Develop Stakeholder Capacity
Introduction

Now that you have established important stakeholder relationships and formed advisory mechanisms, you are ready to launch one of the most important activities of stakeholder engagement — capacity building. In this toolkit, “capacity building” refers to developing the skills and attitudes necessary to sustain your relationships with the stakeholders.¹

Capacity building can increase knowledge and awareness, encourage collaborative action and help to sustain long-term commitment. In the context of a research trial, it can also promote trial recruitment and retention, build support, avoid potential controversy, benefit participants and the community, and lay the groundwork for the eventual introduction of a trial product (should it prove to be effective). Community leaders and other stakeholders who are knowledgeable about HIV prevention research can encourage greater community involvement and help to lay the foundation for future research programs.²

Research literacy (for stakeholders) and community literacy (for researchers) are the foundations for engagement, and they are essential to the success of any research endeavor. As such, they constitute the core stakeholder capacities to be developed. However, facilitating this kind of capacity building requires skill and effort. Step Seven provides a straightforward approach to capacity building with a list of activities that you can undertake. Implementing Step Seven will help to ensure that your stakeholders are fully educated about HIV prevention, clinical trials, the role of the community in research, the ways to raise awareness and educate a community about a trial, and how the community can participate in advisory mechanisms. It will also help to ensure that you and your research colleagues are fully educated on stakeholder priorities, strengths and needs.

Goals of Step Seven

- Identify the capacity-building needs of your stakeholders.
- Design, plan and facilitate capacity-building activities for a diverse range of stakeholders.
- Incorporate capacity-building activities into your engagement activities.
- Assess what the stakeholders have learned.

Why you need to develop stakeholder capacity

A systematic approach to capacity building will make it much easier for your team to:

- Guarantee that all stakeholders are operating from a common base of knowledge.
- Provide stakeholders with the knowledge and skills to appropriately and effectively engage with the research and each other.
- Ensure that stakeholders are providing correct and accurate information to their communities or constituencies.
- Combat misperceptions that stakeholders may have about HIV, scientific research or research participants to avoid controversy over your trial.
- Foster a sense of collective ownership and investment in the research enterprise.
- Strengthen local capacity to ensure sustainable improvements in the community.
- Strengthen the capacity of national and global stakeholders to understand how the research fits into the broader context of HIV prevention and public health.
Task list

1. **Assess the capacity and knowledge gaps of your stakeholders.**

   **Action:** Take an inventory of the current capacities and knowledge gaps of your stakeholders.

   **Result:** You will have developed a baseline (which identifies existing capacities and which will help to measure future learning) and a needs assessment (which identifies the skills and knowledge that are lacking among your stakeholders).
   
a. Conduct a needs assessment and determine which capacity-building activities are needed (see Tools 7A and 7B).

   **Explanation:** All stakeholders have skills they can contribute. The challenge is to organize and support individuals, organizations and interest groups so that they can make a contribution. You must understand their current capacity, however, before you can provide support. There are several ways to identify the knowledge and skills of your stakeholders.

   First, assess their current capacities. Second, identify gaps in their knowledge and skills. And third, decide which capacity-building activities will best meet your collective needs. Use Tool 7A to help you take an inventory and conduct a needs assessment. For the third step, solicit input from staff members and stakeholders. Hold brainstorming sessions (see Tool 6G: Brainstorming) with your team, advisory group(s), participants and other partners.

   **Engaging staff and stakeholders in the planning, development and execution of capacity-building activities is capacity building itself, and it's a great way to include stakeholders as partners in the research endeavor.** What’s more, the various stakeholder groups are best positioned to identify the topics of interest and the activities that are the most appropriate and compelling.

   In the tasks that follow, we will discuss potential activities for filling the gaps for each stakeholder group and possible strategies to support individuals while they learn to apply new skills and knowledge.
2 Plan capacity-building activities for community advisory groups.

Action: Develop, plan and facilitate CAG trainings, workshops and other capacity-building activities.

Result: You will have a group of informed, knowledgeable and engaged advisory group members.

Explanation: Community advisory groups are critically important to the success of HIV prevention research, yet these groups often include stakeholders who have limited knowledge about such studies. Education for advisory group members facilitates their ability to (1) collect and make available information that can be used to address rumors and misconceptions, (2) provide input on trial protocols and procedures, (3) craft messages and educational materials and (4) facilitate wider community education about the importance of trial participation and completion. Capacity building also helps to build and maintain trust between researchers, stakeholders and the community. Regular meetings and discussions about research concepts and relevant issues — explained in plain language — can help advisory group members better understand the specifics of individual trials as well as build research literacy.

Consider incorporating these activities into your engagement plan:

- Conduct interactive workshops and trainings on topics such as HIV and AIDS, research literacy, research ethics, gender awareness and your research project.
- Use interactive and participatory learning methods in your trainings and workshops.
- Include advisory group members when you craft messages and develop educational and informational materials (see Step Six: Engage stakeholders and sustain relationships).
- Hold brainstorming sessions and engage advisory group members when you plan, develop and carry out capacity-building activities for other stakeholder groups.

Tips

Develop messages in easy-to-understand language and deliver them using interactive methods.

For helpful ideas, see the tools in the Appendix to this Toolkit and Chapter 8 in the Communications Handbook for Clinical Trials.

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3 Plan capacity-building activities for trial participants, their families and their partners.

**Action:** Develop and organize capacity-building activities and disseminate accurate and appropriate information to participants, their families and their partners. Use planned events for participants and their partners or clinic wait times as opportunities for capacity building.

**Result:** You will have a group of informed, knowledgeable and supportive participants, partners and participant-support systems. You will increase their knowledge of the trial, the key messages and the importance of HIV prevention research.

**Explanation:** Capacity building for participants starts with ensuring that accurate and appropriate information is disseminated during the mobilization and recruitment process so that participants fully understand their volunteer role. Information dissemination and education should continue throughout the trial, addressing any concerns or misunderstandings that may arise.

To facilitate research participation, it may also be important that participants’ partners and families are well informed about the trial and the research enterprise. This is often addressed on a community level (see Task 4). Some trials have found it helpful to hold special events for participants and their partners or to invite partners and family members to visit the trial clinics to speak to counselors and to ask questions.

(to facilitate and give voice to women, participatory methodologies were used by borrowing and adapting methods such as participatory rural appraisal and participatory learning and action. Through these methods, women were facilitated to discuss and actively take part in decision making on issues related to their participation in the trial.

— Charles Shagi, program officer, African Medical and Research Foundation, Mwanza, Tanzania)
These are optional activities, but they can be important for generating social support for the participants over the months or years of their participation in the trial. Whenever events or clinic visits are offered to partners and family members, the research team needs to be sensitive to equity issues, especially gender equity. The confidentiality of the participants must be maintained; always let the participant decide whether and what personal information is to be shared with partners and family members.

Consider incorporating these activities into your engagement plan:

- Organize events especially for participants, or for participants and their partners, to educate, disseminate information, reinforce key messages, maintain contact, celebrate their participation and build partner support.
- Incorporate creative and interactive methods in your events (such as songs, skits, dances; see Tool 6C: Organizing an event).
- Include participants in planning, developing and carrying out participant events and capacity-building activities.
- Create spaces for participants to share their experiences.
- Encourage two-way communication, and solicit input from participants on trial procedures, their needs and concern, and their feedback on capacity-building and engagement activities. Consider providing comment boxes in the trial clinics or holding focus-group discussions.
- Invite partners — directly or through the participants — to attend trial clinics for counseling, HIV testing, sexually transmitted infection (STI) screening or treatment, or to simply ask questions.
- Give health talks or use informational materials in the clinic waiting rooms. Some sites have played videos or songs they produced about their trial or about HIV prevention research as entertainment for participants during long clinic waits.
- Incorporate capacity-building activities into clinic visits. Have clinic staff, particularly counselors, reinforce key messages and discuss rumors and misconceptions during regular trial visits.
Organizing participant events in Mtubatuba

Mitzy Gafos

We knew it was going to be a challenge to get the participants to return at the completion of the trial to be unblinded and to receive the results, so the team decided to organize and promote three successive annual events for participants and their partners. The details of the first event — including the date and location — were advertised before the first women started to exit the trial. Details of the subsequent events were promoted a year in advance. This way we were able to achieve great turnout for the events by former and current trial participants and their partners.

The first event was held just after the first set of women had finished their follow-up; our goal was to retain the women beyond the end of the trial to make sure we could give them the results. We told the women about the duration of the trial and encouraged them to keep in contact with us. We also talked about the importance of completing their participation in the trial, about coming for their regular trial visits and about not sharing their gels. We asked participants and staff to come together and develop skits to explain the key messages. One group of participants performed a song and dance, and a male partner of one participant gave a testimonial about condom use.

The second event was designed to prepare participants and their partners for the results of both the HPTN 035 trial and the MDP 301 trial the following year. We developed skits to explain the history of HIV and HIV prevention research to emphasize that research takes a long time and that even disappointing results contribute to our knowledge. The skits also explained the potential outcomes of the trial — effective, not effective and signs of harm.

Then we asked participants to vote for the scenario they thought was most likely. This helped us to get a sense of how well we had managed expectations about the potential impact of the trial: Did the participants assume the trial product would prove to be effective, or did they understand that other outcomes were possible? Participants and members of the trial team worked together to develop the skits, songs and color-coded visuals we used to give updates on the trial and deliver our key messages.

The third and final event was successful in attracting well over half of all the women who had joined the trial in the previous three years. We explained the trial results to them as soon as the results were available; women were also unblinded at that time.
The events were challenging to organize but helped us to maintain close contact with former participants and helped to enhance the participants’ understanding of the research process. Our interactions with the women took place over several months (as we planned the event), not just on the day of the event. Within the team, we held brainstorming sessions and discussed what we wanted to accomplish and how we might do it. We got input from the CAB and the participant-stakeholders group — an informal group of women from each of our three trial clinics that would ask other participants whether they would like to help. Staff and participants volunteered for the different bits of work that needed to be done.

My advice to others is to involve the participants as soon as possible — they were the real drivers of the event — and to make sure that the entire team has the opportunity to get involved. Make sure that participants get a space to share their experiences and opinions during the events and that their confidentiality is respected. Finally, make sure the event has lasting value. For example, after the events were over, we held workshops and focus-group discussions to solicit feedback and to check participants’ comprehension of the key messages that had been promoted; this allowed us to document the value of this type of engagement and capacity building.

_Mitzy Gafos served as a co-principal investigator for MDP 301, Africa Centre, South Africa._
Plan capacity-building activities for the local community.

**Action:** Develop and organize capacity-building activities, and disseminate accurate and appropriate information to the wider community. Include capacity-building elements into your planned community events, and use the local media.

**Result:** You will have an informed, knowledgeable, engaged and supportive local community.

**Explanation:** Capacity building for the wider community goes beyond trial-specific information and should include activities aimed at continued education and awareness about basic knowledge of HIV and AIDS, reducing stigma and discrimination, the importance of research, how research is conducted and why this trial is being held in their community. Consider linking activities to other topics and events that are important to the community (such as public health awareness days or holidays). Being visible in the community helps to support transparency, builds trust and engages the community at-large as vested stakeholders in the research project. Community capacity-building activities can be used to engage men (including partners of trial participants), especially in studies that enroll women and men who have sex with men.

Consider incorporating these activities into your engagement plan:

- Organize community events to educate, disseminate information and dispel myths and rumors.
- Incorporate creative and interactive methods in your events (such as songs, dramas, dances). See Tool 6C: Organizing an event.
- Use local media (such as newspapers, radio stations) to disseminate information. Consider hosting a regular interactive radio show to engage the community in a more direct way.
- Link activities with other opportunities to engage the community. What events are already being planned in the community? Are there days or weeks that are of interest to community members (World AIDS Day, National or International Women’s Day, other health awareness days or weeks)? Are there activities that are of interest to the community and have the potential to draw a crowd (such as football tournaments, competitions)?
- Partner with other health research groups in the local community to offer joint events and activities.
- Offer to co-sponsor events that reach out to your key stakeholders in the local community. This could include donating funds to support needs, such as the purchase...
of event T-shirts, printing of flyers or rental of a sound system. Or you could also offer
in-kind support, such as help in setting up and breaking down seating at the event
venue, leafleting and agenda planning.
- Hold community roadshows, town hall meetings or other community forums.
- Incorporate dramas, theatre, poetry slams, song and even fashion as a way to educate
people in an interactive and entertaining way.
- Consider holding informational talks at the premises of large employers in your area.
- Engage small (and large) community groups. Invite churches and women's groups —
including income generating groups, traditional healer associations and so on.

5 Plan capacity-building activities for other stakeholder
groups, including policymakers, advocates, traditional
leaders, and program and service providers.

**Action:** Develop, plan and facilitate “update” meetings and educational workshops for
policymakers, advocates, traditional leaders and providers of local programs and services.
Use update meetings as opportunities for capacity building with stakeholders

**Result:** You will achieve the political buy-in and support needed for conducting HIV
prevention research in the community.

**Explanation:** Capacity building for policymakers, advocacy groups and other leadership
structures will likely involve wider community activities (see Task 4) and updates and
educational workshops given by the research staff to various NGOs, government agencies
and other stakeholder groups. In your initial contact with stakeholders, be sure to come to
an agreement on how often they would like to be updated and what, if any, capacity-building
trainings and workshops they might be interested in (see Step Six: Engage Stakeholders and
Sustain Relationships, Task 1). Consider inviting representatives from these groups to any
stakeholder trainings and workshops you organize. Also consider inviting stakeholders to
research staff trainings that may be of value to them professionally; for example, AIDS 101,
research ethics, Good Clinical Practice, and methodological overviews. Even if you can only
accommodate one or two key stakeholders, such training opportunities may be significant
for the persons involved and they may become trial ambassadors as well.

Capacity building for providers of programs and services will likely take place during wider
community activities (see Task 4), update sessions and workshops planned by the research
staff for local stakeholders or during advisory group activities. Support from local providers
Engaging stakeholders through capacity building

Joel Odondi, Partners PrEP Trial, KEMRI, Kisumu, Kenya

For the success of a trial, it is crucial to identify and engage the community gatekeepers so that you can build their capacity. They can be very helpful if they are brought on as partners, and they can be very destructive if they feel they have been left out or if you fail to help them see the benefits of the research.

At the Partners PrEP site in Kisumu, we made a point of engaging religious leaders. We invited all of the bishops and religious leaders and presented them with information about HIV and the benefits of research. We told them that in order to combat HIV, we needed to work together with them. Some of them were hesitant. Others were looking for financial incentives for letting us talk to their congregations. But we were able to bring the leaders together and explain to them that we wanted to work together to teach people about HIV so that they take precautions. And we did it in a way that respected the leaders’ authority and beliefs. Now we go to churches and give information or help to build the capacity of the pastor so he or she can deliver the messages.

You need to know your stakeholders and how to approach them. By reaching out to community leaders with large social networks, we were able to widely communicate our messages, simultaneously building support for research, combating misperceptions and stimulating interest in the trial. By engaging religious leaders we have also been able to bring the issue of HIV into the churches — helping to combat HIV and stigma on a broader level.

Joel Odondi is the outreach and retention manager for the Partners PrEP Trial.
of programs and services will also ease referrals to local services from the trial, and help to integrate local care and care from the trial staff members. Include providers of programs and services in advisory groups, and encourage them to participate in community events and other stakeholder activities. Remember that engaging with the trial is a small part of the work they do; talk to the staff about ways to simplify their workload in the trial (such as changes to the referral slips or procedures and encouraging participants to visit referral centers on certain days).

Consider incorporating these activities into your engagement plan:

- Conduct interactive workshops and trainings on topics such as HIV and AIDS, research literacy, research ethics, gender awareness and your research project.
- Use interactive and participatory learning methods in your trainings and workshops.
- Incorporate capacity-building activities into your regular stakeholder update meetings.
- Invite representatives from these groups to stakeholder trainings and workshops and to sit on advisory groups.
- Inform these stakeholder groups about any community-wide events that you may plan.

6 Plan capacity-building activities for the research staff.

**Action:** Develop, plan and facilitate staff trainings on stakeholder literacy and the importance of stakeholder engagement. Provide opportunities for staff to get involved in engagement activities.

**Result:** You will have an engaged, transparent research staff that understands the importance of stakeholder engagement. You will begin to build the capacity of staff members by engaging stakeholders.

**Explanation:** The research staff is a critical group of stakeholders that you should not overlook. Staff members will have varying amounts of knowledge and experience of HIV, scientific research, stakeholder engagement, stakeholder perspectives and ways to engage the stakeholders. Just as building stakeholders’ capacity around HIV and AIDS and research literacy is critically important to the research endeavor, so too is the importance of building
stakeholder and community knowledge and capacity among the research staff — from drivers and participant trackers to the principal investigator. This idea of “joint literacy” — in which researchers are trained to work with communities and their realities, and communities are trained on research concepts — strengthens all aspects of the trial.4

It is also important to help the research staff move away from viewing community and stakeholder engagement as simply recruitment and retention activities to a more nuanced understanding of the critical importance of engagement for the success of the research, the development of appropriate trial procedures and messages, and the eventual introduction of and access to trial products — if and when they are proven effective.

Consider incorporating these activities into your engagement plan:

- Conduct interactive workshops and trainings for staff members on community literacy.
- Use interactive and participatory learning methods in your trainings and workshops.
- Plan a research staff capacity-building event where stakeholders are invited to provide overviews of the work they do, the resources they have available and areas where they are seeking assistance.
- Identify opportunities where research staff members can engage in volunteer work with stakeholder organizations; organize transportation to facilitate their participation.
- Include staff members in planning, developing and carrying out engagement events and capacity-building activities.

7 Assess capacity.

**Action:** After each capacity-building activity, assess learning and collect feedback to ensure that your activity has met its aims. This will also help you — and the wider field — to build evidence on the importance and benefits of stakeholder engagement and to better integrate research and stakeholder engagement.

**Result:** You will have practical information on which capacity-building methods are successful and which need to be amended, as well as information about the gaps that still exist. You will create strong links between stakeholder engagement and research and build a body of evidence on the importance of stakeholder engagement.

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We worked with a group of participants and...did a training session with them [on violence against women]...and then we gave them a camera and encouraged them to develop pictorial flip charts that they then used to go out and give talks in their own communities about challenging violence against women. We did it with women and with men. And you know, it was under the umbrella of microbicides, but it was a side issue. But it was about women, it was linked to HIV, and it was linked to the need for microbicides. And that sort of capacity building for me was probably the greatest thing that we could leave behind us.

– Mitzy Gafos, former co-principal investigator, MDP 301, Africa Centre, South Africa

**Explanation:** After conducting capacity-building activities, you can use various strategies and methods to assess what your stakeholders (including research staff members) have learned, how effectively you are communicating your messages and what gaps — if any — remain.

There are many ways to assess and evaluate what participants have learned and what gaps may still exist, including these possibilities:

- **Individual Assessment:** Give participants a pretest before the training begins. At the end of the training, give participants the test again, or a modified version of the test, and compare the answers and see where the gaps in understanding remain. You will need to develop these tests based on the content you plan to cover in your training.

- **Small Group Assessment:** After the training, conduct focus group discussions with a sampling of participants to assess their learning and solicit feedback on the training content and methods.

- **Large Group Assessment:** After the training, use assessment tools (such as Tool 7H: Agree/disagree) to evaluate participants’ learning, correct misinformation and reinforce the training content.

For a more detailed discussion on M&E techniques, refer to Step Three: Design a Monitoring and Evaluation System.
Checklist: Step Seven

Use this checklist to make sure that you accomplished all the tasks required in Step Seven.

- Take an inventory of current capacities — the skills and knowledge that already exist among your stakeholders — and gaps.
- Based on your inventory, determine which capacity-building activities you need to organize.
- Plan capacity-building activities for advisory groups. Develop, plan and facilitate advisory group trainings and workshops.
- Develop messages in easy-to-understand language, and deliver them using interactive methods.
- Plan capacity-building activities for and disseminate accurate and appropriate information to trial participants and their families, and partners.
- Use events for participants and partners as opportunities for capacity building.
- Create spaces for participants to share their experiences.
- Encourage two-way communication and solicit input from participants on trial procedures, their needs and concerns, and their feedback on capacity-building and engagement activities.
- Incorporate capacity-building activities into clinic visits. Have clinic staff members reinforce key messages and discuss rumors and misconceptions during regular trial visits. Give health talks or use informational materials (such as printed materials, videos, songs) in the clinic waiting rooms.
- Plan capacity-building activities for the local community, and disseminate accurate and appropriate information to them.
- Include capacity-building elements into your planned community events.
- Use local media.
- Plan capacity-building activities for other stakeholder groups, including policymakers, advocates, traditional leaders, and program and service providers. Develop, plan and facilitate update meetings and educational workshops, and use update meetings as opportunities for capacity building.
- Plan capacity-building activities for the research staff. Develop, plan and facilitate staff trainings on the importance of stakeholder engagement.
- Provide opportunities for the staff to get involved in engagement activities.
- After each capacity-building activity, assess learning to ensure your activity met its aims and to build a body of evidence on the importance and benefits of stakeholder engagement.
- Include participants, staff and advisory group members in planning, developing and carrying out capacity-building activities and events.
Appendix

Tools: Step Seven

Tool 7A: Capacity-building needs assessment
Tool 7B: Assessment of capacity-building needs for use with individuals
Tool 7C: Building capacity with participant role play
Tool 7D: Action planning for communities and participants
Tool 7E: Setting group norms and guidelines
  Tool 7F: Facilitating agreement
  Tool 7G: Developing a shared vision
  Tool 7H: Agree/disagree
Tool 7I: Template for documenting your own tools
Tool 7A: Capacity-building needs assessment

There are several ways to conduct a needs assessment and gap analysis. The aim is to collect information from your target audience (in this case stakeholders and research staff members) about their current capacity and gaps in their relevant knowledge and skills. This will help you to design workshops and trainings, and identify topics for groups. To gather this information, you can use individual interviews, focus-group discussions, workshops, or surveys and questionnaires. This tool provides a basic questionnaire that can be adapted for your circumstances. You can also use the tool to help develop questions for focus-group discussions, interviews and workshops.

Tool 7A: Assessment of capacity-building needs for groups and organizations

Use this tool to begin a discussion with stakeholders, partners and the research team about capacity and potential capacity-building needs. Ask organizations or stakeholder groups how they would score themselves in each category. (Adapted from: Communities Responding to the HIV/AIDS Epidemic (CORE) Initiative. CBO/FBO capacity analysis: A tool for assessing and building capacities for high quality responses to HIV/AIDS. Washington, DC: CORE Initiative; 2005.)

Organization/group: ________________________________________________

Date: ________________________________

Assessment by: ________________________
<table>
<thead>
<tr>
<th>Question</th>
<th>Capacity-building score</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>HIV and AIDS knowledge</strong></td>
<td></td>
</tr>
<tr>
<td>What do stakeholders, partners, and the research team understand about HIV and AIDS?</td>
<td>1</td>
</tr>
<tr>
<td>A few people know basic facts about HIV such as methods of transmission, prevention, care and support.</td>
<td>People know the basic level of knowledge needed to perform their duties.</td>
</tr>
<tr>
<td><strong>Research knowledge and ethics</strong></td>
<td></td>
</tr>
<tr>
<td>What do stakeholders, partners, and the research team understand about the basics of research?</td>
<td>No understanding</td>
</tr>
<tr>
<td><strong>HIV prevention research</strong></td>
<td></td>
</tr>
<tr>
<td>What do stakeholders, partners, and the research team understand about the HIV prevention research specifically?</td>
<td>No understanding</td>
</tr>
<tr>
<td>Question</td>
<td>Capacity-building score</td>
</tr>
<tr>
<td>----------</td>
<td>-------------------------</td>
</tr>
<tr>
<td><strong>Your trial [insert name of trial]</strong> What do stakeholders, partners, and the research team understand about your trial [insert name of trial]?</td>
<td>1</td>
</tr>
<tr>
<td>No understanding</td>
<td>People have a basic understanding of what question the trial is designed to answer.</td>
</tr>
<tr>
<td><strong>Stakeholder engagement (For use with research staff)</strong> What do staff members understand about the importance and aim of stakeholder engagement and capacity building?</td>
<td>No understanding</td>
</tr>
<tr>
<td><strong>Gender and HIV and AIDS</strong> What do stakeholders, partners, and the research team understand about the relationship between gender and HIV and AIDS?</td>
<td>No understanding</td>
</tr>
</tbody>
</table>

**Score**

Note the number of 1’s, 2’s, 3’s and 4’s

**Other capacity-building needs:** Are there other topics that could benefit the stakeholders, partners and the research team that are not listed above (e.g., training on couples counseling, gender-based violence and similar topics)?

**Needs assessment:** Based on the responses, what gaps exist and what steps are needed to build capacity and fill those gaps?
Tool 7B: Assessment of capacity-building needs for use with individuals

Using this tool, have individuals evaluate their own understanding of certain topics and identify areas where they may need or want additional training. (Adapted from: CORE Initiative. CBO/FBO capacity analysis: A tool for assessing and building capacities for high quality responses to HIV/AIDS. Washington, DC: CORE Initiative;2005.)

Name: ____________________________________________

Organization/affiliation: ____________________________________________

Date: _____________________________

Please rate your level of knowledge and expertise on the following topic areas:

<table>
<thead>
<tr>
<th>Question</th>
<th>Capacity-building score</th>
</tr>
</thead>
<tbody>
<tr>
<td>HIV and AIDS: Including how HIV works, causes of vulnerability, effects of stigma and the availability of prevention and treatment.</td>
<td>1 This topic is new for me, I have no or little knowledge of this</td>
</tr>
<tr>
<td>Clinical research and research ethics: Including an understanding of basic research concepts, such as participant protections, data safety monitoring and the ethics review process.</td>
<td></td>
</tr>
<tr>
<td>HIV prevention research: Including how HIV prevention research is conducted and the importance of HIV prevention research.</td>
<td></td>
</tr>
</tbody>
</table>
### Stakeholder Engagement Toolkit for HIV Prevention Trials

#### Capacity-building score

<table>
<thead>
<tr>
<th>Question</th>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
</tr>
</thead>
<tbody>
<tr>
<td>[Insert trial name] Including why the trial is being conducted and basic trial procedures.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Stakeholder engagement Including international guidance on good participatory practice and the importance of stakeholder engagement and capacity building — beyond the meeting of trial targets for enrollment and retention.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Gender and HIV and AIDS Including how gender affects vulnerability to HIV and violence and access to services within the community. And, I am familiar with strategies for addressing the effects of gender.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

1. **Have you ever received training on HIV and AIDS?**
   Yes _____ No _____

   If yes, please describe:

   ______________________________________________________

   ______________________________________________________

   ______________________________________________________

2. **Have you ever received general training on clinical research and how research is conducted?**
   Yes _____ No _____

   If yes, please describe:

   ______________________________________________________

   ______________________________________________________

   ______________________________________________________
3. **Have you ever received training on HIV prevention research?**
   Yes _______       No _______

   If yes, please describe:
   ________________________________________________________________
   ________________________________________________________________
   ________________________________________________________________

4. **Have you ever received training on research ethics?**
   Yes _______       No _______

   If yes, please describe:
   ________________________________________________________________
   ________________________________________________________________
   ________________________________________________________________

5. **Have you ever received training on good participatory practice or stakeholder/community perspectives and engagement?**
   Yes _______       No _______

   If yes, please describe:
   ________________________________________________________________
   ________________________________________________________________
   ________________________________________________________________

6. **Have you ever received training on gender and HIV and AIDS, gender sensitivity training, or training on gender-based violence (sometimes referred to as violence against women)?**
   Yes _______       No _______

   If yes, please describe:
   ________________________________________________________________
   ________________________________________________________________
   ________________________________________________________________
7. **Would you like to receive training on any of the topics listed above?**
   Yes _______ No _______

   If yes, please explain:
   ____________________________________________________________________
   ____________________________________________________________________
   ____________________________________________________________________

8. **Would you like to receive training on any topics that are not listed above, such as couples counseling, gender-based violence or other issues?**
   Yes _______ No _______

   If yes, please explain:
   ____________________________________________________________________
   ____________________________________________________________________
   ____________________________________________________________________

9. **Do you have experience training others on any of the topics listed above?**
   Yes _______ No _______

   If yes, please explain:
   ____________________________________________________________________
   ____________________________________________________________________
   ____________________________________________________________________

10. **Is there anything else you would like to share with us?**
    ____________________________________________________________________
    ____________________________________________________________________
    ____________________________________________________________________
    ____________________________________________________________________
Tool 7C: Building capacity with participant role play


**Objective:** Role play as a capacity-building tool helps participants to act out and practice potential real-life scenarios, so they can confidently discuss what they’ve learned with others.

**Materials needed:** Prepared list of scenarios, or flip chart and markers to brainstorm a list of scenarios with the group, stopwatch (to keep time)

**Approximate time:** 30 minutes to one hour

**How to use it:**
1. Before the training or workshop, create a list of scenarios that might be helpful for participants to role play. You can also ask participants to brainstorm a list of scenarios they would like to practice through role play.
2. Ask for volunteers to act out the role play (giving them 15 minutes to prepare).
3. Ask the volunteers to act out the role play for the group. Encourage the other participants to watch and listen carefully, and to write down any questions that might occur to them.
4. Discuss the role plays with the larger group. Ask them what they learned.

**Facilitator tips:**
- Role plays are not just about what people say, but what they do. Pay attention to the body language of the volunteers and the audience.
- It can be useful to “pause” a role play at an interesting point and have a discussion. You can then restart the story afterwards. Audiences can also suggest different actions or endings at this point.
- It can be useful to have a series of role plays with slight variations on a single situation. For example, in alternative role plays, the key characters might be women rather than men, the players may have positive rather than negative attitudes, or they may be counselors rather than trial participants.
Tool 7D: Action planning for communities and participants


**Objective:** Action planning is a participatory method to help communities and groups of individuals collectively plan activities and to help participants break down large activities or tasks into smaller, more manageable ones.

**Materials needed:** Flip chart or paper, markers or pens

**Approximate time:** One to two hours (depending on the complexity of the activity and the number of participants)

**How to use it:**
1. Draw an action-planning matrix (see below).
2. Introduce the activity under discussion (event, town hall meeting or other activity), or ask participants to think about the group's objectives and needs to identify an activity for planning.
3. Ask participants to think about potential activities that will achieve the activity or goal. Write these in the far left column of the action planning matrix.
4. For each activity identified, ask participants who should carry it out. Should they do it alone? With others? Or are other people or organizations better positioned to carry out the activity? Write the names of each person or organization in the appropriate column.
5. Ask participants when each activity should be completed. Should it be completed immediately? Soon —within a few weeks or months? Or later — in a few months? Ask them to write the date in the appropriate column.
6. Ask participants to consider the resources that will be required to carry out each activity successfully. These could be physical (for example, condoms, transport, venue) or financial resources. Write these resources in the last column.
7. With the aid of the participants, identify the people who will take the lead for each activity to make sure it is done. Write the names of these people next to each activity.
8. Ask participants to look at the action plan as a whole. Does it make sense? Is anything missing? Is it realistic?

**Facilitator tips:** Remember, if a stakeholder is not present when their roles and responsibilities are being discussed, they must be fully consulted before plans are finalized!
## Action-planning matrix

<table>
<thead>
<tr>
<th>Activity</th>
<th>Who?</th>
<th>When?</th>
<th>Required Resources</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>On our own</td>
<td>With others</td>
<td>Others only</td>
</tr>
<tr>
<td>Activity 1</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Activity 2</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>Activity 3</td>
<td></td>
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</tbody>
</table>
Tool 7E: Setting Group Norms and Guidelines


**Objective:** Agree on ground rules and group norms for workshops, focus groups, trainings and other events and meetings.

**Materials needed:** Paper, flip chart, markers or pens

**Approximate time:** 30 to 45 minutes

**How to use it:**

1. Ask participants to take five to 10 minutes to complete the following task individually: Think about groups in which you’ve had positive experiences, and write down three to five things that contributed to that positive experience. If you haven’t had any positive experiences working in a group, think about groups you’ve been a part of that were not effective. Identify three to five factors that could have made it a more effective group. Write them down.

2. Ask participants to share their responses with the larger group and record them on a flip chart.

3. Ask the group if any factors are listed that they do not agree with and discuss.

4. Ask for agreement on the collective list of guidelines.

**Facilitator tips:** When writing out a list on a flip chart, alternate the colors of the items.
Tool 7F: Facilitating agreement


Objective: Conduct productive discussions that end with proposals or agreements.

Materials needed: Flip chart, markers or pens

Approximate time: One to two hours (depending on the complexity of the discussion)

How to use it: Every discussion can be broken down into three stages: the open stage (where ideas are generated), the narrow stage (where you start to narrow your focus) and the close (where you reconcile differences and come to agreement).

Open stage
1. Open the discussion. To open a discussion, use one of the following strategies:
   - Make a proposal: To start the discussion, provide a suggestion for the group to consider;
   - List: Work together to generate a short list of ideas for the group to consider; or
   - Brainstorm: Ask the group to brainstorm, coming up with a longer list of ideas. Allow the group to produce as many ideas as possible — you will narrow the list later. This is a great way to generate many ideas in a short amount of time.

2. Clarify: Make sure each participant understands the meaning of all the ideas listed (from the proposal, list or brainstorm you generated in step 1). Example: “Take a few minutes to review the list of ideas. Which ones need to be clarified?”

Narrow stage
1. Combine duplicates: From the list you generated in the opening, ask participants to consolidate similar ideas. Example: “Are there any ideas listed that are the same or similar that we can combine to simplify our list?”

2. Prioritize/rank: Use the following ranking tool to identify the ideas that are the most important to the group. Count the ideas on your list after you have combined any duplicates. Divide that number by three. That is the number of votes each group member has. For instance, if there are 18 ideas, you would divide 18 by three (18 ÷ 3 = 6), so each person gets six votes. In this instance, you would ask participants to vote for the six ideas they like best. You can invite participants to put a hash mark next to the ideas they like on the flip chart. Or you can read off each idea, asking for a show of hands, and recording the
number of votes next to the idea. With a different-color marker, circle those ideas with high vote counts.

3. Advocate: Before eliminating the ideas that received a low number of votes, ask the participants whether anyone wants to convince the group to keep any of the low-ranking ideas. Allow a few minutes for the participants to discuss any of the low-ranking ideas advocated by another member.

**Close stage**

1. Negative poll: The use of a negative poll can help to eliminate low-ranking ideas so you can quickly agree on the high-ranking alternatives. Ask participants, “*Is there anyone not willing to take [insert low-ranking idea here] off the list?*” Continue until you have a manageable number of ideas, ideally those with the highest ranking.

2. Build up and eliminate: If there is disagreement about removing ideas from the list, see if you can adjust the idea to make it work for the group. For example, “*What could we add to [option A] to make it work for you?*” Or, “*Is there any way you could combine what you like about [option A and option B] to come to an agreement?*”

3. Both/and: It may not be possible to come to single solution that works for an entire group. Avoid win or lose solutions. Is it possible to consider more than one idea as your final solution or agreement? For example, you could propose, “*Do we need to choose between these final two decisions? Could we try both?*”

**Facilitator tips:** Be sure to read through each step and practice the tool to get familiar with it before using the tool with a group.
Tool 7G: Developing a shared vision


**Objective:** Stakeholders often have different reasons for engaging in HIV prevention research or joining a stakeholder advisory group. By taking the time to develop a shared vision, participants can find common ground and build a sense of collective ownership and commitment. Discussing a group's shared vision can also offer the opportunity to discuss and help manage expectations about what the research project can and cannot achieve.

**Materials needed:** Newspaper headline(s)

**Approximate time:** Two or more hours

**How to use it:**

1. Cut out the main headline from the front page of your local newspaper. Tape the headline on the wall or insert the headline into a PowerPoint presentation so that participants can see it.

2. Discuss the headline with participants. How does it make them feel? What is their first reaction?

3. Explain what a shared vision is and why it's important: “A shared vision is the long-term goal we will set for ourselves and will strive to achieve.”

4. Divide into at least three small groups, and have each group look three to five years into the future (or to the end of the trial). Have each group write the headline and the first few lines or paragraph of the trial's story for one of the following outcomes, ensuring that at least one group addresses each outcome:

   a. The trial demonstrates that the intervention is safe and effective for preventing HIV.
   b. The trial is unable to demonstrate that the intervention protects against HIV.
   c. The trial is stopped early because the intervention has harmful side effects.

5. Have each group present their headlines and paragraph to the larger group.

6. Using the headlines as a starting point, discuss, agree upon and document a shared long-term vision.
Facilitator tips: Remember — success does not necessarily mean that the trial product was successful. Take this time to discuss different visions of success. If the product is not shown to prevent HIV, could the trial still be considered a success? Discuss with the group.


<table>
<thead>
<tr>
<th>Definition</th>
<th></th>
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<tbody>
<tr>
<td><strong>Values</strong></td>
<td>Beliefs or judgments about what is worthy, important or desirable that are reflected in individual and organizational behavior.</td>
</tr>
<tr>
<td><strong>Mission</strong></td>
<td>A task, purpose or calling of an individual team or organization.</td>
</tr>
<tr>
<td><strong>Vision</strong></td>
<td>An image of the mission accomplished, the ideal future.</td>
</tr>
</tbody>
</table>
Tool 7H: Agree/disagree

**Objective:** Assess participants learning (after a training) or perceptions and knowledge (before a workshop or training).

**Materials needed:** Prepared list of true and false statements about the content of the workshop or training content; hang “agree” and “disagree” signs on opposite sides of the room (optional).

**Approximate time:** 30 minutes to one hour (depending on time allowed for discussion)

**How to use it:**
1. Develop a list of true and false statements from the material in your workshop or training.
2. Ask participants to stand in the middle of the room.
3. Assign one side of the room as “agree” and the opposite side of the room as “disagree.” The middle of the room corresponds to “I am unsure.”
4. Read the questions aloud one at time, asking participants to stand in the area of the room that reflects their response (agree, disagree or unsure).
5. Ask participants to explain why they chose the side of the room they did to encourage discussion. If used at the end of a training workshop, this can also help to correct misinformation and reinforce key messages and information.
Tool 7I: Template for documenting your own tools

**Title**
Adapted from: [Is the tool an original idea or did you adapt it from another source?]

**Objective:** [What does the tool accomplish? Why would someone use it?]

**Materials needed:** [What materials are needed to complete the tool or activity? Is there anything that needs to be prepared ahead of time?]

**Approximate time:** [From your experience, how much time is required for the tool or activity? Estimate the number of minutes or hours. It is important to be realistic about the amount of time a tool takes so that facilitators can plan accordingly.]

**How to use it:**
[Write out how to perform the activity or tool in a stepwise fashion. Use as many steps as you need. Be very clear, and make sure that you don't skip any steps. Someone unfamiliar with the tool should be able to successfully use the tool simply by reading your instructions.]

**Facilitator tips:** [Do you have any tips or reminders for the facilitator?]