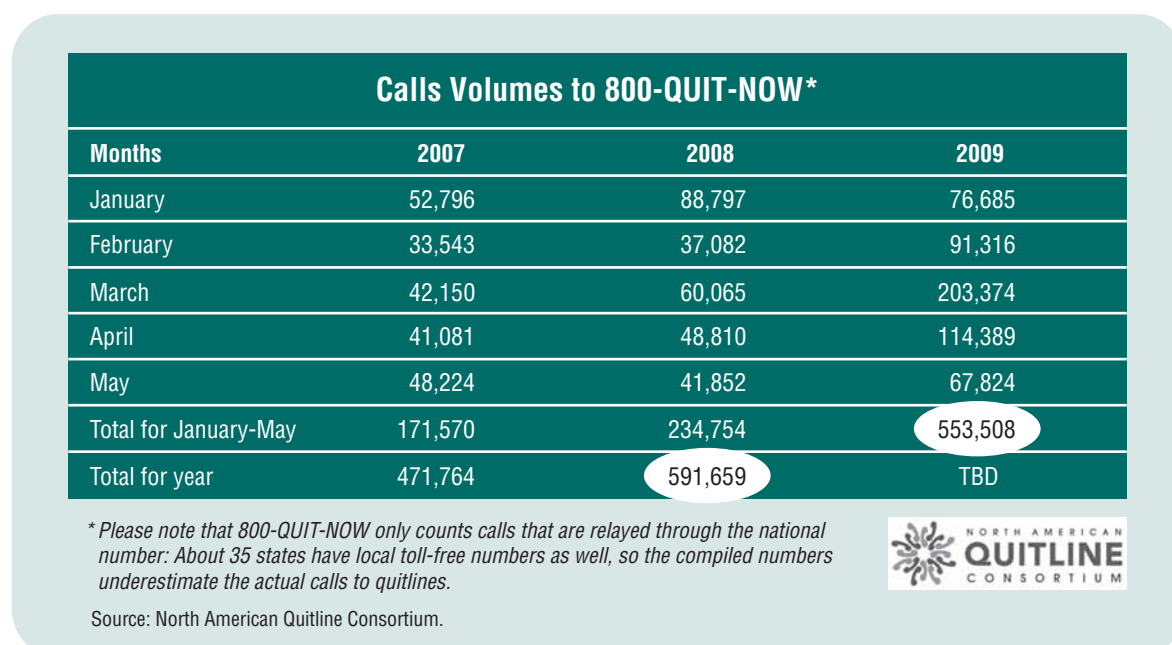
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##### *Story 2: What happened after the USA raised federal tobacco tax in spring 2009?*

In the United States of America, when the federal cigarette tax rose to \$1.01 a pack with a 62-cents-a pack increase in early 2009, there was a 2–3-fold increase in calls to the quitline during the first months compared to previous years (Figure 1).

Figure 1. Increase in calls in quit line following rise in federal cigarette tax, United States, January-May, 2007-2009



What does this story imply about treatment of tobacco dependence?

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### Story 3: Suppliers of electronic cigarettes ran out of stock in Hong Kong SAR after the 50% tobacco tax increase in 2009

On 25 February 2009, the Financial Secretary of China, Hong Kong Special Administrative Region (Hong Kong SAR), announced that the excise duty on tobacco products would be immediately increased by 50% to HK\$ 24 per pack above the previous levels of just over HK\$ 16 per pack in response to increasing smoking rates. Sales of electronic cigarettes soared immediately after the tax increase. A news report on 3 March 2009 said suppliers of electronic cigarettes had run out of stock. Some smokers used electronic cigarettes as an alternative to smoking tobacco cigarettes and some smokers used electronic cigarettes to quit tobacco use. However, electronic cigarettes are unproven as a product for cessation.

What does this story imply about treatment of tobacco dependence?

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**Implication of the stories:** Implementing population-level tobacco control policies can motivate people to stop smoking and can create demand for tobacco dependence treatment. There is a need for scaling up effective tobacco dependence treatment as part of a comprehensive tobacco control programme.

## Presentation

### 2. WHO Framework Convention on Tobacco Control (WHO FCTC) and WHO MPOWER package (15 minutes)

#### 2.1 The provisions in the WHO FCTC

##### *Measures relating to the reduction of demand for tobacco:*

- Article 6 Price and tax measures to reduce the demand for tobacco.
- Article 7 Non-price measures to reduce the demand for tobacco.
- Article 8 Protection from exposure to tobacco smoke.
- Article 9 Regulation of the contents of tobacco products.
- Article 10 Regulation of tobacco product disclosures.
- Article 11 Packaging and labelling of tobacco products.
- Article 12 Education, communication, training and public awareness.
- Article 13 Tobacco advertising, promotion and sponsorship.
- Article 14 Demand reduction measures concerning tobacco dependence and cessation.

##### *Measures relating to the reduction of supply of tobacco:*

- Article 15 Illicit trade in tobacco products.
- Article 16 Sales to and by minors.
- Article 17 Provision of support for economically viable alternative activities.

#### 2.2 The MPOWER package

To help countries fulfil their WHO FCTC obligations, WHO introduced in 2008 the MPOWER package of six evidence-based tobacco control measures that are proven to reduce tobacco use and save lives. The MPOWER package provides practical assistance with country-level implementation of the demand reduction measures of the WHO FCTC. The MPOWER measures include:

- M**onitor tobacco use and prevention policies.
- P**rotect people from tobacco smoke.
- O**ffer help to quit tobacco use.
- W**arn about the dangers of tobacco.
- E**nforce bans on tobacco advertising, promotion and sponsorship.
- R**aise taxes on tobacco.

Treatment of tobacco dependence is a key component of any comprehensive tobacco control strategy, as indicated in the WHO FCTC. Article 14 of the WHO FCTC addresses the issue of treatment of tobacco dependence. Tobacco control policies are complementary. Implementing population-level tobacco control policies can motivate tobacco users to quit and can create demand for tobacco dependence treatment. On the other hand, providing support for tobacco users to quit can also help reduce their resistance to the implementation of those population-level tobacco control policies.

### 3. Treatment of tobacco dependence: a top priority for health-care systems (10 minutes)

#### Brainstorming

Why should treatment of tobacco dependence be a top priority for a health system?

Possible reasons are:

- Treating tobacco dependence is the best thing that a health system can do to improve smokers' health because:
  - treating tobacco dependence can help save a smoker's life (quitting at age 60, 50, 40 or 30 years gains, respectively, about 3, 6, 9 or 10 years of life expectancy);
  - people who quit smoking after having a heart attack reduce their chances of having another heart attack by 50%;
  - people with early lung cancer who quit smoking could double their chances of surviving.
- Treating tobacco dependence is one of the most cost-effective among many other common reimbursed disease prevention interventions, such as the treatment of hypertension and high blood cholesterol (see Table 1)
- Health concerns are the major motive for tobacco users to quit.
- Effective interventions exist for treating tobacco dependence. Even a minimal intervention (less than 3 minutes) can significantly increase overall tobacco abstinence rates.
- Tobacco-use screening coupled with brief interventions is one of the most valuable clinical preventive services that can be offered in medical practice on the basis of the health impact on the relevant population and the cost-effectiveness of each service.

Table 1. Numbers needed to treat (NNT) to achieve certain outcomes for various interventions

| Intervention                                                    | Outcome                                                        | NNT   |
|-----------------------------------------------------------------|----------------------------------------------------------------|-------|
| Statins                                                         | Prevent one death over five years                              | 107   |
| Antihypertensive therapy                                        | Prevent one stroke, myocardial infarction, death over one year | 700   |
| Cervical cancer screening                                       | Prevent one death over 10 years                                | 1140  |
| GP brief advice to stop smoking < 5 minutes                     | Prevent one premature death                                    | 80    |
| GP brief advice + pharmacological support                       | Prevent one premature death                                    | 38–56 |
| GP brief advice + pharmacological support + behavioural support | Prevent one premature death                                    | 16–40 |

### 4. Relying on the health system (10 minutes)

Although treatment of tobacco dependence should be made available in a country's entire health system at all levels of service delivery, including primary, secondary and tertiary health care settings, the primary care settings should be the main focus.

Why should we promote access to tobacco cessation services in primary care settings?

Reasons for promoting access to treatment of tobacco dependence in primary care settings:

- The public health impact of an intervention/service depends on **effectiveness, reach** and **delivery cost**.  
The primary care setting is a less costly setting for reaching the majority of tobacco users in many countries.

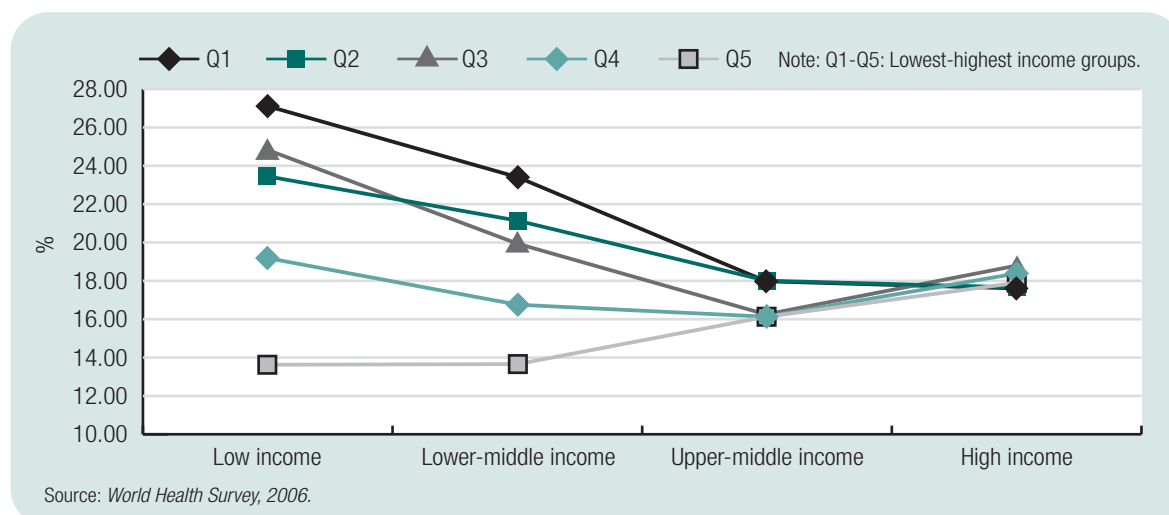
### Reach

- The primary care staff have long and close contact with the community and are well accepted by local people.
- The primary care is the primary source of health care and can reach the majority of the population in many countries. For instance:
  - In Brazil, 70% of the population receives free health care from the public system.
  - In Cuba, the national health care programme addresses the needs of over 95% of the population.
  - In Fiji, 70-80% of the population has access to health services.
  - In Thailand, the universal coverage scheme provides health care for most of the country's 64 million people.
- Primary care programmes appear to reach the poor far better than other types of health programmes do, and the poor are the ones who smoke the most (see Figure 2).

### Delivery cost

- Resources for health will always be limited. Primary care is a route to achieving maximum possible affordable coverage of effective tobacco cessation services with available resources. For instance:
  - The primary care setting is less costly as the primary care approach emphasizes providing as much care as possible at the first point of contact through integrated service delivery models.
  - Various opportunities and entry points exist for integrating identification and treatment of tobacco users in primary care (e.g. the DOTS strategy, programmes dealing with cardiovascular disease, chronic obstructive pulmonary disease, diabetes, maternal and child health).

Figure 2. Prevalence of tobacco use within countries and between countries at different levels of development



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## Practice

### 5. Existing effective tobacco dependence treatments in primary care settings (20 minutes)

Pair up with the person sitting next to you to list all existing effective tobacco dependence treatment services in primary care settings in your country.

Be prepared to share your list with the whole group.

Use this checklist to develop your list

- ☐ Brief counselling from health professionals
- ☐ Group counselling in a clinic or community
- ☐ Telephone quitline
- ☐ Self-help materials
- ☐ Pharmacological treatments: nicotine replacement therapy (NRT), bupropion, and varenicline
- ☐ Quit and Win competitions
- ☐ Others

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### 6. Evaluation (20 minutes)

Please volunteer to share your list.

Please provide comments on the lists of the other participants and make sure that you understand what effective tobacco cessation services are.

## Summary

Only effective treatments are valuable for helping tobacco users. The guidelines for implementation of Article 14 of the WHO FCTC recommend that:

- all Parties should aim to develop a comprehensive system to provide a range of interventions for tobacco cessation and treatment of tobacco dependence;
- if they cannot do this simultaneously, Parties should at least provide brief tobacco interventions to all tobacco users.

Many opportunities and entry points exist in primary care to reach tobacco users and provide them with brief tobacco intervention. If the health system does not function well, it may not be able to take full advantage of these opportunities. Therefore, in line with the Article 14 guidelines and in view of the reality of health systems in developing countries, **this training will focus on assisting countries to take one of their first actions towards developing a comprehensive tobacco dependence treatment system, i.e. strengthening the health system to improve the delivery of brief tobacco interventions in primary care.**

## Module 2: WHO Health System Framework and steps for formulating policy interventions to strengthen health systems

### Objectives

Upon completion of this module participants will be able to:

- define a health system and health system strengthening;
- state the functions, structure and goals of a health system;
- describe WHO Health System Framework;
- describe the five steps for health policy formulation (AIDE-ME);
- list policy-makers' responsibilities for strengthening health systems to promote brief tobacco interventions;
- show political commitment for strengthening health systems to improve the delivery of brief tobacco interventions in primary care.

### Agenda

1. Quiz on health system basics (20 minutes).
2. Using the WHO Health System Framework and the results chain to understand health system basics: definition, functions and goals of a health system (20 minutes).
3. WHO definition of health system strengthening (15 minutes).
4. Five steps for health policy formulation (10 minutes).
5. The responsibilities of policy-makers (30 minutes).
6. Evaluation (20 minutes).

### Preparation

#### 1. Quiz on health system basics (20 minutes)

Please answer the following questions independently.

(1) What is a health system? ( )

- A. The publicly owned facilities that deliver personal health services.
- B. All organizations, people and actions whose primary intent is to promote, restore or maintain health.
- C. Organizations that deliver both personal and public health services.
- D. All organizations, people and actions whose primary intent is to treat diseases.

(2) What are health system goals? ( )

- A. Better health.
- B. Responsiveness to non-health needs.
- C. Fair financing.
- D. All of the above.

(3) What is health system strengthening? ( )

- A. Improving six health system building blocks and managing their interaction in ways that achieve more equitable and sustained improvements across health services and health outcomes.
- B. Implementing system-level changes to improve access to specific interventions for specific diseases.
- C. Improving the general structure and function of publicly owned facilities.
- D. Increasing the number and quality of the health-care workforce.

Correct answers: 1: B; 2: D; 3: A.

## Presentation

### 2. Using the WHO Health System Framework and the results chain to understand health system basics: definition, functions and goals of a health system (20 minutes)

#### 2.1 WHO definition of a health system

A health system consists of all organizations, people and actions whose primary intent is to promote, restore or maintain health. A health system is more than the pyramid of publicly owned facilities that deliver personal health services.

#### 2.2 WHO Health System Framework

The WHO Health System Framework (six building blocks framework) (see Figure 3) can help people better understand the structure, functions and goals of a health system.

##### 2.2.1 The structure of a health system comprises:

- service delivery;
- the health workforce;
- information support;
- medical products and technologies;
- financing;
- leadership and governance.

##### 2.2.2 The basic functions of a health system are:

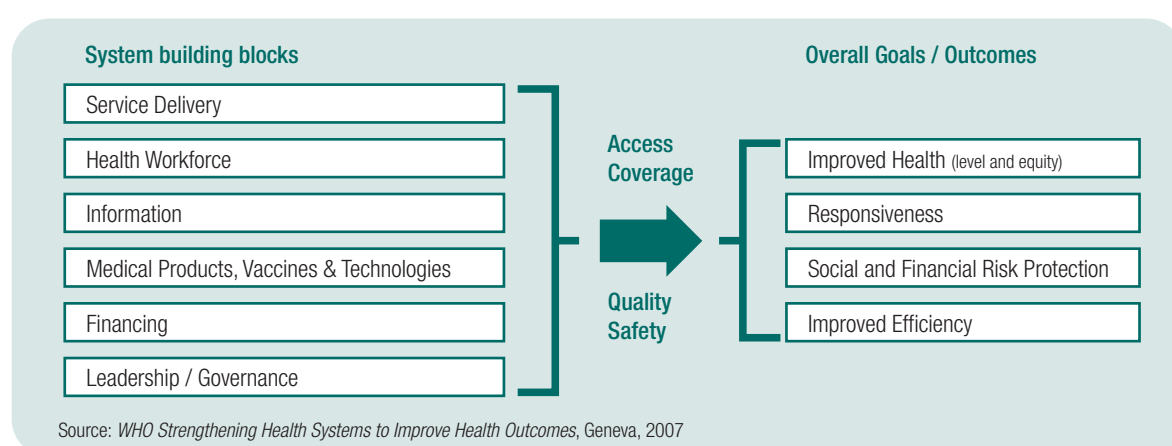
- stewardship(governance);
- creating resources;
- financing;
- delivering services.

##### 2.2.3 Health system goals

Health systems have multiple goals.

- Overall goals/outcomes of health systems are improving health and health equity in ways that are responsive, financially fair, and make the best, or most efficient, use of available resources.
- Intermediate goals are greater access to and coverage of effective health interventions.

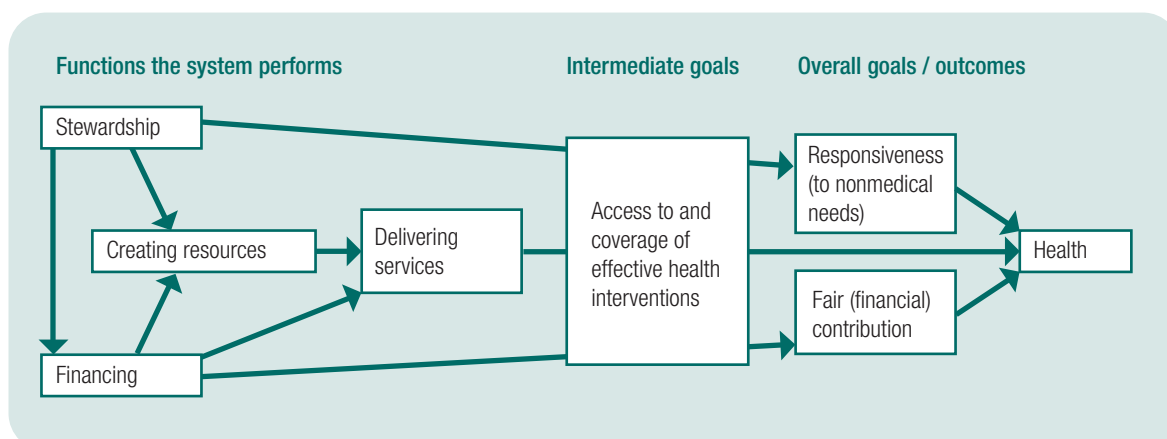
Figure 3. The WHO Health System Framework



## 2.2.4 Relations between functions and goals of a health system

Figure 4 shows the logical links between different functions and goals of a health system.

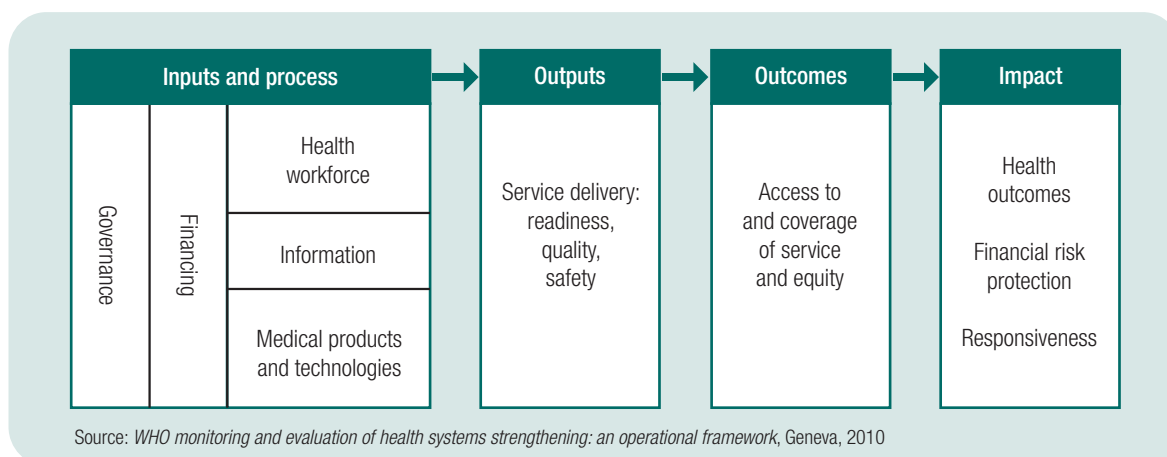
Figure 4. Multiple, dynamic relationships between the functions and goals of a health system



## 2.3 The results chain

The results chain also can be a very useful tool to analyse a health system because it gives you a systematic view of a health system (see Figure 5).

Figure 5. The results chain of a health system



## 3. WHO definition of health system strengthening (15 minutes)

No consensus exists on the operational definition of health system strengthening. WHO defines health system strengthening as:

*improving six health system building blocks and managing their interactions in ways that achieve more equitable and sustained improvements across health services and health outcomes.*

The WHO definition of health system strengthening reveals that the **WHO Health System Framework can be a useful tool for strengthening health systems to deliver brief tobacco interventions** because it shows practical ways to strengthen health systems by using six operational “building blocks” to:

- locate, describe and classify health system constraints;
- identify where and why interventions are needed;
- predict the effects of health system strengthening interventions on its results.

#### 4. Five steps for health policy formulation

The WHO Health System Framework defines six building blocks as the content areas of Health system strengthening interventions. However, it does not tell us what to do and how to do to strengthen each of the six building blocks.

For the purpose of translating the six building blocks framework into health system strengthening actions at the operational level, on the basis of the six-stage Health Policy Cycle designed by Marc J Roberts et al., a five-step process (**AIDE-ME**) is summarized for using the WHO Health System Framework as a tool to form policy interventions to strengthen health systems for improving the delivery of brief tobacco interventions in primary care. They are as follows:

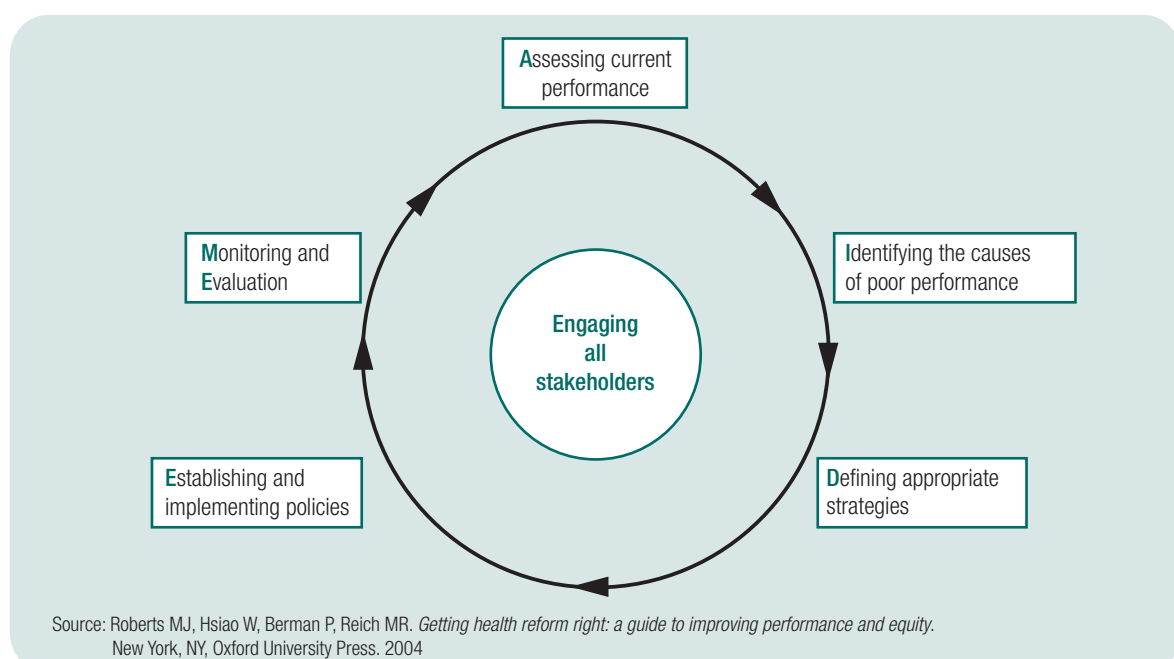
- A**ssess health systems performance.
- I**dentify the causes of poor performance.
- D**efine appropriate health system strengthening strategies.
- E**stablish and implement health systems policies.
- M**onitoring and **E**valuation.

Figure 6 shows that the health policy formulation process can be viewed as a cycle of five steps/stages, namely:

- assessing the current performance;
- identifying its causes;
- defining appropriate strategies and policies;
- implementing those policies;
- evaluating their consequences.

The cycle then begins again, as some policies and interventions may need to be modified as the result of the findings of the Monitoring and Evaluation process.

Figure 6. The steps for health policy formulation



For the rest of this training, you will be guided through each of these five steps to improve the necessary skills for health system policy changes.

## Practice

### 5. The responsibilities of policy-makers (30 minutes)

Health system strengthening is a complicated process which involves all key actors of a health system, including policy-makers.

Working in small groups, review each of the six building blocks, brainstorm and list key tasks that policy-makers have to take on for strengthening health systems to improve the delivery of brief tobacco interventions.

Please write down your results on Worksheet 1.

### 6. Evaluation (20 minutes)

Each group presents its lists of policy-makers' key tasks.

Table 2 summarizes the roles and responsibilities of policy-makers for strengthening health systems to improve the delivery of brief tobacco interventions and for making sure that all the following are included: health sector policies, harmonization and alignment, oversight and regulation.

Table 2. The key tasks of policy-makers in strengthening health systems to improve the delivery of brief tobacco interventions

| Building blocks                   | Key tasks                                                                                                                                                                                                                                               |
|-----------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Service delivery                  | <ul style="list-style-type: none"> <li>Form supportive policies for integrated service delivery.</li> <li>List the governance implications of different service delivery models.</li> <li>Influence demand for tobacco dependence treatment.</li> </ul> |
| Health workforce                  | <ul style="list-style-type: none"> <li>Form national workforce policies and investment plan.</li> </ul>                                                                                                                                                 |
| Information support               | <ul style="list-style-type: none"> <li>Form policy on inclusion of tobacco use in all existing medical records and in data on health services.</li> <li>Develop standardized tools and instruments for recording tobacco use.</li> </ul>                |
| Medical products and technologies | <ul style="list-style-type: none"> <li>Develop national policy, guidelines and regulations on treatment of tobacco dependence.</li> <li>Monitor the quality and safety of cessation tools.</li> </ul>                                                   |
| Financing                         | <ul style="list-style-type: none"> <li>Form national health financing policy.</li> <li>Use effective mechanisms to ensure adequate funding for treatment of tobacco dependence.</li> </ul>                                                              |
| Leadership and governance         | <ul style="list-style-type: none"> <li>Set appropriate policy guidance for treatment of tobacco dependence.</li> <li>Promote collaboration and coalition-building.</li> <li>Design an appropriate system.</li> </ul>                                    |

## Summary

Health systems strengthening is a complicated process involving all key actors of a health system. It requires both technical and political knowledge and action. Policy-makers should play key roles in strengthening health systems to improve the delivery of brief tobacco interventions. The WHO Health System Framework is a useful tool to assist policy-makers in conducting health systems strengthening activities. A five-step process (**AIDE-ME**) can be used to formulate and implement health policies to strengthen health systems for improving the delivery of brief tobacco interventions in primary care.

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**Worksheet 1.** Key tasks of policy-makers to change each of the six building blocks

| Building blocks                  | Key tasks |
|----------------------------------|-----------|
| Service delivery                 |           |
| Health workforce                 |           |
| Information support              |           |
| Medical products and technologie |           |
| Financing                        |           |
| Leadership and governance        |           |

### Module 3: Assessing the performance of brief tobacco interventions in primary care

#### Objectives

Upon completion of this module participants will be able to:

- define performance;
- use appropriate indicators and measurement methods to assess the performance of brief tobacco interventions in primary care;
- develop a plan for assessing the performance of brief tobacco interventions in primary care.

#### Agenda

1. Defining the performance of brief tobacco interventions in primary care (15 minutes).
2. The indicators and measurement methods to assess the performance of brief tobacco interventions in primary care (30 minutes).
3. Developing a plan for assessing the performance of brief tobacco interventions in primary care (30 minutes).
4. Evaluation (30 minutes).

#### Preparation

##### 1. Defining the performance of brief tobacco interventions in primary care (15 minutes)

###### Question:

What is “performance”?

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The term “performance” may include the entire range of components from measuring goal attainment to the efficiency of input use, and to the way the system is functioning. Here we mean **how well primary care providers perform to deliver brief tobacco interventions**.

#### Presentation

##### 2. The indicators and measurement methods to assess the performance of brief tobacco interventions in primary care (30 minutes)

Assessing the performance of brief tobacco interventions in primary care require an understanding of the objective of strengthening health systems.

The objective of the WHO health systems strengthening approach for treating tobacco dependence is **to achieve universal coverage of brief tobacco interventions in a country, providing a brief intervention to every tobacco user at every primary care visit**.

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## Brainstorming

According to the above objective, what indicators can be used to measure the performance of brief tobacco interventions in primary care?

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## Possible indicators are:

**Coverage:** percentage of tobacco users visiting primary care settings in the last 12 months who stated that they received brief tobacco interventions.

**Equity in brief tobacco interventions coverage:** the level of coverage for different districts, different groups (poor vs. non-poor, female vs. male.).

Data sources:

- clinical data;
- survey.

## Practice

### 3. Developing a plan for assessing the performance of primary care providers in delivering brief tobacco interventions (30 minutes)

Work in small groups to develop a plan for assessing the performance of primary care providers in delivering brief tobacco interventions in your country.

The plan should consist of the following components:

- indicators;
- data source;
- data analysis and synthesis;
- data dissemination, communication and use.

Please use Worksheet 2 to develop your performance assessment plan.

### 4. Evaluation (30 minutes)

Each group presents its plan for the performance assessment.

## Summary

Assessing the current performance of primary care providers in delivering brief tobacco interventions in your country is a starting point for the health systems strengthening process. The results of the performance assessment will be used to guide your decisions on whether or not the primary care providers' performance need to be improved, and which performance problems you should focus on.

**Worksheet 2.**

| Indicators  | Data sources | Data analysis and synthesis | Data dissemination, communication and use |
|-------------|--------------|-----------------------------|-------------------------------------------|
| Indicator 1 |              |                             |                                           |
| Indicator 2 |              |                             |                                           |
| Indicator 3 |              |                             |                                           |

## Module 4: Identifying the causes of poor performance

### Objectives

Upon completion of this module participants will be able to:

- discuss the principles and tools to diagnose the causes of poor performance of primary care providers in delivering brief tobacco interventions;
- describe steps to identify the causes of poor performance in delivering brief tobacco interventions in primary care settings.

### Agenda

1. The principles and tools for identifying the causes of poor performance (15 minutes).
2. Steps for using the WHO Health System Framework to identify the causes of unsatisfactory performance in delivering brief tobacco interventions in primary care settings (20 minutes).
3. Practice using the WHO Health System Framework to identify the causes of unsatisfactory primary care providers' performance in delivering brief tobacco interventions (40 minutes).
4. Evaluation (30 minutes).

### Preparation

#### 1. The principles and tools for identifying the causes of poor performance (15 minutes)

This module is about how to do a diagnosis.

#### Definition of “diagnosis”:

Diagnosis means identifying the nature or cause of some phenomenon; determining the root cause of a disease. According to this definition, this module is about identifying the causes of poor performance – that is, identifying the root causes of low coverage of brief tobacco interventions in primary care settings.

#### Diagnostic tool

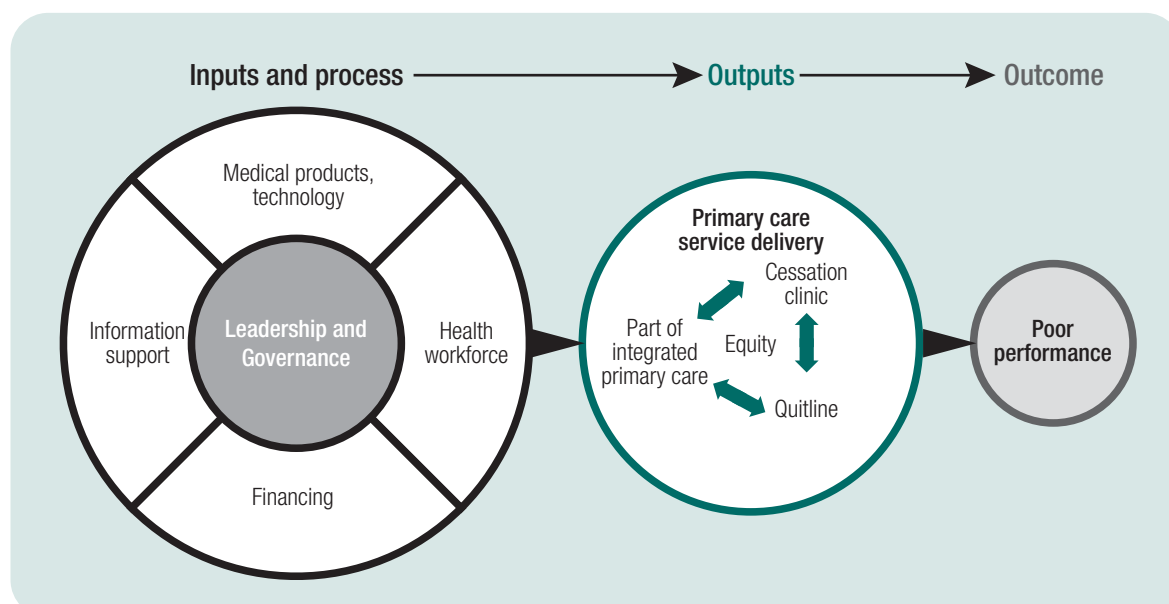
In this training we recommend using the WHO Health System Framework (the six building blocks) as a tool to identify the underlying causes of poor performance of primary care providers in delivering brief tobacco interventions.

### Presentation

#### 2. Steps for using the WHO Health System Framework to identify the causes of unsatisfactory performance in delivering brief tobacco interventions in primary care settings (20 minutes)

The process of identifying the causes of unsatisfactory performance requires multiple steps. We have to keep asking “why” until we have discovered the root causes of the poor performance that we want to improve. The WHO Health System Framework (six building blocks) can be a good analytical tool for this process.

Figure 7. The logical links between six building blocks and health systems performance



## 2.1 Advantages of using the WHO Health System Framework as an analytical tool

Health systems are complex. Performance problems are unlikely to be caused by only one factor. There are likely to be several stages or series of causes. Figure 7 shows that the WHO Health System Framework (six building blocks) can help:

- establish a link between aspects of poor performance and the causal factors in each of the six building blocks;
- locate and classify the possible causes of the poor performance in delivering brief tobacco interventions that can in turn be the basis for policy interventions.

## 2.2 The steps for using the WHO Health System Framework as an analytical tool to identify possible causes of poor performance

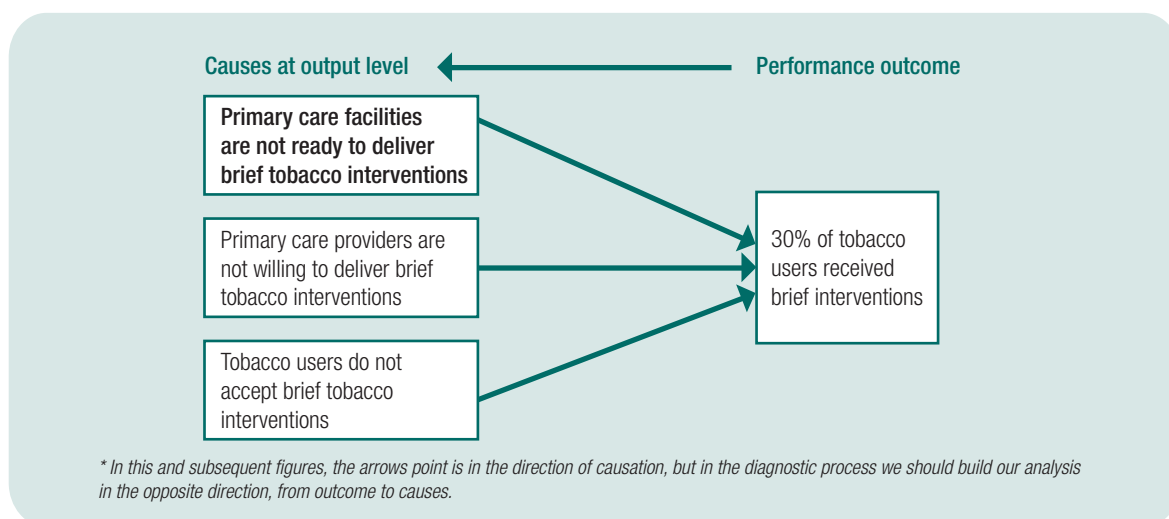
The diagnostic journey will work back along the results chain. The first step is to identify the possible causes of poor performance at “output” level – i.e. the possible causes in the “service delivery” block. The second and successive steps will look at each of the other five building blocks to analyse the earlier causes of these final output causes (the root causes of the poor performance).

### Example

Consider the following example. Suppose you identified unsatisfactory performance of your primary care providers in delivering brief tobacco interventions as follows: only 30% of tobacco users with health visits in primary care settings in the last 12 months received brief tobacco interventions. Suppose you want to improve this rate by strengthening health systems. We will work through this example to see how the diagnostic process operates.

**The first step** is to identify possible causes in the “service delivery” block (output level). Figure 8 lists three possible causes that often contribute to low coverage of brief tobacco interventions in primary care settings.

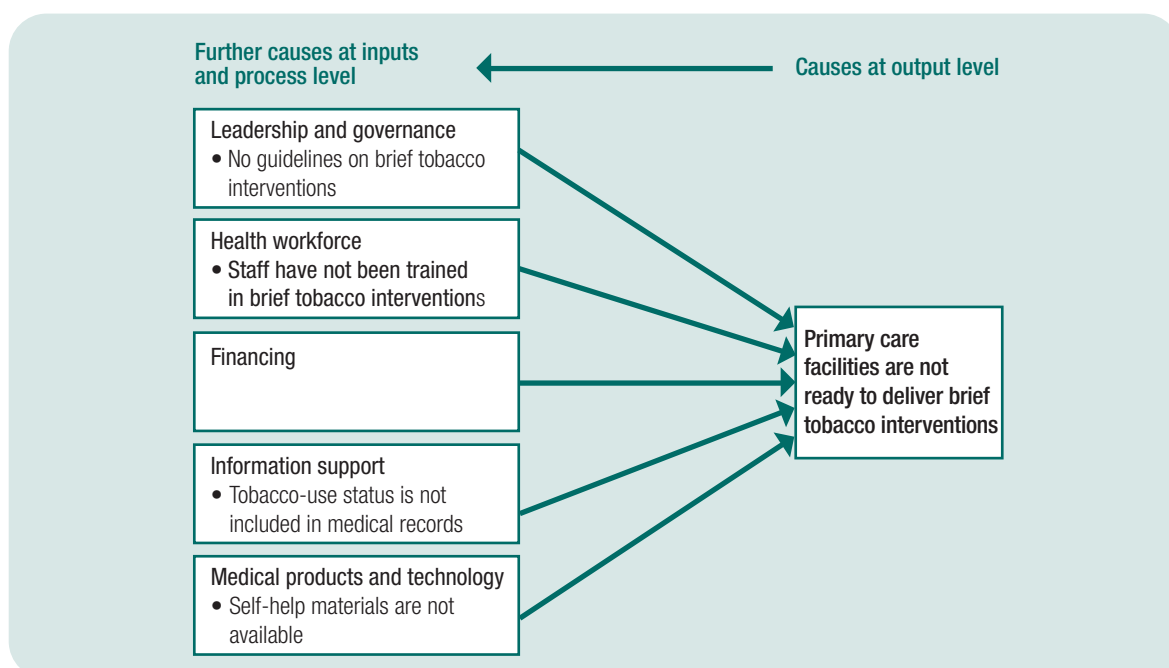
Figure 8. Identifying causes at output level



**The second step** is to move back through the results chain and look at the five building blocks at “inputs and process” level to work out what causes the situation in the “service delivery” block. In this example, we have to map out why primary care facilities are not ready to deliver brief tobacco interventions, why PRIMARY CARE providers are not willing to deliver brief tobacco interventions, and why tobacco users do not accept brief tobacco interventions.

Let us select the first cause to continue the process of causal analysis. As illustrated in Figure 9, this second stage shows how a diagnostic analysis can identify the further causes of poor performance at inputs and process level. Is the process faulty? Are inputs insufficient?

Figure 9. Identifying inputs and process-level causes of lack of readiness of primary care facilities to deliver brief tobacco interventions

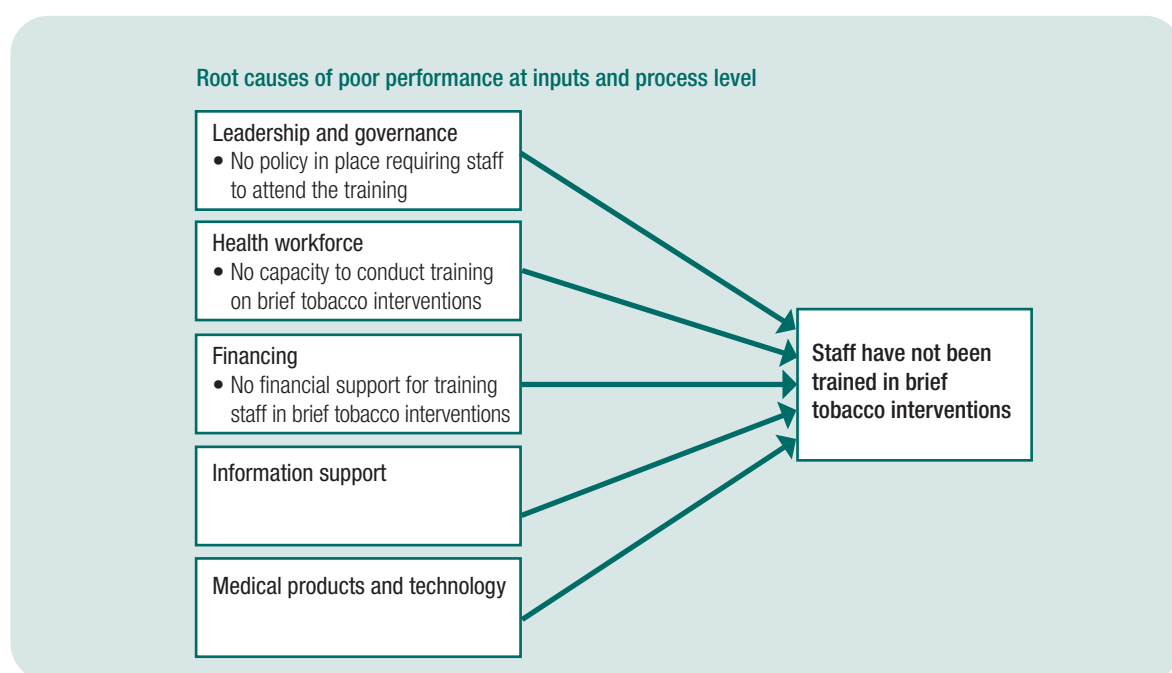


**The successive steps** to discover further linked causes (the root causes) of the causes that we have identified at the second step. The causes that we have identified at the second step are unlikely to be the root causes. That means that each of these causes gives rise to still further questions on “why is that?” If we think that the cause that we have identified at the second step is not a root cause of poor performance, we have to continue to look at the building blocks at inputs and process level to discover the root causes of that cause, which may require multiple steps.

Figure 10 shows how to map out one further set of causal connections for “staff have not been trained in brief tobacco interventions”.

**The final step** is to identify the root causes that can be changed by policy interventions. Identifying potentially effective changes in one or more building blocks is the end of the diagnostic task and the beginning of the policy development task.

Figure 10. More steps to discover the root causes of poor performance



## Practice

### **3. Practise using the WHO Health System Framework to identify the causes of poor performance in delivering brief tobacco interventions (40 minutes)**

Please work in small groups to:

1. Select one performance problem in delivering brief tobacco interventions in your primary care settings.
2. Identify possible output-level causes (causes in the “service delivery” block) of this performance problem.
3. Select one output-level cause and use the WHO Health System Framework to discover its root causes.
4. Point out the causes that can be changed by policy interventions.

Please write down your results on Worksheet 3.

### **4. Evaluation (30 minutes)**

Each group presents its results. Everyone helps critique and give feedback.

## Summary

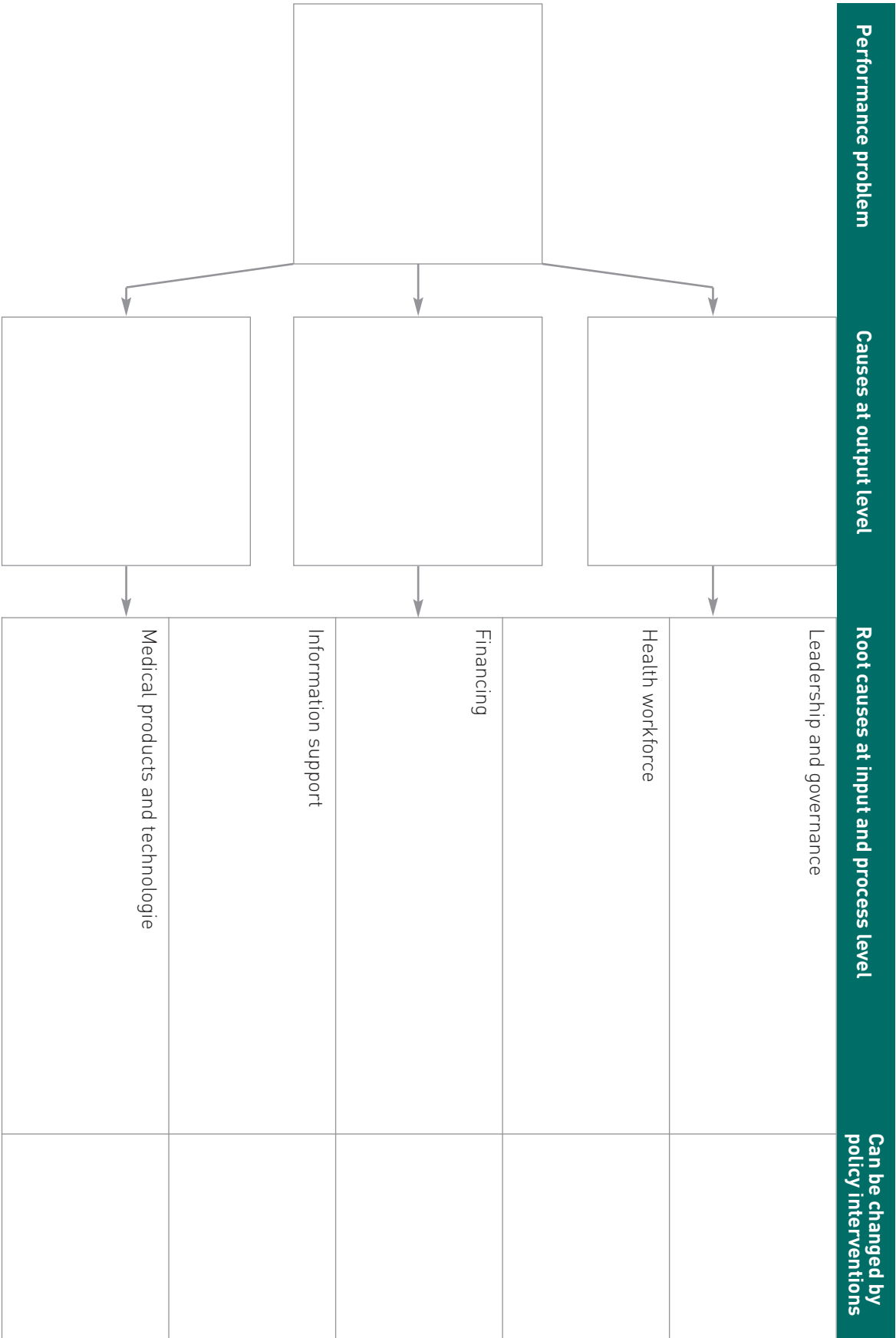
The diagnostic analysis of the performance problem requires multiple successive steps.

The WHO Health System Framework can be helpful for this analysis.

Poor performance in delivering brief tobacco interventions in primary care settings is most likely caused by several factors located in different building blocks. A health system is a set of interconnected parts with multiple relationships and interactions that must function together to be effective. Therefore, solving performance problem may well require action on more than one cause at a time – i.e. changing more than one building block.

Not all causes of poor performance can be changed by health system policy interventions. Therefore, the end of the diagnostic task is to list all the causes that can be changed by health system policy interventions.

**Worksheet 3.** Root cause analysis of poor performance in delivering brief tobacco interventions



## Module 5: Defining appropriate health system strengthening strategies

### Objectives

Upon completion of this module participants will be able to:

- describe the advantages and disadvantages of different approaches to strengthening health systems;
- discuss appropriate strategies to take advantage of existing opportunities to improve the performance of brief tobacco interventions in primary care while other programmes also benefit.

### Agenda

1. Review the progress of the health policy formulation journey (AIDE- ME) (15 minutes).
2. Three common approaches to strengthening health systems (30 minutes).
3. Defining appropriate strategies for strengthening health systems to improve performance of brief tobacco interventions delivery (30 minutes).
4. Evaluation (30 minutes).

### Preparation

#### 1. Review the health policy formulation journey (AIDE- ME) (15 minutes)

##### Question:

Where are we now on the health policy formulation journey?

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Referring to Figure 6, it is clear that we have just completed the second step “I” and have identified the changeable root causes of poor performance of the primary care providers in delivering brief tobacco interventions.

We are now moving into the third step of the health policy formulation journey to define appropriate strategies to tackle the causes of poor performance – i.e. what is the appropriate way to address these causes and to improve the performance of brief tobacco interventions delivery? Different strategies will guide policy-makers to generate different policy options or responses to health system constraints.

### Presentation

#### 2. Three common approaches to strengthening health systems (30 minutes)

There are three common approaches to strengthening health systems, namely:

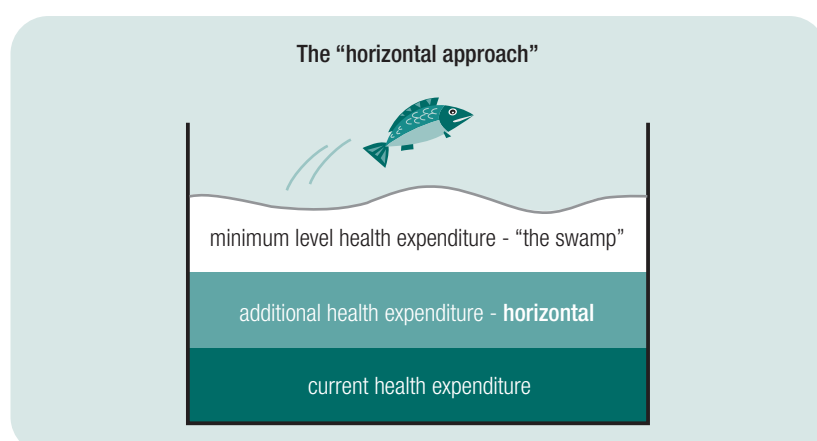
- the system-wide approach (horizontal approach);
- the disease/service/intervention-specific approach (vertical approach);
- the matrix approach.

##### 2.1 System-wide approach (horizontal approach)

The system-wide approach focuses on strengthening the overall structure and functions of health systems to deliver a variety of services for the entire population (see Table 3). The rationale behind this approach is that, if a health system functions well, it will be able to effectively respond to all diseases and priorities. Therefore the horizontal approach to health system strengthening typically aims to tackle the root causes of failure to make the health system capable of providing comprehensive care and eventually to achieve significant long-term improvement in coverage and quality of care for all diseases and priorities (see Table 4).

The development of “horizontal” health systems and infrastructure capable of delivering a number of services should be the goal. In the long term, horizontal systems are cost-effective. However, as illustrated in Figure 11, most developing countries have weak health systems, poor infrastructure and limited resources (funding, management structure, capacity and equipment deficiencies) which make it difficult to provide even basic services to the population in the short term.

Figure 11. Illustration of the horizontal approach



## 2.2 Disease/service/intervention-specific approach (vertical approach)

This approach focuses on specific interventions for specific disease categories or for working with specific populations (see Table 3). The vertical approach to health system strengthening tends to focus more on micro-level solutions or shorter term solutions which can lead to dramatic progress on specific diseases in the short term but may lead to only limited gains (see Table 4). Figure 12 is useful in visualizing the vertical approach, which results in fragile, isolated islands of sufficiency. Programmes dealing with tuberculosis, HIV/AIDS and malaria are typical examples of this approach. They have their own financing, management structures and staff, even down to the service delivery level.

Table 3. A comparison of horizontal and vertical modes of service delivery

|                    | Horizontal approach                                            | Vertical approach                                                                                    |
|--------------------|----------------------------------------------------------------|------------------------------------------------------------------------------------------------------|
| Beneficiaries      | Entire population                                              | Specific target population                                                                           |
| Health workers     | Multipurpose personnel                                         | Specialized personnel                                                                                |
| Range of service   | Comprehensive, continuous and person-centred care              | Programme-defined disease control interventions                                                      |
| Cost-effectiveness | Efficient use of scarce funding and resources in the long term | Dramatic progress on specific diseases in the short term                                             |
| Management         | Difficult                                                      | Easy                                                                                                 |
| Sustainability     | Yes, building on existing general health infrastructure        | Lack of sustainability and up-scaling benefits and outcomes limited to target area and funding cycle |

## 2.3 Matrix approach

The advantages and limitations of the vertical and horizontal approaches (see Table 5) make people believe that both need to coexist in what could be called a matrix approach. It is proposed to alleviate problems through a combination of the vertical and horizontal aspects to aid resource allocation.

The features of a matrix approach to health system strengthening include:

- taking the desired health outcomes as the starting point for identifying health system constraints that “stop” effective scaling up of services;
- addressing health systems bottlenecks in such a way that specific health outcomes are met while system-wide effects are achieved and other programmes also benefit (strengthening health system components contributing to health outcomes across more than one disease or thematic areas);
- addressing primarily health systems policy and capacity issues using both shorter-term and long-term solutions.

However, the key element of a matrix approach is INTEGRATION:

- integration of health-specific service delivery to ensure a continuum of preventive and curative services at the point of delivery, based on an agreed set of interventions.

Integration refers to:

- the links between different types of service;
- the links between the community and the formal health system;
- the links between the public, private and voluntary sector;
- the links between levels of the health system;
- the link with other sectors/social services.

**WHO suggests using an integrated approach to health system strengthening,** emphasizing integration of brief tobacco interventions into existing primary care services because there are many opportunities and entry points in primary care to reach and provide tobacco users with brief tobacco interventions (e.g. DOTS strategy, programmes dealing with cardiovascular disease, chronic obstructive pulmonary disease, diabetes, maternal and child health). The integration approach will contribute to:

- the success of treating more tobacco users and other health programmes;
- continuous strengthening of health systems (the increased brief tobacco interventions delivery capacity of the primary care provider, the system-changing capacity of primary care service managers and the policy-making capacity of policy-makers will have long-term benefits for all health outcomes).

Figure 12. Illustration of the vertical approach

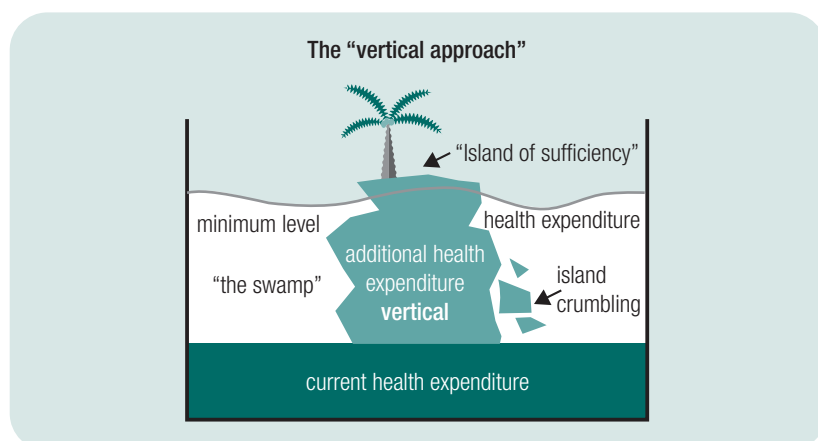


Table 4. Typical system constraints and possible disease-specific and health system responses

| Constraint                                                 | Disease-specific response                                                                         | Health system response                                                                                                                                                                      |
|------------------------------------------------------------|---------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Financial inaccessibility: inability to pay, informal fees | Exemptions/reduced prices for focal diseases.                                                     | Development of risk-pooling strategies.                                                                                                                                                     |
| Physical inaccessibility: distance to facility             | Outreach for focal diseases.                                                                      | Reconsideration of long-term plan for capital investment and siting of facilities.                                                                                                          |
| Inappropriately skilled staff                              | Continuous education and training workshops to develop skills in focal diseases.                  | Review of basic medical and nursing training curricula to ensure that appropriate skills are included in basic training.                                                                    |
| Poorly motivated staff                                     | Financial incentives to reward delivery of particular priority services.                          | Institution of proper performance review systems, creating greater clarity of roles and expectations regarding performance of roles, review of salary structures and promotion procedures.  |
| Weak planning and management                               | Continuing education and training workshops to develop skills in planning and management.         | Restructuring of ministries of health, recruitment and development of a cadre of dedicated managers.                                                                                        |
| Lack of intersectional action and partnership              | Creation of special disease-focused cross-sectional committees and task forces at national level. | Building systems of local government that incorporate representatives from health, education and agriculture, and that promote accountability of local governance structures to the people. |
| Poor quality care among private sector providers           | Training of private sector providers.                                                             | Development of accreditation and regulation systems.                                                                                                                                        |

Table 5. Advantages and limitations of the horizontal and vertical approaches to health system strengthening

|             | Horizontal approach                                                                                                          | Vertical approach                                                                                                                                                                                                                                           |
|-------------|------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Advantages  | Tackle the root causes of failure and contribute to overall system strengthening.                                            | Targeting particular health system constraints rather than taking on the whole, leading to only limited gains.                                                                                                                                              |
|             | Increases the range of options, and the benefits accrue to several, not single, priorities (i.e. efficiencies are possible). | Focus on shorter-term microlevel solutions, which can help maintain focus and deliver quicker return than broader system-based interventions.                                                                                                               |
| Limitations | The benefits take longer to accrue and the effort may become unfocused and unmanageable.                                     | When several vertical parallel subsystems are created within the broader health-care system, this may result in: <ul style="list-style-type: none"> <li>– duplications;</li> <li>– distortions;</li> <li>– disruptions;</li> <li>– distractions.</li> </ul> |

## Practice

### **3. Defining appropriate strategies for strengthening health systems to improve performance of brief tobacco interventions delivery (30 minutes)**

Please work in small groups to define appropriate integration strategies for strengthening health systems to improve the performance of brief tobacco interventions delivery in primary care settings.

Please refer to Worksheet 3 and select one pre-identified changeable root cause of poor performance in delivering brief tobacco interventions in your primary care setting for this exercise.

The strategies should focus on integration, i.e. to create or to strengthen any of the following linkages: the links between different types of service; the links between the community and the formal health system; the links between the public, private and voluntary sectors; and the links between levels of the health system; the link to other sectors or social services (work across sectors).

The strategies should be built on sound situation analysis, analysis of the available resources, investing in policy dialogue, coherence to other existing operational plans, ensuring monitoring and evaluation. The strategies should have a balance between short-term progress and long-term improvement in coverage of brief tobacco interventions.

Please write down your results on Worksheet 4.

### **4. Evaluation (30 minutes)**

Each group presents its results. Everyone helps critique and give feedback.

## Summary

The matrix health systems strengthening strategies/integration strategies can tackle root causes and the benefits accrue to several, not single, priorities.

## Worksheet 4.

| Root causes can be changed by policy | Integration strategies | Policy interventions | Implementation plan |
|--------------------------------------|------------------------|----------------------|---------------------|
|                                      |                        |                      |                     |
|                                      |                        |                      |                     |
|                                      |                        |                      |                     |

## Module 6: Establishing and implementing health systems policies

### Objectives

Upon completion of this module participants will be able to:

- discuss the importance of involving interest groups in the process of policy development;
- describe the strategic way to engage all stakeholders;
- develop health systems policies based on predefined integration strategies;
- list basic organizational tasks for effectively implementing health systems policies;
- develop an implementation plan.

### Agenda

1. Review the process for developing a national health policy in the country (15 minutes).
2. Engaging all stakeholders in the process of policy development (25 minutes).
3. How to implement health systems policies effectively (20 minutes).
4. Practise designing a health systems policy and its implementation plan (40 minutes).
5. Evaluation (30 minutes).

### Preparation

#### 1. Review the process for developing a national health policy in the country (15 minutes)

Health policy can be defined as the “decisions, plans, and actions that are undertaken to achieve specific health care goals within a society”. Each country has its own process or steps to develop and implement national health policy.

#### Question:

What is the process for developing a national health policy in your country?

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No matter what process you have to go through in your country, it is very important to involve interest groups in the process of policy development.

### Presentation

#### 2. Engaging all stakeholders in the process of policy development (25 minutes)

##### 2.1 The importance of engaging all relevant stakeholders

#### Brainstorming

Why is it important to involve all relevant stakeholders in the process of policy development?

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Engaging all relevant stakeholders in the process of policy development is critical for building awareness and support. Involving interest groups in the process of policy development serves at least five functions:

- It allows policy-makers to hear and take into account interest groups' concerns. Awareness of such concerns can improve a policy's chances of successful implementation.
- It increases the acceptance of a policy, because it increases the psychological and physical legitimacy of the process that developed it.
- It educates interest groups about the concerns of, and pressures exerted on policy-makers by, other constituencies.
- It educates the participants about the details of the policy that ultimately emerge – i.e. what it means for their own responsibilities.
- It receives authorization and support from the highest political levels. Without authorization and support at high level it is unlikely that the process of policy development will be workable (senior management can create the climate for serious and effective policy work). This is particularly important for the treatment of tobacco dependence because in many countries so far it has not been given the high priority it deserves at both provincial and national levels.

However, policy-makers should lead the process. Participation by all relevant stakeholders can improve a policy substantially and can have a major impact on its acceptability, but it can also get out of hand and make the life of a policy-maker extremely difficult. Therefore, the process of policy development needs to be managed strategically, and policy-makers should lead any participatory process of policy development.

## 2.2 Who are the relevant stakeholders?

Stakeholders are persons or groups who are directly or indirectly affected by a project, as well as those who may have interests in a project and/or the ability to influence its outcome, either positively or negatively.

### Brainstorming

Who are the relevant stakeholders we need to engage to scale up brief tobacco interventions in primary care settings?

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The key stakeholders for scaling up brief tobacco interventions in primary care settings may include:

- senior policy-makers or managers such as ministers of health;
- actors in other sectors;
- NGOs;
- academics;
- health service managers;
- health-care providers;
- community leaders.

## 2.3 How to engage with relevant stakeholders

### Brainstorming

What are appropriate strategies for engaging with relevant stakeholders?

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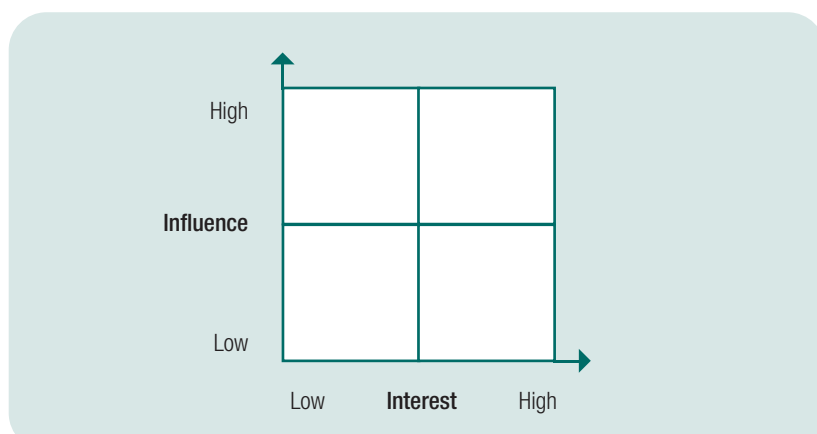
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Stakeholder engagement strategies and activities can be decided on the basis of a stakeholder's position on the influence/interest grid (Figure 13).

Figure 13. Influence/interest grid for stakeholder prioritization



Below are examples of strategies and actions for different stakeholders:

- High influence, interested people: you should fully engage and make the greatest efforts to satisfy them.
- High influence, less interested people: put enough work in with these people to keep them satisfied, but not so much that they become bored with your message.
- Low influence, interested people: keep these people adequately informed, and talk to them to ensure that no major concerns arise.
- Low influence, less interested people: monitor these people, but do not bore them with excessive communication.

## 3. How to implement health systems policies effectively (20 minutes)

Good policies are worth little if they cannot be implemented.

### 3.1 Basic organizational tasks for implementing health systems policies effectively

The basic organizational tasks are as follows:

- Develop an implementation plan.
- Assemble a team to carry out the plan and assign tasks to them.
- Devise and coordinate schedules.

### 3.2 Implementation plan

Sound implementation planning is a key element in ensuring the successful delivery of health systems policies. An implementation plan should include the following key components:

- Broad interest groups and relevant stakeholders involvement for implementation at national and subnational levels and coordination with the country political and institutional cycles. This can promote advocacy and activism within communities to lobby for implementation of new health systems policy because collaboration with partners can improve implementation efforts.
- Identify resources and draw up a budget plan (to ensure adequate financial and non-financial resources for the implementation of the new policy).
- Policy dialogue (the new policy needs to be clearly communicated)
- Build capacity and ensure coherence between the national health policy and other existing programs (the new policy will require new skills for people working in health systems: health service managers should be given training in how to implement and manage the policy, and primary care providers should be given training in new skills).
- Design a monitoring and evaluation system with nationally agreed indicators and a minimum dataset that balances costs against data quality (this component can help strengthen implementation capacity because the monitoring process will be able to provide information to implementers and the wider public). *Monitoring and evaluation is discussed in detail in Module 7.*

### Practice

#### 4. Practise designing a health systems policy and its implementation plan (40 minutes)

Please work in small groups to:

- design a health systems policy to change a pre-identified root cause of poor performance in delivering brief tobacco interventions, following Worksheet 4 and using the strategies generated during Module 5 (please make sure that your integration policy interventions build on existing opportunities such as existing networks/partnerships, existing health programmes and existing mechanisms);
- develop a one-year implementation plan for implementing the health systems policy.

Please make sure that your implementation plan includes:

- a clear step-by-step task timetable;
- the administrative structure to carry out the plan;
- an action plan for each of the key tasks, including
  - involving interest groups and relevant stakeholders,
  - resources and budget,
  - policy dialogue,
  - capacity-building and coordination with other existing programs,
  - monitoring and evaluation (*see Module 7*);

Please write down your one-year implementation plan using the template below.

#### 5. Evaluation (30 minutes)

Each group presents its results. Everyone helps critique and give feedback.

### Summary

It is critical to engage all stakeholders in the process of policy development and implementation, but policy-makers should play the leadership role.

Developing health systems policy should take advantage of existing opportunities and promote integration.

Developing a sound implementation plan is a key element in ensuring the successful implementation of health systems policy. In order to organize this work into manageable steps, a one-year implementation plan with annual updating is recommended.

## IMPLEMENTATION PLAN TEMPLATE

### A. Description of the health systems policy

a. Please describe what kind of decisions and actions will be undertaken to improve the performance of primary care providers in delivering brief tobacco interventions.

b. Please outline the policy objective in SMART terms:

**S**pecific

**M**easurable

**A**chievable

**R**elevant

**T**ime-framed.

### B. Action steps for different tasks

a. Involving interest groups and relevant stakeholders

| Activities | Locus of responsibility | Time frame | Expected outcome | Resource requirements   |        |
|------------|-------------------------|------------|------------------|-------------------------|--------|
|            |                         |            |                  | Non-financial resources | Budget |
| 1          |                         |            |                  |                         |        |
| 2          |                         |            |                  |                         |        |
| 3          |                         |            |                  |                         |        |
| 4          |                         |            |                  |                         |        |

b. Policy dialogue

| Activities | Locus of responsibility | Time frame | Expected outcome | Resource requirements   |        |
|------------|-------------------------|------------|------------------|-------------------------|--------|
|            |                         |            |                  | Non-financial resources | Budget |
| 1          |                         |            |                  |                         |        |
| 2          |                         |            |                  |                         |        |
| 3          |                         |            |                  |                         |        |
| 4          |                         |            |                  |                         |        |

## c. Capacity-building

| Activities | Locus of responsibility | Time frame | Expected outcome | Resource requirements   |        |
|------------|-------------------------|------------|------------------|-------------------------|--------|
|            |                         |            |                  | Non-financial resources | Budget |
| 1          |                         |            |                  |                         |        |
| 2          |                         |            |                  |                         |        |
| 3          |                         |            |                  |                         |        |
| 4          |                         |            |                  |                         |        |

d. Monitoring and evaluation *(to be completed in Module 7)***Module 7: Monitoring and Evaluation****Objectives**

Upon completion of this module participants will be able to:

- define monitoring and evaluation (M&E);
- describe the components of the operational framework for M&E of health systems strengthening policy interventions;
- conduct M&E activities;
- develop an M&E plan for monitoring and evaluation of health systems strengthening policy interventions for improving the coverage of brief tobacco interventions.

**Agenda**

1. Definition and purpose of M&E (30 minutes).
2. The operational framework for monitoring and evaluation of health systems strengthening policy interventions (20 minutes).
3. How to conduct M&E activities (15 minutes).
4. Developing an M&E plan (40 minutes).
5. Evaluation (30 minutes).

**Preparation****1. Definition and purpose of M&E (30 minutes)****1.1 Brainstorming**

What is monitoring?

What is evaluation?

Why do we need M&E?

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Please refer to Table 6 for the definition and comparison of monitoring and evaluation. Please note that, even though monitoring and evaluation are different, the methods used can often be similar and there is overlap between the two processes. Therefore, monitoring and evaluation are usually talked about as one set of related activities and are commonly referred to as M&E.

## 1.2 Why do you need M&E for your health systems strengthening?

- Monitoring progress and evaluating results are key steps of any policy implementation (the components of policy implementation are discussed in Module 6).
- M&E shows whether a policy/service is accomplishing its goals. M&E identifies programme weaknesses and strengths, areas of the programme that need revision, and areas of the programme that meet or exceed expectations.

Table 6. A comparison of monitoring and evaluation

|                              | Monitoring                                                                                                            | Evaluation                                                                                                                                                                                   |
|------------------------------|-----------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Definition                   | The periodic collection and review of information on project implementation for comparison with implementation plans. | A process of data collection designed to assess the effectiveness of a project in attaining its preset objectives, and the extent to which observed changes are attributable to the project. |
| Purpose                      | To determine how well a project is being implemented at different levels, at what cost.                               | To measure whether and to what extent the project's originally stated objectives have been achieved.                                                                                         |
| Focus                        | Collecting data on progress.                                                                                          | Assessing data at critical stages of the project implementation.                                                                                                                             |
| Sense of completion          | Sense of progress.                                                                                                    | Sense of achievement.                                                                                                                                                                        |
| Time focus                   | Present.                                                                                                              | Past-future.                                                                                                                                                                                 |
| Periodicity                  | An ongoing activity during the life of the project.                                                                   | Done at the end of the project but could be planned at strategic periods during the life of the project in the form of reviews (e.g. mid-term, or biennial reviews).                         |
| How is the information used? | To solve problems and to improve project implementation now and in the future.                                        | To judge the impact of a project or a policy on the target population and to help design the next policy/project.                                                                            |
| Output processing            | Progress indicators needs to be closely monitored by a few people.                                                    | Evaluation results need to be discussed, processed and interpreted by all stakeholders.                                                                                                      |

## Presentation

### 2. The operational framework for monitoring and evaluation of health systems strengthening policy interventions (20 minutes)

In order to develop an M&E plan we need an operational framework. WHO recommends a common framework based on the results chain, named the “Results Framework” for monitoring progress and evaluating performance in health system strengthening actions.

The Results Framework for health system strengthening M&E is actually a chart. The results chain is its horizontal axis and the M&E activity is its vertical axis (see Figure 14).

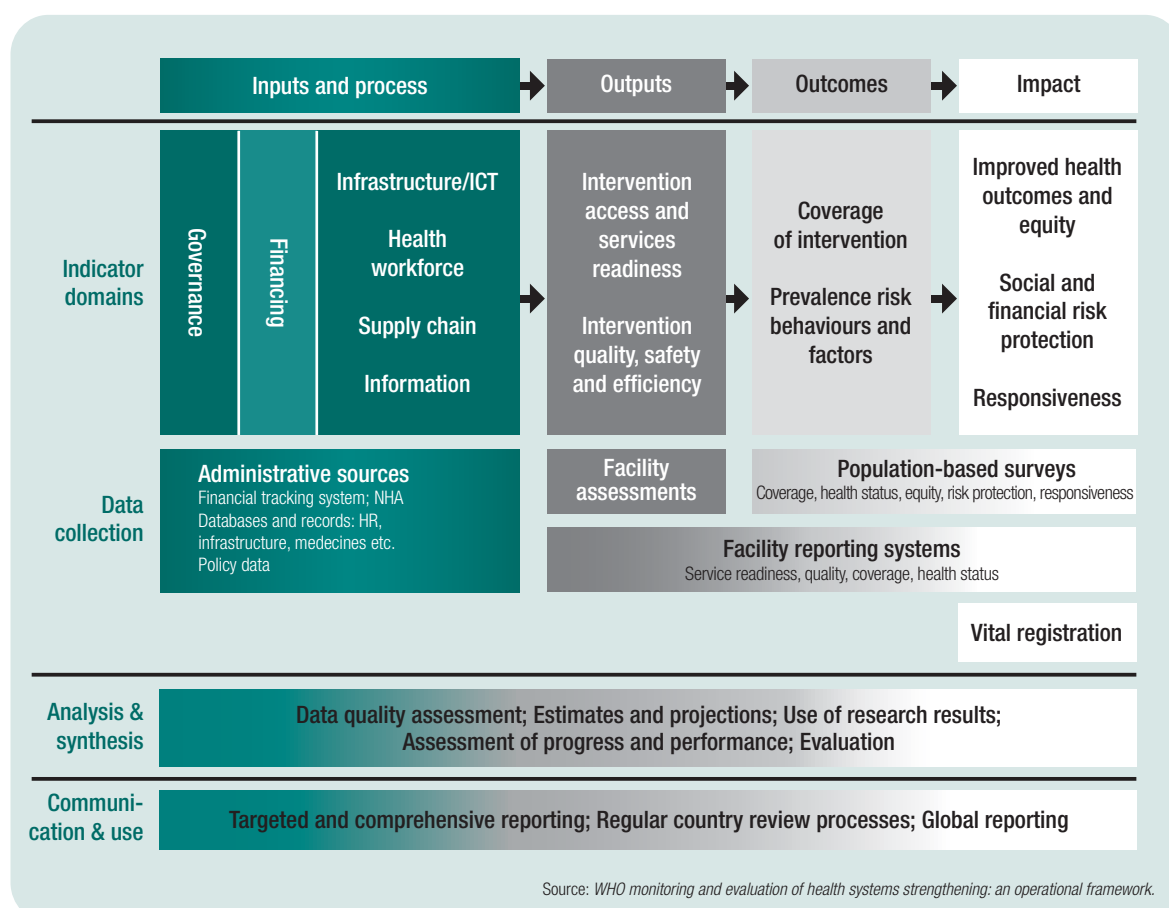
The horizontal axis of the framework shows how health inputs are reflected in outputs, outcomes and impact. The health systems strengthening efforts should lead to measurable changes in each of the four steps of the results chain. M&E should measure all of these changes, namely:

- inputs and processes such as human and financial resources, supportive policies and partnerships;
- outputs such as level and distribution of brief tobacco interventions delivery;
- outcomes such as coverage of brief tobacco interventions;
- impact such as improved health levels and equity.

The vertical axis of the framework addresses four M&E activities, namely:

- indicator selection;
- data collection;
- analysis and synthesis practices (including quality assessment);
- communication and use of the results for decision-making.

Figure 14. Monitoring and evaluation of health systems strengthening



### 3. How to conduct M&E activities (15 minutes)

There are four steps to conducting M&E activities for health systems strengthening policy interventions:

- 1) Identify a comprehensive list of core indicators that capture all steps of the results chain.
- 2) Identify associated data sources for each indicator.
- 3) Analyse and synthesize data using the core indicators and targets.
- 4) Translate the data into information relevant for decision-making.

The Results Framework outlines useful information or recommendations for conducting each of the four M&E activities across the results chain (see Table 7).

Table 7. Useful information or recommendations for conducting M&E activities

|                                             |                                                                                                                                                                                                                                                                                                                                                                |
|---------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Indicators</b>                           | Comprises four major indicator domains: <ul style="list-style-type: none"> <li>• system inputs and processes;</li> <li>• outputs;</li> <li>• outcomes;</li> <li>• impact.</li> </ul> System inputs, processes and outputs reflect health systems capacity. Outputs, outcomes and impact are the results of investments and reflect health systems performance. |
| <b>Data sources</b>                         | Recommends preferred and alternative data sources for each block of indicators.                                                                                                                                                                                                                                                                                |
| <b>Data analysis and synthesis</b>          | Outlines needed tools for data quality assurance, synthesis and analysis, with a focus on building country-level capacities.                                                                                                                                                                                                                                   |
| <b>Data dissemination and communication</b> | Addresses the importance of dissemination, communication and use of the monitoring and evaluation results to inform policy-making at all levels.                                                                                                                                                                                                               |

## Practice

### 4. Developing an M&E plan (40 minutes)

To conduct the above-mentioned M&E activities effectively, we need to develop a comprehensive action plan for monitoring and evaluation as an integral part of the whole policy implementation plan, as discussed in Module 6.

Please work in small groups, following Worksheet 4, to continue developing an M&E plan for monitoring and evaluation of your designed policy intervention (practice activity in Module 6) for improving the coverage of brief tobacco interventions. Make sure that your action plan for monitoring and evaluation covers all M&E activities: indicator selection, data collection, analysis and synthesis practices, and communication and use of the results for decision-making.

Please write your M&E plan on Worksheet 5.

### 5. Evaluation (30 minutes)

Each group presents its results. Everyone helps critique and give feedback.

## Summary

M&E is an integral part of the implementation process of health systems strengthening policies. Evaluation of the performance of health systems in delivering brief tobacco interventions requires a solid M&E system. The M&E plan should build on the country health systems surveillance (CHeSS) platform if it exists.

Please remember that you should take action to actually implement your designed policies following your implementation plan. Otherwise, they are meaningless.

Worksheet 5. M&E action plan

| Indicators  | Data sources | Analysis and synthesis | Dissemination and communication for decision-making |
|-------------|--------------|------------------------|-----------------------------------------------------|
| Indicator 1 |              |                        |                                                     |
| Indicator 2 |              |                        |                                                     |
| Indicator 3 |              |                        |                                                     |
| Indicator 4 |              |                        |                                                     |

# PARTICIPANTS' WORKBOOK

## FOR THE SIMPLIFIED VERSION

### Objectives

Upon completion of this module participants will be able to:

- acknowledge their obligations under the WHO FCTC to support tobacco users to quit as part of any comprehensive tobacco control programme;
- list the reasons for making treatment of tobacco dependence a top priority for their health-care systems;
- describe the content areas of health system strengthening interventions: the six health system building blocks identified by WHO;
- show political commitment for strengthening health systems to improve the delivery of brief tobacco interventions.

### Agenda

1. Current situation of tobacco use and tobacco control in the country (25 minutes).
2. The Parties' obligations under the WHO FCTC to support tobacco users to quit (15 minutes).
3. What a country can do to support tobacco users to quit, and how (15 minutes).
4. Prioritizing tobacco dependence treatment in primary care (15 minutes).
5. The need to strengthen health systems to promote brief tobacco interventions (15 minutes).
6. WHO Health System Framework: a tool for strengthening health systems (15 minutes).
7. Practise using the WHO Health System Framework to identify effective policy interventions to promote brief tobacco interventions (60 minutes).
8. Your commitment to strengthening health systems to improve the delivery of brief tobacco interventions (60 minutes).

### Preparation

#### 1. Current situation of tobacco use and tobacco control in the country (25 minutes)

#### Brainstorming

What is the current prevalence of tobacco use in your country?

What are the current tobacco control efforts in your country?

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Please find recent information about tobacco prevalence and the implementation of tobacco control measures, including treatment of tobacco dependence in your country. The information is available through the online WHO tobacco control country profile generated from data collected for the *WHO report on the global tobacco epidemic, 2011: warning about the dangers of tobacco*:  
[http://www.who.int/tobacco/surveillance/policy/country\\_profile/en/](http://www.who.int/tobacco/surveillance/policy/country_profile/en/)

Please find the estimated numbers and proportions of deaths attributable to tobacco in your country recently in the *WHO global report: mortality attributable to tobacco, 2012*, which is available at:  
[http://whqlibdoc.who.int/publications/2012/9789241564434\\_eng.pdf](http://whqlibdoc.who.int/publications/2012/9789241564434_eng.pdf)

According to the above-mentioned WHO data, you will see that tobacco use is a big public health problem in your country and that urgent action is needed to reduce tobacco use by fully implementing the WHO FCTC.

## Presentation

### 2. The Parties' obligations under the WHO FCTC to support tobacco users to quit (15 minutes)

#### 2.1 The provisions in the WHO FCTC

The WHO FCTC obligates Parties to implement comprehensive tobacco control measures to reverse the global tobacco epidemic. Below are the core provisions in WHO FCTC:

##### *Measures relating to the reduction of demand for tobacco:*

- Article 6 Price and tax measures to reduce the demand for tobacco.
- Article 7 Non-price measures to reduce the demand for tobacco.
- Article 8 Protection from exposure to tobacco smoke.
- Article 9 Regulation of the contents of tobacco products.
- Article 10 Regulation of tobacco product disclosures.
- Article 11 Packaging and labelling of tobacco products.
- Article 12 Education, communication, training and public awareness.
- Article 13 Tobacco advertising, promotion and sponsorship.
- Article 14 Demand reduction measures concerning tobacco dependence and cessation.

##### *Measures relating to the reduction of the supply of tobacco:*

- Article 15 Illicit trade in tobacco products.
- Article 16 Sales to and by minors.
- Article 17 Provision of support for economically viable alternative activities.

Treatment of tobacco dependence is a key component of any comprehensive tobacco control strategy, as indicated in the WHO FCTC (Article 14 of the WHO FCTC addresses the issue of treatment of tobacco dependence).

#### 2.2 Tobacco control interventions are complementary

Implementing population-level tobacco control policies – e.g. increasing tobacco taxes, banning smoking in public places and educating about the dangers of tobacco – can motivate tobacco users to quit and can create demand for tobacco dependence treatment. Here are some examples:

- In England, introduction of smoke-free legislation resulted in a 20% increase in demand for local National Health Service (NHS) Stop Smoking Services.
- In the United States of America, federal tobacco tax increase resulted in a 2–3 fold increase in calls to the quitline.
- In Canada, introduction of graphic warning labels made 67% of smokers want to quit.

On the other hand, providing support for tobacco users to quit can help reduce their resistance to the implementation of population-level tobacco control policies.

### 3. What a country can do to support tobacco users to quit, and how (15 minutes)

#### 3.1 What does a country need to do to support tobacco users to quit?

Guidelines for implementation of Article 14 of the WHO FCTC recommend that:

- all Parties should aim to develop a treatment system to provide the fullest complement of interventions for tobacco cessation and treatment of tobacco dependence.

#### 3.2 How does a country develop a tobacco dependence treatment system?

Guidelines for implementation of Article 14 of the WHO FCTC recommend that:

- Parties should use a stepwise approach to developing their tobacco dependence treatment, and should start by integrating brief tobacco interventions into primary care services.

In this way, a country can develop its tobacco dependence treatment as rapidly as possible and at as low a cost as possible because integrating brief tobacco intervention into primary care services has the potential to:

- reach more than 80% of all tobacco users per year;
- trigger 40% of case to make a quit attempt;
- help 2–3% of those receiving brief advice quit successfully;
- form a promising referral source and create demand for more intensive tobacco cessation services such as quitlines and specialized tobacco dependence treatments.

#### 4. Prioritizing tobacco dependence treatment in primary care (15 minutes)

##### 4.1 Treating tobacco dependence is the best thing that health system can do to improve health for all

At individual level: helping smokers quit at age 60, 50, 40 or 30 years gains, respectively, about 3, 6, 9 or 10 years of life expectancy.

At population level:

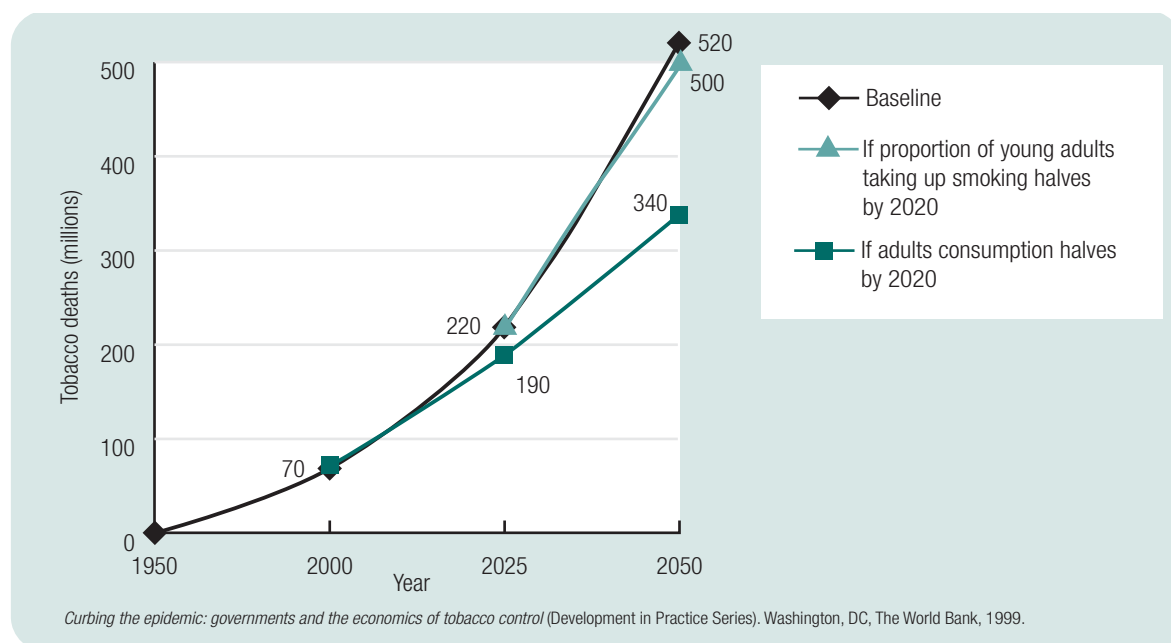
- Supporting current tobacco users to quit synergistically with other tobacco control measures can bring about immediate changes in prevalence rates and tobacco-related death and disease because the short- to medium-term tobacco-related death and disease are due to its current users.
- It was estimated that if adult tobacco consumption were to decrease by 50% by the year 2020, about one third of global tobacco-related deaths could be avoided (see figure 15).

##### 4.2 Treating tobacco dependence is one of the most cost-effective among other common medical interventions

Table 1 shows that treating tobacco dependence is more cost-effective than many other common reimbursed disease prevention interventions, such as the treatment of hypertension and high blood cholesterol.

Therefore, governments concerned with health gains in the short- to medium-term should consider encouraging adults to quit and making treatment of tobacco dependence a top priority for the health-care system.

Figure 15. Estimated cumulative tobacco deaths 1950-2050 with different intervention strategies



## 5. The need to strengthen health systems to promote brief tobacco interventions (15 minutes)

Despite the evidence on the effectiveness and cost-effectiveness of tobacco dependence treatments, they are scarce in low- and middle-income countries where health-care providers do not routinely carry out even brief tobacco interventions. In general, less than 50% of primary care providers routinely ask and advise all patients to quit.

- In developed countries, a multicentre study across 12 European countries found that, overall, only 36% of health professionals reported always advising patients to quit smoking.
- In developing countries, primary care provider's performance in 5As delivery is likely to be even lower. For example, a study has documented that only 12.9% of the patients were asked about tobacco use, and 11.9% of tobacco users reported being advised against tobacco use during the current visit in South African primary care settings.

The main reasons for poor performance of brief tobacco interventions include:

- health-care providers' lack of knowledge and training on treatment of tobacco dependence;
- lack of integration of tobacco dependence treatment into health-care systems to enable health-care providers to treat tobacco users routinely.

However, primary care is an ideal place to identify and treat tobacco users. The public health impact of an intervention/service depends on **effectiveness, reach** and **delivery cost**.

The primary care system can help reach the majority of tobacco users in many countries. Below are some countries' population coverage of primary care services

- In Brazil, 70% of the population receives free health care from the public system.
- In Cuba, the national health care programme addresses the needs of over 95% of the population.
- In Fiji, 70–80% of the population have access to health services.
- Thailand's universal coverage scheme provides health care for most of its 64 million people.

The primary care system can also help reduce the delivery cost by integrating brief tobacco intervention into primary care services. Many opportunities and entry points exist in primary care systems to reach and provide tobacco users with brief tobacco interventions, such as:

- the DOTS strategy;
- programmes dealing with cardiovascular disease, chronic obstructive pulmonary disease, diabetes, maternal and child health.

**Therefore, we need to strengthen our primary care services and make the whole health system function well in order to respond adequately to such opportunities, ensuring that tobacco users at least receive brief tobacco interventions.**

## 6. WHO Health System Framework: a tool for strengthening health systems (15 minutes)

### 6.1 WHO Health System Framework

The WHO Health System Framework (six building blocks framework) (see Figure 3) can help people better understand what a health system is and what constitutes health systems strengthening. This Framework defines a discrete number of "building blocks" that make up the system (the structure of a health system). They are:

- service delivery;
- health workforce;
- information support;
- medical products and technologies;
- financing;
- leadership and governance.

## 6.2 WHO definition of health system strengthening

Based on the WHO Health System Framework, WHO defines “health system strengthening” as “improving six health system building blocks and managing their interactions in ways that achieve more equitable and sustained improvements across health services and health outcomes”.

The WHO definition of health system strengthening reveals that:

- The WHO Health System Framework can be **a useful tool for strengthening health systems to improve the performance of brief tobacco interventions delivery** because it shows practical ways to strengthen health systems by using six operational “building blocks” to:
  - locate, describe and classify health system constraints;
  - identify where and why policy interventions are needed;
  - predict the effects of health system strengthening intervention on its results.
- The six health system building blocks are **the content areas of health system strengthening interventions**.

As powerful actors in a health system, policy-makers have key roles and responsibilities in changing each of the six building blocks. Table 2 summarizes the key tasks of policy-makers in strengthening health systems to improve the delivery of brief tobacco interventions.

## Practice

### 7. Practise using the WHO Health System Framework to identify effective policy interventions to promote brief tobacco interventions (60 minutes)

Work in small groups, review each of the six building blocks and brainstorm:

- In each of the six building blocks, what policy interventions are needed in order to strengthen your health system to improve the delivery of brief tobacco interventions?

Please write down your results on Worksheet 6.

## Evaluation

### 8. Your commitment to strengthening health systems to improve the delivery of brief tobacco interventions (60 minutes)

Each group presents its list of effective policy interventions.

Please help provide your comments on the other groups' lists and make sure that you understand what the effective policy interventions are to promote brief tobacco interventions in your health system.

Please actively express your opinion on the following:

- As a policy-maker, are you willing to design and implement those effective policies to improve the delivery of brief tobacco interventions?

## Summary

Governments concerned with health gains in the short- to medium-term should consider making treatment of tobacco dependence a top priority for health-care system. Starting with integrating brief tobacco interventions into primary care is the quickest and most efficient way towards developing a country's comprehensive tobacco dependence treatment system, as recommended by guidelines for implementation of Article 14 of the WHO FCTC.

Many opportunities and entry points exist in primary care to reach tobacco users and provide them with brief tobacco interventions. If the health system does not function well, it may not be able to take full advantage of such opportunities. Therefore, policy-makers should play key roles in strengthening health systems to improve the delivery of brief tobacco interventions in primary care using the WHO Health System Framework as a practical tool.

**Worksheet 6.** Policy interventions for changing each of the six building blocks

| Building blocks                   | Effective policy interventions |
|-----------------------------------|--------------------------------|
| Service delivery                  |                                |
| Health workforce                  |                                |
| Information support               |                                |
| Medical products and technologies |                                |
| Financing                         |                                |
| Leadership and governance         |                                |

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## APPENDIX: SAMPLE EVALUATION FORM

Please select the answer you most agree with.

Please also give your written feedback in the space provided.

1. Overall I found the training workshop useful for my work

- ☐ Strongly agree
- ☐ Agree
- ☐ Neither agree nor disagree
- ☐ Disagree
- ☐ Strongly disagree

2. Which part of the training workshop did you find the most useful?

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3. Which part of the training workshop did you find the least useful?

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4. The workshop facilitator had a good knowledge of the subject

- ☐ Strongly agree
- ☐ Agree
- ☐ Neither agree nor disagree
- ☐ Disagree
- ☐ Strongly disagree

5. The workshop facilitator's skills in conveying the subject matter were good

- ☐ Strongly agree
- ☐ Agree
- ☐ Neither agree nor disagree
- ☐ Disagree
- ☐ Strongly disagree

6. As a result of my participation in the training workshop, I feel more confident to develop and implement health systems policy for promoting tobacco dependence treatment

- ☐ Strongly agree
- ☐ Agree
- ☐ Neither agree nor disagree
- ☐ Disagree
- ☐ Strongly disagree

---

7. How difficult did you find the training workshop?

- ☐ Too difficult
- ☐ Difficult
- ☐ Just right
- ☐ Easy
- ☐ Too easy

8. How could the workshop implementation be improved?

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9. How could the training materials be improved?

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10. Overall, how would you rate the workshop?

- ☐ Very good
- ☐ Good
- ☐ Average
- ☐ Poor
- ☐ Very poor

11. Any other comment, suggestion, criticism:

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**Thank you for your feedback!**

For further information, kindly contact **PND** as follows:

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