



## A Note to Facilitator/Users:

This presentation is intended as an orientation to the *Stakeholder Engagement Toolkit for HIV Prevention Trials*. It will show research teams how the Toolkit can be used to help you go about the practical business of stakeholder engagement and to organize your work.

The notes pages are intended to be used as a suggested script for both:

- Individual viewers who will be navigating through the slides on their own; and
- Presenters who wish to introduce the Toolkit to other potential users can review the script to prepare but should not read the script verbatim during the presentation.

If you will be using this slide set to present the Toolkit to your colleagues or other audiences, we suggest you have a copy of the Toolkit on hand and give each participant a handout of these PowerPoint slides to help them follow along with the material presented.

Visit <http://www.fhi360.org/resource/stakeholder-engagement-toolkit-hiv-prevention-trials>

- To download a PDF of the *Toolkit* and other stakeholder engagement resources
- To access the *Toolkit Quick Guide*—an electronic reference guide (be prepared to display the *Quick Guide* from the CD or the website; see slides 2, 9, 22, 43)
- To request printed copies of the *Toolkit* and a CD containing the *Toolkit Quick Guide* and other stakeholder engagement resources (limited copies available)

From start to finish, this presentation should take approximately 30 to 45 minutes on average to read or present. If the scavenger hunt and discussion questions are used, allow 50 to 60 minutes.

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# Stakeholder Engagement (SE) Toolkit for HIV Prevention Trials



## Speaker Notes:

Identifying and engaging stakeholders in the research process is critically important, but in practice it is rarely approached in a systematic and thoughtful way. For that reason in 2012, FHI 360 and AVAC, with support from USAID through the Preventive Technologies Agreement, created the *Stakeholder Engagement Toolkit for HIV Prevention Trials* to capture a set of best practices and tools that will help research teams facilitate the initial and ongoing process of engaging stakeholders.

In 2014, based on user demand printed copies of the Toolkit were made available. The Toolkit developers also surveyed Toolkit users to determine how the Toolkit was being used and what might improve its usability. The feedback from survey respondents was used to develop the *Toolkit Quick Guide* and other E-resources to improve the usability of the Toolkit's components. These resources are available on CD and on the FHI 360 web site—we will take a look at them shortly.

***Discussion question: Does anyone have prior experience using the Toolkit? If so, please share your experiences with using the resources as we discuss the steps in the Toolkit.***

## Structure of this Presentation

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- Toolkit objectives
- Who is a stakeholder?
- The ongoing process of stakeholder engagement
- Adapting the Toolkit to your needs
- How the Toolkit is organized (7 steps)
- For each step from the Toolkit:
  - Examine why it is important
  - Review goals and tasks
  - Consider some of the tools
  - Highlight a unique element

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This presentation orients you to the Toolkit, covering topics such as:

- Toolkit objectives.
- Who is a stakeholder?
- The ongoing process of stakeholder engagement.
- Adapting the Toolkit to your needs.
- How the Toolkit is organized.
- What elements are included in the Toolkit to facilitate the engagement process.

For each of the seven steps from the Toolkit, we will:

- Examine why that step is important;
- Present the goals of that step;
- Outline the tasks required to achieve those goals;
- Show you some of the tools that will help you accomplish the tasks; and,
- Highlight elements of particular interest from the Toolkit that relate to that step.

## Objectives of the Toolkit

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- **Provide step-by-step guidance** to help HIV researchers engage stakeholders efficiently and transparently
- **Provide tools** to help staff document their plans and experiences as they implement a SE engagement strategy
- Make it easier for research teams in different settings to **compare methods and identify best practices**

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Stakeholder engagement can be easily integrated into your research project—you simply need a system to help you prepare and to organize your work. The Toolkit provides you with this system. Specifically, the Toolkit provides step-by-step guidance and practical tools that make it easier for research teams to compare methods and identify best practices that work across settings. It also provides guidance on how to document your methods and accomplishments—adding to the field’s expanding toolbox for stakeholder engagement.

# Who is a Stakeholder?



Before proceeding, let us first clarify ‘*Who is a stakeholder*’?

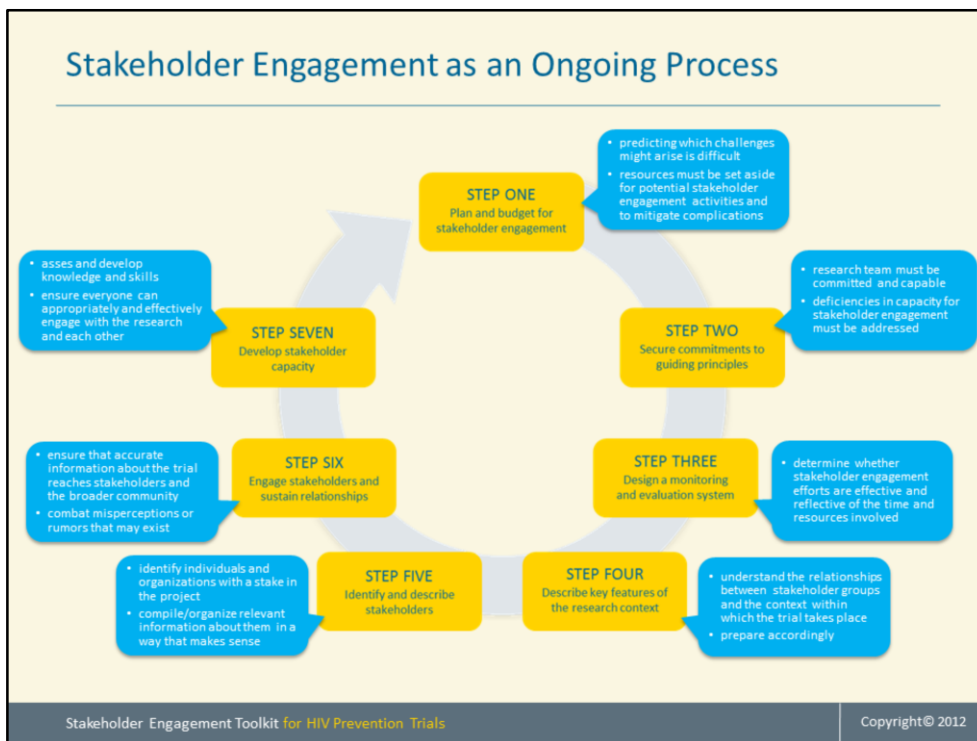
As defined by the Toolkit ([see page ix](#)), a stakeholder is someone at the local, national or international level who can affect or be affected by the research—potentially a large group of people who are deeply interested in the results of your trial.

Five broad groups of stakeholders are mentioned in the Toolkit, however a person may be a member of more than one stakeholder group.

It is important to note that stakeholder engagement is not the same thing as community engagement in the trial. Stakeholder engagement includes, but is not limited to, community engagement. It involves groups such as health care providers and funders, that are typically not part of community engagement activities.

The Toolkit will help you identify which stakeholders you should try to reach, and how to engage with them.

Note: This diagram can be found in the Toolkit on page ix.



### Speaker Notes

The Toolkit accomplishes this by providing a systematic approach to help research teams plan for stakeholder engagement through every stage of the research process—from developing an initial plan and budget before the research begins to developing the capacity of, and sustaining relationships with, a broad range of stakeholders.

As you can see from the diagram (see page xiii), stakeholder engagement is a continuous process. The Toolkit outlines the stakeholder engagement process in a series of seven steps—which are roughly sequential but with much back-and-forth as situations evolve over time.

***[Click mouse to advance through the descriptions of each step.]***

**Step One:** Plan and budget for stakeholder engagement—it’s a tricky first step since it’s difficult to predict what challenges might arise during a study but financial resources must be set aside for potential stakeholder engagement activities and to mitigate complications that may develop during the study.

**Step Two:** Secure commitments to guiding principles of stakeholder engagement from the research team—it’s important to have an understanding of the team’s commitment and address any deficiencies in the team’s capacity for stakeholder engagement.

**Step Three:** Design a monitoring and evaluation system for stakeholder engagement—it’s important to determine whether your stakeholder engagement efforts are effective and reflective of the time and resources involved.

**Step Four:** Describe key features of the research context—it’s critical to understand the relationships between stakeholder groups and the context within which your trial is taking place so that you can prepare accordingly.

**Step Five:** Identify and describe stakeholders—it’s important to take the time to identify the individuals and organizations that have a stake in your project, compile relevant information about them, and organize the information in a way that makes sense.

**Step Six:** Engage stakeholders and sustain relationships—this is where all of the preparation pays off and allows you to ensure that accurate information about your trial is reaching your identified stakeholders and the broader community so that you can effectively combat any misperceptions and/or rumors that may exist and address issues of trust and transparency.

**Step Seven:** Develop stakeholder capacity—including the study community, your trial participants, and your own research team to ensure that everyone has the knowledge and skills to appropriately and effectively engage with the research and each other.

## Adapting the Toolkit for Different Needs

- Research teams planning to implement their first HIV-related clinical trial at a single site
- Experienced research teams
- Multi-site research teams
- Research networks

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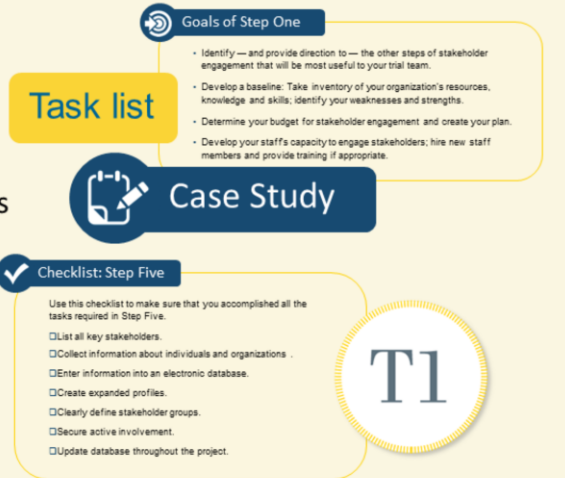
Furthermore, the Toolkit can be adapted depending on your specific setting and situation. For instance:

1. Research teams that are planning to implement their first HIV-related clinical trial at a single site may wish to use the Toolkit in a simple, stepwise fashion.
2. A research team that already has some experience with implementing an HIV-related clinical trial, and is planning a new trial, or has an ongoing trial, can use the Toolkit as a step-by-step reference during various stages of their new or ongoing trial. For instance, during an ongoing trial, appropriate resources from the Toolkit could be selected and used to evaluate the current status of stakeholder engagement and the team's actions adjusted as necessary.
3. A research team that is collaborating with teams at other sites may wish to implement a common protocol for stakeholder engagement. In such instances, the Toolkit could serve as a template for trial-wide guidance.
4. And lastly, the Toolkit could also be used to supplement whatever guidance is provided by larger trial networks, filling in gaps as needed on a site-by-site basis.

The ideal would be to begin working through the steps outlined in the Toolkit before your trial begins enrolling participants. However, perhaps your trial is already underway when you come across the Toolkit. It can still serve as a useful resource regardless of where you are in the research process. In some cases, it will be worthwhile to go back and retrace some of the steps from the Toolkit. In others, you may have already completed those steps on your own. In either case, for many of the steps, you will find documentation templates and systems for tracking what you've already started and to help you organize your work. You might also discover new activities and tools that you'd like to use.

# How the Toolkit is Organized

- Each step of the Toolkit contains:
  - Goals/rationale
  - Task list
  - Case studies and tips
  - Checklist
  - Tools (appendices)



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So let's talk about how the Toolkit is organized. Each step of the Toolkit is configured in a similar manner. To get a feel for that let's take a quick look at the various elements you'll find in each step. ***As we complete this overview of the Toolkit, we're going to conduct a scavenger hunt. Periodically I will ask a question and your job will be to find the answer in the Toolkit. The first person with the answer will get a small prize.***

Each step of the Toolkit begins with an introduction that clearly outlines the **goals** and provides a rationale for **why the step is important**. ***Look in your copy of the Toolkit, find the Goals for Step One. Who can tell me the second goal?***

This is followed by a **task list** (see page 4). The task list describes the process for accomplishing the goals. This is the meat of the Toolkit. Each task list provides a step-by-step approach for accomplishing the goals outlined in the introduction. The task list answers the question, "How?" Each task in the list includes the *action* to be completed, the expected *result*, and a detailed *explanation* of how to go about it.

Because the Toolkit is based on real-world experience from people actively working in the field of HIV prevention research, it also includes **case studies** (see page 12) and **tips** (see page 6) to highlight how others have approached various steps in the stakeholder engagement process. The case studies not only provide best practices and valuable lessons learned, but shows you how the steps work in practice.

Each step is then distilled into a comprehensive **checklist** (see page 16) to help you identify the tasks you need to accomplish and track your progress.

The appendices contain a series of practical **tools** directly related to each step. Many of these are easy-to-use worksheets—often with examples of completed worksheets—to help guide you through the seven steps of stakeholder engagement. ***Look in your copy of the Toolkit, find the second task in the Task List in Chapter 1. Which tool is referenced in that task? Answer=Tool 1B On which page in the Appendix can you find Tool 1B? Answer=page 112***

Let's begin by taking a look at the first of the seven steps...

Note to Presenters:

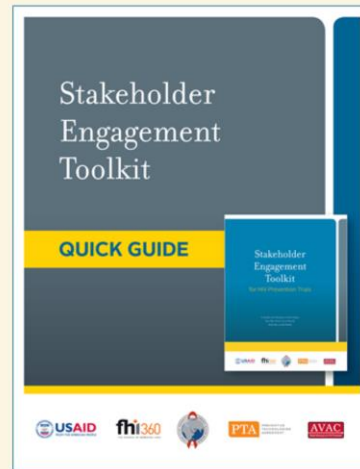
If each audience member has a copy of the Toolkit, encourage them to follow along by looking through Step 1 (found on page 1):

- Task List, page 4
- Case Study, page 12
- An example of a tip, page 6
- Checklist, page 16
- The appendices start on page 107



## Toolkit Quick Guide

- Helps users navigate and use the components of the Toolkit
- Includes expanded instructions for three tasks:
  - Developing measures to track stakeholder engagement program progress
  - Developing and maintaining a stakeholder databank
  - Assessing knowledge and skills to determine how to build capabilities



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The *Toolkit Quick Guide* was developed in 2014 to help users navigate and use the *Toolkit*. The *Quick Guide* was designed based on feedback from community liaison officers (CLOs), community educators and others working in community outreach in research settings. It gives users quick and easy access to modifiable (Microsoft Word or Excel) files of Stakeholder Engagement Toolkit tools and instructions for using them.

The central feature of the Quick Guide is a Toolkit Reference Table, which enables users to quickly identify the tools they need and provides quick links to Toolkit steps and tools.

The new resource also includes expanded instructions for three key stakeholder engagement tasks:

- Developing measures to track stakeholder engagement program progress
- Developing and maintaining a stakeholder databank
- Assessing knowledge and skills to determine how to build capabilities

The Toolkit Quick Guide is available on the FHI 360 website and on the CD that is included in the printed copy of the Toolkit.

# 1

## *Plan and Budget for Stakeholder Engagement*



Step 1—*Plan and Budget for Stakeholder Engagement*—is all about preparation and ensuring you have the necessary resources and capacity to engage stakeholders and sustain the relationships you will develop as you move forward through the stakeholder engagement process.

## Step 1: Why you need to plan and budget for SE

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- A systematic approach in this step will make it easier for your team to:
  - Know what is expected of them
  - Be aware of their SE strengths and weaknesses
  - Measure and assess the trial’s future SE activities
  - Budget for SE, and account for the use of resources
  - Monitor progress
  - Maintain—and resist compromising—SE activities
  - Develop an organizational structure that supports SE
  - Ensure you are prepared to meet commitments

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Going about planning and budgeting in a systematic way will make it easier for your team to know what it expected of them and identify their strengths and weaknesses. It will also help them to measure, assess, maintain, and monitor the progress of their stakeholder engagement activities.

Organizationally, this kind of pre-planning will ensure there is a supportive organizational structure in place (including a budget) and that your team is set up for success and can meet their stakeholder engagement commitments.

***Discussion question: What is the benefit of making plans to measure, assess, and monitor the progress of your stakeholder engagement activities?***

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Note to presenters: Please take the time to lead your audience through the list outlined on the slide.

## Step 1: Goals & Tasks

Goals	Tasks
Identify the steps of SE that will be most useful to your trial team	<ul style="list-style-type: none"> <li>• Determine needs &amp; identify opportunities</li> </ul>
Develop a baseline. Take inventory of your organization's resources, knowledge and skills; identify your weaknesses and strengths	<ul style="list-style-type: none"> <li>• Establish baseline</li> </ul>
Determine your budget for SE and create your plan	<ul style="list-style-type: none"> <li>• Develop a budget for SE</li> <li>• Develop a plan for SE</li> </ul>
Develop your staff's capacity to engage stakeholders, hire new staff members and provide training if appropriate	<ul style="list-style-type: none"> <li>• Assemble your team</li> <li>• Develop job descriptions</li> <li>• Ensure staff capacity building</li> </ul>

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These are the goals and tasks for Step 1. As you can see, they focus on ensuring your team has the capacity and resources to put a stakeholder engagement plan into action. You will identify the steps of stakeholder engagement that will be most useful to your team, develop a baseline, determine your budget and, finally, develop your staff's capacity.

The task list provides practical direction on *how* to accomplish these ends. Notice how the seven tasks listed on the right are directly related to achieving the four goals listed on the left.

***Discussion question: Why is it important to develop job descriptions for staff who will be conducting stakeholder engagement activities?***

# Step 1: Tools

**Tool 1C: Budget for stakeholder engagement**

This template includes suggested line items for your stakeholder engagement budget. You can refer to your list of “needs” versus “wants,” and select some of the items in your “wants” list for your expanded budget if you have the benefit of a larger budget. If you are conducting a large trial — or simply have more funds for stakeholder engagement — we have included suggestions for some “extra” activities — “wants” — to help enhance your team’s portfolio. (Note the items that have been added to this budget are shown in green text.) When planning for staff time, be sure to consider all stages of the stakeholder engagement process, including work planning, ongoing engagement and capacity development.

**Tool 1C: Budget for stakeholder engagement.**  
Black text indicates suggested basic items, green text indicates suggested extra activities.

<b>Name of project:</b>			
<b>Protocol number:</b>			
<b>Date completed:</b>			
Is this a revised version of an earlier budget? <input type="checkbox"/> Yes <input type="checkbox"/> No			
<b>Budget categories</b>			
<b>Exchange rate: [funder currency] = [local currency]</b>			
<b>Salaries (title and effort)</b>			
Director of stakeholder engagement ( ___ % for ___ months)			
Community educator/trainer ( ___ % for ___ months)			
Administrative support ( ___ % for ___ months)			
Site PI ( ___ % for ___ months)			
Other staff ( ___ % for ___ months)			
<b>Subtotal salaries \$</b>			
<b>Staff training</b>			
Room rental			
Trainer/facilitator			
LCD projector, video camera, DVDs			
Training materials (duplication/printing/handouts, etc.)			
Travel and per diem, if necessary			
Catering, if necessary			
<b>Subtotal training \$</b>			

**Tool 1G: Work plan**

Use this template to create your team’s work plan. What you include may be partially dictated by your research network or sponsor. However, you should make sure to include some background and basic details about the trial, along with information about your goals, objectives and activities. The previous tools you have completed (1A–1F) can be used to fill out your team’s work plan. This work plan has been adapted with permission of the Microbicide Trials Network.

**Tool 1G: Work plan**

**Stakeholder engagement work plan**

Clinical research site: \_\_\_\_\_

[Relevant research network information]: \_\_\_\_\_

Staff member completing the work plan: \_\_\_\_\_

Community advisory board (CAB) chair/representative signature: \_\_\_\_\_  
Date signed: \_\_\_\_\_

Principal investigator (PI) or investigator of record (IoR) signature: \_\_\_\_\_  
Date signed: \_\_\_\_\_

Date submitted: \_\_\_\_\_

**I. Stakeholder assessment**

a. Please provide the names and contact information (office and mobile numbers, and email addresses) for your site’s stakeholder and/or community engagement staff.

b. Describe any challenges that your site expects to experience with current or upcoming trials. Describe how your staff (and the CAB, if appropriate) plans to respond to these challenges.

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The Toolkit also provides a series of hands-on tools to help you carry out these tasks and achieve each of the corresponding goals. In addition to the tools shown here that are designed to guide you through developing a budget (see **Tool 1C, page 113**) and a work plan for stakeholder engagement (see **Tool 1G, page 121**), the tools listed in the appendix for Step 1 (see **page 107**) will help you:

- Conduct an organizational self-assessment;
- Identify gaps, opportunities and priorities;
- Develop action plans and timelines;
- Plan your stakeholder strategy; and,
- Draft job descriptions.

There are also several samples of completed tools (see **page 112, for a completed example of Tool 1B**) so that you have an idea of what you are attempting to accomplish.

Note: *Tool 1C: Budget for stakeholder engagement* and *Tool 1G: Work plan* can be found in the Toolkit on pages 113 and 121 respectively. All Step 1 tools can be found in the Step 1 Appendix on pages 107 through 130.

## Step 1 Highlight: Case Studies



### *The importance of documentation*

Based on: Kikwinda S, Onullo P, Agot K, Odhiambo J, Rullagana M, Malamatio R, Ahmed K, Van Damme L, Cornelli A. Documenting community involvement in FEM-PrEP IAS 2011 Conference, Rome, Italy. Poster MOPE392. Geneva: International AIDS Society; 2011.

FEM-PrEP was a Phase III randomized, placebo-controlled, clinical trial designed to assess the safety and effectiveness of a daily oral dose of an antiretroviral drug (ARV) called Truvada for HIV prevention among women. HIV-negative women between the ages of 18 and 35 who were at high risk of HIV exposure volunteered to take part in FEM-PrEP at four sites in Kenya, South Africa and Tanzania.

At the Bondo, Kenya site, the community involvement activities included general community education in the chief's *barazas* (public meetings), in churches, with men's and women's groups and in meetings with key stakeholders, either individually or in groups. The community team also attended community meetings that were not organized by the study staff but to which they were invited to address the people gathered.

Stakeholder engagement activities were planned monthly, and *ad hoc* meetings were also conducted when needed. Meetings were coordinated by a community liaison officer and assisted by field staff members who took minutes, noting issues raised, questions asked and responses given. The notes were expanded at the end of each meeting.

Each step of the Toolkit also offers practical examples of how the tasks have been applied in real world settings. This case study from Step 1 ([see page 12](#)) features an example from the FEM-PrEP clinical trial that took place at four sites in Kenya, South Africa and Tanzania. The case describes the stakeholder engagement activities coordinated by a community liaison officer at the site in Bondo, Kenya. It describes the specific actions that the team took to address issues that were identified during meetings with community members—actions which contributed to the broad-based support for the study and an overall decrease in rumors and controversy.

You'll find similarly helpful case studies throughout the Toolkit.

Now let's take a look at the other six steps...

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Note: This case study can be found in the Toolkit on page 12.

## 2

### *Secure Commitments to Guiding Principles*



In Step 1, you established baseline information and developed a work plan and budget. At this point, you should know about your research team’s capacity for stakeholder engagement, your ongoing efforts toward stakeholder engagement, your goals and objectives for stakeholder engagement and any gaps in your plan. Step 2 begins by summarizing some of the main guiding principles of stakeholder engagement.

## Step 2: Why you need to secure commitments to guiding principles

- A systematic approach to securing commitments will enable your team to:
  - Establish a common understanding of the meaning and value of SE
  - Gain consensus on a strategy for SE action, including key objectives and outcomes of activities
  - Consider equitable budgeting issues, and plan accordingly
  - Develop more effective engagement plans

Specifically, this step helps research teams to:

- Establish a common understanding of the meaning and value of stakeholder engagement;
- Gain consensus on a strategy for stakeholder engagement action;
- Consider equitable budgeting issues and plan accordingly; and
- Develop more effective engagement plans.



## Step 2: Goals & Tasks

Goals	Tasks
<b>Develop a plan of action</b> for securing commitment to SE	• Make an action plan for securing commitment to guiding principles
<b>Familiarize the research team with the guiding principles and the practical applications</b> of engaging stakeholders in clinical trials	• Become familiar with information and tools
<b>Establish consensus</b> among the team that SE is critical to their trials	• Implement your action plan for securing commitment to guiding principles
<b>Secure written commitments</b> to SE from key members of the research team	• Secure commitment from your research team

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The primary goal during Step 2 is to tackle some of the initial gaps—if any—in your team’s commitment to the guiding principles of stakeholder engagement. If members of the research team are not familiar with or do not value stakeholder engagement activities, you may need to sensitize them and gain this commitment before you begin your outreach efforts.

## Step 2: Tools

Tool 2A. Action planning guide for securing commitment to stakeholder engagement

Use this tool to develop your action plan to acquire commitment from your team for stakeholder engagement. Use the outcomes of the baseline assessments in Step One to guide you.

**Tool 2A. Action planning guide for securing commitment to stakeholder engagement**

Name of organization: \_\_\_\_\_

Please answer the following questions based on the baseline assessment conducted in Step One and on your understanding of the research team members.

1. Which research team members need to be sensitized to stakeholder engagement principles? List the names of individuals, teams, departments or other groups.
2. What type of sensitization activity would be most appropriate for each individual listed? Choose from the activity tools referenced and other approaches suggested in item two of the Task list.
3. Do you require a written commitment from this individual?
4. Are there any other relevant details about sensitizing this group or individual?

Use the following chart to capture the details above. Insert as many rows as necessary.

Name, Team, Department or other	Type of activity— Training, Focus-Group Discussion, Interview or other	Written Commitment Required?	Additional Detail

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In addition to the tasks that Step 2 outlines for how to achieve this goal, you'll also find:

- A tool to help you develop an action plan for securing commitments to stakeholder engagement (**see Tool 2A, page 132**); and
- A commitment sheet that provides staff with an opportunity to formally acknowledge their agreement with the plan (**see Tool 2B, page 137**).

Tool 2A (shown here) helps you outline specific objectives for orienting your stakeholders to the principles of stakeholder engagement and to think through the most appropriate approaches for sensitizing them to those principles.

*Note: Tool 2A: Action planning guide for securing commitment to stakeholder engagement, can be found in the Toolkit on page 132.*

## Step 2 Highlight: Guiding Principles



Step 2 is based on the guiding principles outlined in two foundational documents:

- *Good Participatory Practice Guidelines for Biomedical HIV Prevention Trials*; and
- *Ethical Considerations in Biomedical HIV Prevention Trials*.

The Toolkit provides a brief overview of what these principles entail and examples of how research teams have put them into practice.

[data.unaids.org/pub/.../jc1364\\_good\\_participatory\\_guidelines\\_en.pdf](http://data.unaids.org/pub/.../jc1364_good_participatory_guidelines_en.pdf)

[data.unaids.org/pub/Report/.../jc1399\\_ethical\\_considerations\\_en.pdf](http://data.unaids.org/pub/Report/.../jc1399_ethical_considerations_en.pdf)

***Discussion question: Describe how you have used these documents.***

# 3

## *Design a Monitoring and Evaluation System*



So let's review: In Step 1 your team thought about concrete objectives for your work with stakeholders in light of your trial and the broader research agenda. In Step 2, you and your team made a commitment to the principles of stakeholder engagement. Now that you have defined the goals of stakeholder engagement, you are ready to move on to Step 3 and develop a framework for determining whether your efforts are effective and worth the time and resources involved.

## Step 3: Why you need to design a monitoring and evaluation (M&E) system

- A systematic approach to designing an M&E system enables your team to:
  - Define the desired impact of SE activities
  - Justify the need and budget for SE activities
  - Increase the rigor of SE programs
  - Establish your accountability with stakeholders

In Step 3 you will develop a monitoring and evaluation (or M&E) system for stakeholder engagement. Designing an effective M&E system is a critical component of any stakeholder engagement plan. It will enable your team to:

- Define what impact they wish to have;
- Justify the need and budget for your stakeholder engagement activities;
- Increase the rigor of your program, including the potential need to change your strategy and action planning.; and
- Establish your accountability with stakeholders.

***Discussion question: What are the potential risks of not adapting your stakeholder engagement strategy to address events that occur during the course of the study?***

## Step 3: Goals & Tasks

Goals	Tasks
<b>Define a set of indicators</b> based on your long-term and short-term goals for SE activities	<ul style="list-style-type: none"><li>• Select indicators</li></ul>
<b>Agree on your team's M&amp;E approach;</b> if it is participatory, identify the stakeholders to be involved	<ul style="list-style-type: none"><li>• Establish a SE M&amp;E working group</li><li>• Develop an M&amp;E framework</li></ul>
<b>Implement the M&amp;E process</b> as agreed by all relevant team members	<ul style="list-style-type: none"><li>• Implement your M&amp;E process</li></ul>

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As you can see on the left, the goals of Step 3 include defining a set of indicators based on your stated goals, designing and agreeing on your team's M&E approach, and then implementing your M&E plan.

To help in the development of an effective M&E plan, Step 3 also offers a list of tasks to complete shown here in the right-hand column.

***The Toolkit Quick Guide includes enhanced instructions for completing tasks in Step 3. Let's take a look at page 5 of the Quick Guide now.***

***AVAC is developing monitoring and evaluation tools for this purpose. Watch the AVAC site for their release in late 2014.***

***While we're here lets take a look at the other pages of enhanced instructions.***

## Step 3: Tools

### Tool 3A: Indicator examples

This tool may be used by the M&E working group to help develop indicators for the stakeholder engagement program.

#### Tool 3A: Indicator examples

This tool may be referenced or used as a guide when developing your indicators. It contains examples of indicators for community and stakeholder engagement at different levels in the clinical trials process. Please note that you are not restricted to the examples given when developing your team's indicators.

Level	Process Indicators	Impact Indicators
<b>Local/ community</b>	<ul style="list-style-type: none"> <li>Number of CAB meetings conducted</li> <li>Percentage of CAB members attending meetings</li> <li>Number of community outreach events</li> <li>Number of potential trial volunteers referred from partner health institutions or other partnering organizations</li> </ul>	<ul style="list-style-type: none"> <li>Number and description of misconceptions in the surrounding community about research</li> <li>Speed of trial recruitment</li> <li>Number of local stakeholders declaring support for trial conduct</li> <li>Description of feedback provided by stakeholders on a trial protocol</li> <li>Successful referral of research participants and linkage to care and services</li> </ul>
<b>National</b>	<ul style="list-style-type: none"> <li>Number of national consultations conducted</li> <li>Number of country-specific policies or related documents written or revised concerning research or rollout of intervention</li> <li>Description of supportive media reporting</li> </ul>	<ul style="list-style-type: none"> <li>Level of funding committed by national governments</li> <li>Qualitative description of statements made concerning research by national stakeholders</li> <li>Commitment of policymakers and other thought leaders to future rollout of interventions</li> </ul>
<b>Global</b>	<ul style="list-style-type: none"> <li>Number of peer-reviewed publications on the value of stakeholder engagement</li> <li>Number of presentations, international conferences and other forums on stakeholder engagement work</li> </ul>	<ul style="list-style-type: none"> <li>Level of funding by major international donors</li> <li>Description of stakeholder input into the design of global, multisite, large-scale trials</li> </ul>

In Step 3 you'll also find detailed examples of indicators for community and stakeholder engagement at different levels in the clinical trials process. Tool 3A ([see page 140](#)) provides you with a list of both process and impact indicators for local, national and global stakeholders. Indicators range in scope from the number of community advisory board meetings held to a description of stakeholder input into the design of global, multisite, large-scale trials.

      
Note: The *Indicator Example* tool can be found in the Toolkit on page 140.

## Step 3 Highlight: Tables & Graphics

**FIGURE 4** *A stakeholder engagement program follows a logical chain of events.*



In the logic chain of stakeholder engagement programs, resources and inputs are processed into outputs through activities. The activities produce outcomes — such as knowledge and behavior change — which eventually create an impact — perhaps changes in the conduct of a trial or the larger research agenda.

Inputs	Activities	Output Indicators	Outcome Indicators	Impacts
Efforts of community liaison officer and other responsible staff	Monthly meetings of the community advisory board (CAB)	CAB meeting reports, including outstanding needs and next steps	Community members who are well informed about the research	Efficient and ethical trial recruitment and retention
Efforts of principal investigator	Annual briefings on research to policymakers and other national decision-makers	Robust plan for issues management	Policymakers who support the research	Decreased time from research results to policy access
Designated budget	Development of an issues-management plan for the research		Positive relationships with key stakeholders Influential champions at local and national levels	Mitigation of controversy at local, national, international levels

*(Adapted from: Davies N, Bootherton L. Measuring up: A guide for learners. International HIV/AIDS Alliance and the International Council of Aids Service Organizations (ICASO). Brighton, UK: International HIV/AIDS Alliance; 2010 July.)*

This figure ([see page 31](#)) depicts the logic chain of stakeholder engagement, to help you to visualize how the steps of stakeholder engagement fit into a logical framework (sometimes called a “log frame”). Organizing the steps of stakeholder engagement into a log frame can help you develop an effective M&E strategy.

You will find various tables and graphics throughout the Toolkit, which help to represent some of the more complex content in an organized, visual way.

Note: This figure can be found in the Toolkit on page 31.



# 4

## *Describe Key Features of the Research Context*



As you've seen, some basic preparation and planning keeps your stakeholder engagement efforts focused and streamlined. Like steps one through three, Step 4 is focused on this critical preparation.

## Step 4: Why you need to describe key features of the research context

- A systematic approach in Step 4 will lead to the following benefits and outcomes. You will be able to:
  - More readily identify all stakeholders whose views and engagement will affect your trial
  - Better understand the relationships that link stakeholders and build such relationships where they are lacking
  - More easily communicate the research concept and explore it with stakeholders
  - Learn how the project's local context relates to the national and regional context
  - Develop a research project that is well adapted to the broad context

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Step 4 helps you to identify your relevant stakeholders (whether they are local, regional, national or international), understand the relationships between stakeholder groups and the context within which your trial is taking place, and to better communicate the research concept to your stakeholders.

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Note to presenters: Please take the time to lead your audience through the list outlined on the slide.

## Step 4: Goals & Tasks

Goals	Tasks
Partner with stakeholders to <b>create a multilayered description</b> of the contexts for the trial	<ul style="list-style-type: none"> <li>Describe the local context for the trial</li> <li>Describe the broad context in which the trial will take place</li> </ul>
<b>Identify questions, current issues and historical precedents</b> that may affect how your trial is perceived at the local level—as well as strategies for how to address them	<ul style="list-style-type: none"> <li>Get to know the national and regional stakeholders</li> <li>Develop a system for ongoing engagement with national and int'l stakeholders</li> </ul>
<b>Incorporate national, regional and int'l issues</b> into plans for the trial's conduct	<ul style="list-style-type: none"> <li>Identify global issues and engage int'l audiences and allies</li> </ul>
<b>Develop an appreciation for the complexity of the research process and the importance of relationships...</b>	<ul style="list-style-type: none"> <li>Review the implications of your information-gathering and relationship-building activities</li> </ul>

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Specifically, in Step 4 you will:

- Become familiar with critical features that can have a bearing on how the research is conceptualized, planned, conducted and disseminated;
- Efficiently overcome barriers that are specific to your context, such as a history with previous trials, access to research outcomes, and any issues related to the political, cultural and economic climate; and
- Engage stakeholders as partners in the research endeavor.

Similar to previous steps, Step 4 also offers a detailed list of tasks that, if followed, will result in achieving the goals it outlines.

Note: There are no tools in the appendices for this step.

## Step 4 Highlight: Tips

### Tips

Use international conferences as an opportunity to engage with stakeholders working at international, national and regional levels. Consider joint sponsorship — with other research partners and other stakeholder partners — of roundtable discussions or satellite events to facilitate updates and discussions of news and challenges.

If you or a member of your research team attend international conferences, you can use the opportunity to engage with stakeholders working at international, national and regional levels. You can even work with other research partners and other stakeholder partners to host roundtable discussions or satellite events to facilitate updates and discussions of news and challenges related to stakeholder engagement efforts.

The Toolkit offers several helpful tips throughout, which you can easily find by looking for the light bulb symbol as in this Tip found on page 43.

**Look in your Toolkit to find what other Tip is offered in Step 4? Answer=page 40**

Note: This tip can be found on page 43 of the Toolkit.

# 5

## *Identify and Describe Stakeholders*



Next, Step 5 builds on Step 4 by helping you to:

- List the individuals and organizations that have a stake in your project;
- Compile background details about them; and
- Organize these data in a useful way.

Taking the time to compose descriptive profiles of your stakeholders will provide an invaluable resource to you and your team throughout the project—particularly if you encounter any staff turn-over.

## Step 5: Why you need to identify and describe stakeholders

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- A systematic approach in Step 5 will make it much easier for your team to:
  - Identify the organizations/individuals who are relevant to your project
  - Decide who to contact and how
  - Create a database for this project and for future research
  - Obtain suggestions for other stakeholders whose involvement may be critical to the success of your research
  - Ensure your research is meaningful and transparent to the community in which it is taking place

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Identifying and describing stakeholders will help you to:

- Establish who your relevant stakeholders are and keep track of them;
- Decide on the best way to contact them; and
- Use stakeholder information throughout the project to conduct meaningful preliminary research in the community; to explain trial goals; and to make accurate statements about the generalizability of your trial's conclusions.

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Note to presenters: Please take the time to lead your audience through the list outlined on the slide.

## Step 5: Goals & Tasks

Goals	Tasks
<b>Compile a thorough list of key</b> local, regional, national and global stakeholders	<ul style="list-style-type: none"> <li>• Host a brainstorming session</li> <li>• Refine your list</li> <li>• Get referrals</li> </ul>
<b>Collect relevant data</b> about individuals/organizations	<ul style="list-style-type: none"> <li>• Conduct interviews and record notes</li> <li>• Develop stakeholder descriptions</li> </ul>
<b>Create an organization system</b>	<ul style="list-style-type: none"> <li>• Classify stakeholders according to type</li> </ul>
<b>Contact stakeholders</b>	<ul style="list-style-type: none"> <li>• Approach individuals/organizations</li> </ul>
<b>Secure the active involvement</b> of a core group of stakeholders	<ul style="list-style-type: none"> <li>• Secure active involvement from partners</li> </ul>
<b>Maintain a stakeholder database,</b> and update the profiles	<ul style="list-style-type: none"> <li>• Create an electronic database.</li> <li>• Update database regularly</li> </ul>

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Step 5 will guide you through:

- Compiling a comprehensive list of stakeholders and collecting relevant data on them;
- Making initial contact with your stakeholders and securing their involvement; and
- Establishing a database of stakeholder contact information and profiles and developing procedures for maintaining the database throughout the life of the project.

The corresponding tasks are shown in the right-hand column. These are the individual tasks that Step 5 leads you through, beginning with hosting a brainstorming session to compile a thorough list of stakeholders, through creating and maintaining a shared electronic database aimed at improving the efficiency of your stakeholder communication.

## Step 5: Tools

Tool 5C: Identification of stakeholder roles

Use this sheet to identify and prioritize which potential stakeholders can fill needed roles for your trial. Could they be part of the CAB? Will you invite them to review your materials? Are they information gatekeepers who should receive newsletters and announcements about community events? Once again, modify this sheet to personalize it for your trial. It is important to complete this step before you convene a meeting with your stakeholders.

Tool 5C: Identification of stakeholder roles

(A) Activity area	(B) Distinct types of roles needed	(C) Suggested stakeholders to fill roles	(D) Preliminary actions required	(E) By whom?	(F) By when?	(G) Status
Consultation						
Deliberation						
Advocating						
Facilitation						
Community outreach						
Community organizing						

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The appendix for Step 5 includes a series of tools for completing the tasks. Tool 5C ([see page 147](#)) can help you to think through and prioritize which of your stakeholders can fulfill needed roles for your trial. For instance, who will sit on your advisory committee? Who in the trial community are the information gatekeepers?

Some of the other tools included in Step 5 are:

- A *Stakeholder identification sheet* ([see Tool 5A, page 142](#));
- A *Stakeholder data collection sheet* ([see Tool 5B, page 145](#)) and
- An example of a *Stakeholder contact record* ([see Tool 5D, page 149](#)).

Note: The appendix for Step 5 begins on page 141. *Tool 5C: Identification of stakeholder roles* can be found on page 147.



## Step 5 Highlight: Quotes

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*Identifying stakeholders is something you do throughout your project; maintain relationships and get new relationships, pulling in new stakeholders as you realize that they should be involved. It's something that you have to keep in mind, throughout the project.*

– David Jolly, N.C. Central University

As this quote ([see page 56](#)) reminds us, stakeholder engagement is an ongoing process, so you will likely find it necessary to identify and describe stakeholders through the lifespan of your trial.

Throughout the Toolkit, you will find quotes that bring the content to life by letting people who have been directly involved in stakeholder engagement share their insights.

***Look in your Toolkit to find who else was quoted in Step 5? Answer=page 55, Sam Griffith***

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Note: This quote can be found on page 56.

# 6

## *Engage Stakeholders and Sustain Relationships*



Finally, after using steps one through five to identify your potential stakeholders—as well as your priorities, concerns and skills—you are now ready to begin building your stakeholder relationships.

You will notice that Steps 6 and 7 tend to have longer lists of goals and tasks, checklists, as well as quite a few tools in the appendices. This reflects in part the fact that the “meat” of the stakeholder engagement work is contained in these two steps, with the other ones preparing you for the bulk of the work: actually engaging stakeholders, and building their capacity.

## Step 6: Why you need engage stakeholders and sustain relationships

- A systematic approach in this step will make it much easier for your team to:
  - Ensure that correct and accurate information about your trial is reaching your stakeholders and the community
  - Combat misperceptions and rumors about HIV and research in the community
  - Establish trust, transparency and two-way communication with the host community and other stakeholders
  - Improve your SE approaches and implement better practices

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Ultimately, Step 6 helps you to ensure that correct and accurate information about your trial is reaching your stakeholders and the community and to combat any misperceptions and/or rumors that may exist. Step 6 also addresses issues of trust, transparency and the use of better practices.

***Discussion question: How many different stakeholder groups do you work with at your site?  
By show of hands, how many work with only one stakeholder group?  
Two groups?  
Three or four groups?  
Five to ten groups?  
More than ten groups?***

\_\_\_\_\_  
Note to presenters: Please take the time to lead your audience through the list outlined on the slide.

## Step 6: Goals & Tasks

Goals	Tasks
<b>Build lasting partnerships and alliances</b> with a range of stakeholders	<ul style="list-style-type: none"><li>• Build partnerships and alliances</li><li>• Be visible in local communities</li></ul>
<b>Provide mechanisms by which stakeholders can offer input</b> into the research process	<ul style="list-style-type: none"><li>• Establish local stakeholder advisory mechanisms</li><li>• Set expectations</li></ul>
<b>Disseminate correct and accurate information</b> about HIV and AIDS, the scientific process and your specific trial	<ul style="list-style-type: none"><li>• Use local media</li><li>• Draft and disseminate educational and informational materials</li></ul>

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This slide and the next cover the goals and tasks you'll find outlined in Step 6.

Essentially, the step provides some basic strategies and tools to help you develop relationships with a wide range of stakeholders and sustain them throughout the research process. For instance:

- Establish advisory mechanisms to achieve an active and engaged group of local stakeholders who can contribute to your project.
- Use local media to communicate your messages broadly.
- Draft and disseminate educational and informational materials to create groups of informed, knowledgeable and supportive participants and stakeholders.

While Step 6 recommends basic strategies for engaging and sustaining relationships, it also encourages use of creative approaches—acknowledging the continuous learning that occurs during the engagement process.

Here you can see the first three goals for engaging stakeholders and sustaining relationships and the corresponding tasks.

## Step 6: Goals & Tasks (continued)

Goals	Tasks
<b>Educate and update stakeholders</b> and the community about your trial and its progress	<ul style="list-style-type: none"><li>• Provide regular education and updates</li><li>• Monitor and respond to community voices and stakeholder views</li></ul>
<b>Network</b> with staff members at other HIV prevention research studies	<ul style="list-style-type: none"><li>• Continue to expand your partnerships</li></ul>
<b>Document and continue to build your toolbox</b> for SE	<ul style="list-style-type: none"><li>• Maintain clearly written records</li><li>• Learn from others</li></ul>

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The next three goals and related tasks cover:

- How to educate and update your stakeholders by using a variety of methods including local media, town hall meetings, community events, individual stakeholder meetings and targeted educational materials.
- How to combat misinformation by responding immediately and in a transparent manner to community rumors.
- How to effectively use networking to expand your partnerships and strategies for engaging stakeholders and avoiding stakeholder fatigue; and
- How to document and build your stakeholder engagement toolbox and track your engagement efforts.

## Step 6: Tools

### Tool 6H: Engaging communities with theatre

Adapted from International HIV/AIDS Alliance. Tools together now! 100 participatory tools to mobilize communities for HIV/AIDS and the Global Campaign for Microbicides. Prevention Research Literacy training curriculum. Brighton, UK: International HIV/AIDS Alliance, 2006.

**Objective:** Using community drama or theatre is a creative way to explore sensitive issues and to get your messages across in a nonthreatening and engaging way. Dramas can be developed and performed by trial staff members to engage and educate communities about your trial, prevention research, HIV and AIDS or other health topics. Dramas can also be used as capacity-building tools during stakeholder workshops and trainings.

**Materials Needed:** Written scenarios, stopwatch (to keep time)

**Approximate Time:** 2 to 2.5 hours (depending on group size)  
For dramas developed and performed by staff members, the preparation and practice time may be longer and the performance time may be shorter (approximately 10 to 30 minutes).

**How to Use It:**

1. Divide actors (or participants) into three or four groups, depending on the number of participants.
2. Describe three or four different scenarios or characters (see example below for "Exploring Common Research Myths and Rumors"). Give each group a description of one of the scenarios, and ask them to develop a short drama (five to 10 minutes). For the "Exploring Common Research Myths and Rumors" example, ask participants to act out the myth or rumor and then ask them how they might respond to it. Each group will have 45 minutes to one hour to develop their drama.
3. Ask each group to perform their drama (five to 10 minutes). Use a stopwatch to keep track of time.
4. Once all groups have performed their dramas, encourage the participants to discuss what the dramas revealed. What were the challenges? Are there any key messages that the dramas did not touch on?

**Facilitator Tips:** There are many ways to use community drama as a tool — be creative!

Step 6 also suggests a range of worksheets and participatory tools to help you put into practice the various tasks it outlines. Some of the tools offered in Step 6 include:

- How to establish advisory group guidelines ([see Tool 6B, page 154](#)),
- Checklists for organizing events ([see Tool 6C, page 156](#)),
- How to develop an effective meeting agenda ([see Tool 6F, page 163](#)), and
- As you can see from the slide, a tool on *How to engage communities with theatre* ([see Tool 6H, page 167](#)). Creative strategies such as this have proven incredibly effective for engaging stakeholders and communities in a range of settings.

**Discussion question: What types of techniques have you used to engage stakeholders?**

Note: These tools can be found in the Toolkit in Appendix T6 beginning on page 151. *Tool 6H: Engaging communities with theatre* can be found on page 167.

# Step 6 Highlight: Practical Resources

## Some examples of local stakeholder advisory mechanisms

<b>Institutional CAB</b>	The Perinatal HIV Research Unit in South Africa is a research organization with established institutional CABs. The unit has three CABs: one that advises prevention trials, one that advises treatment trials, and one that supports adolescent research. CAB members are elected, and each of the CABs has developed in own constitution to guide its governance and decision-making.
<b>Trial-specific CAB</b>	Some studies, when they start, do not have an established institutional CAB at their disposal. In that case, CABs can be established to advise on the specific research project at hand. CAB members are typically recruited or elected to serve, on a voluntary basis, for agreed-upon terms.
<b>Multiple advisory groups</b>	CAPRISA in South Africa established a number of what they refer to as community research support groups (CRSGs). CRSG members are drawn from NGOs and local health facilities, as well as previous and current trial participants, all of whom can nominate new members to join the group.  The site for the MDP 301 microbicide trial in Tanzania set up two separate advisory groups—the Stakeholder Advisory Committee (SAC) and the Community Advisory Group (CAG). The CAG is composed exclusively of trial participants. Each elected CAG member represents a geographical area where the members hold monthly meetings with participants who work or live in the area. Quarterly CAG meetings are held to discuss issues in each geographical ward. The SAC includes a wide variety of stakeholders, including medical officers, local nongovernmental organizations (NGOs), community-based organizations (CBOs), faith-based organizations (FBOs), town council members, and the media. Four elected CAG members also sit on the SAC.  The DF2 trial staff at the CDC HIV Prevention and Research Clinic in Botswana formed a participant advisory group and a community advisory group, and partnered with local youth and HIV/AIDS organizations to solicit stakeholder input.

## General guidelines for materials production

Before drafting new materials, think about whether or not materials already exist that could be easily adapted for your target audiences. If so, work with other members of the research team and your advisory group(s) to translate them into the local language, ensure that pictures and illustrations are relevant to your setting, and to make any other necessary changes.

### Text

1. Choose a type style and size that is easy to read.
2. Use uppercase and lowercase letters and regular type.
3. Test the reading level.
4. Review repeatedly. (Review drafts with the research team first, to ensure technical accuracy, before reviewing them with advisory groups or other stakeholders.)

### Illustrations

1. Use appropriate colors (colors can have different meanings in different communities or cultures).
2. Use locally familiar images (i.e., activities, clothing, buildings) and symbols (i.e., crosses, arrows, symbols that represent time).
3. Use realistic and simple illustrations.
4. Use a positive approach.

### Design and Layout

1. Present one message per picture or illustration.
2. Limit the number of concepts and pages per material.
3. Make the material interactive whenever possible (i.e., include simple question and answer sections).
4. Leave plenty of white space.

Adapted from Zimmerman M, Lwin C, Chitiga R, Gumbath CK, Khabibula R, Hladik S, Wilson A, Phum P, Baw L, Suthi P. Developing material on HIV/AIDS/STIs for low-literate audiences. *AIDS (London, England)*. 2002;16(2):202-21. Available from: <http://www.pubmed.org/publication/2002/02/202/>

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Figuring out how to engage with stakeholders can sometimes seem like a daunting task. There are many ways in which you can engage with stakeholders, including mechanisms like CABs—community advisory boards. You might need to develop a range of materials to support your SE efforts. The Toolkit can provide some guidance in these areas. On the left are descriptions and examples of local stakeholder mechanisms that various HIV prevention trials have employed (see page 69). On the right, are step-by-step guidelines for producing various types of education and information materials (see page 80).

Throughout the Toolkit you will find practical resources to help you in the day-to-day engagement of stakeholders, such as the ones shown here from Step 6. This type of practical information is what sets the Toolkit apart from other stakeholder engagement resources. The Toolkit provides the case studies, examples and detailed explanations that bring the step-by-step recommendations to life.

Note: These resources can be found in the Toolkit on pages 69 and 80 respectively.

# 7

## *Develop Stakeholder Capacity*



The final step in the Toolkit—Step 7—walks you through how to develop the skills and attitudes necessary to sustain your relationships with stakeholders throughout the life of your research project and beyond.



## Step 7: Why you need to develop stakeholder capacity

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- A systematic approach to capacity building will make it much easier for you 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 information to their communities or constituencies

Step 7 focuses mainly on ensuring your stakeholders—including the study community, your trial participants, and your own research team—have the knowledge and skills to appropriately and effectively engage with the research and each other and provide accurate information about HIV and your research project.

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Note to presenters: Please take the time to lead your audience through the list outlined on the slide.

## Step 7: Why you need to develop stakeholder capacity (continued)

- 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

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Moreover, Step 7 will help your team to:

- Further combat any misperceptions that may exist;
- Foster a sense of collective ownership and investment in your research project; and
- Strengthen capacity at the local, national and international levels.

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Note to presenters: Please take the time to lead your audience through the list outlined on the slide.

## Step 7: Goals & Tasks

Goals	Tasks
Identify the capacity-building needs of your stakeholders	<ul style="list-style-type: none"> <li>Assess the capacity and knowledge gaps of your stakeholders</li> </ul>
Design, plan and facilitate capacity-building activities for stakeholders	<ul style="list-style-type: none"> <li>Plan capacity-building activities for:                             <ul style="list-style-type: none"> <li>Community advisory groups</li> <li>Trial participants, their families and their partners</li> <li>The local community</li> <li>Other stakeholder groups, including policymakers, advocates, traditional leaders, and program and service providers</li> <li>The research staff</li> </ul> </li> </ul>
Incorporate capacity-building activities into your engagement activities	
Assess what stakeholders learned	<ul style="list-style-type: none"> <li>Assess capacity</li> </ul>

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Step 7 covers how to:

- Identify the capacity building needs of your stakeholders by conducting a detailed needs assessment;
- Design and plan capacity building activities including trainings, workshops, community events, "update" meetings and staff trainings on stakeholder literacy;
- Capitalize on existing opportunities to engage in education and capacity-building such as clinic wait times, planned community events and local media; and
- Assess learning and collect feedback to ensure your activities met their aims.

The individual tasks outlined in Step 7 (shown in the column to the right) that correspond with the goals listed in to the left are discussed in greater detail in Step 7.

*As we saw earlier, the Quick Guide includes additional instructions for tasks in this step.*

## Step 7: Tools

### Tool 7F: Facilitating agreement

Adapted from Innovation Institute for Social Change (IISC) *Facilitative Leadership: Tapping the power of participation*. Training Curriculum Document, IISC, 2012.

**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 ( $18 \div 3 = 6$ ), 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

### 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?]

What's more, the Appendix for Step 7 offers a range of tools to help you work through these tasks and build the capacity of stakeholders. Here you can see two tools highlighted from Step 7, one that guides you through group decision making or as it's termed here, "facilitating agreement" (see [Tool 7F, page 183](#)) and another that provides a template for your team to begin to document the unique tools they find the most useful for engaging stakeholders (see [Tool 7I, page 188](#)).

*Note: Tool 7F: Facilitating agreement and Tool 7I: Template for documenting your own tools can be found in the Toolkit on pages 183 and 188 respectively. All Step 7 tools can be found in the Step 7 Appendix beginning on page 171.*

## Step 7 Highlight: Checklists

**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 meetings 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 meetings 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.

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As we mentioned at the beginning of Step 6, you will notice that Steps 6 and 7 have relatively long checklists. This reflects the extensive list of tasks required to engage with stakeholders and build their capacity. For this reason, you should take maximum advantage of the user-friendly checklist provided in the Toolkit to organize and track the progress of your SE activities.

In Step 7, the checklist ([see page 106](#)) will help you keep track of your efforts to: assess the current capacity of stakeholders; plan, develop and deliver capacity-building activities adapted to the needs of a range of stakeholders; and, assess and document your efforts.

Similar checklists appear in all the steps.

        
Note: Checklists are found on the last page of each step. This checklist can be found on page 106.

## Additional Resources

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- Resources specifically related to each step from the Toolkit
- Training resources related to:
  - Research ethics
  - Research literacy & HIV prevention research
  - Sexual and reproductive health and rights
  - Gender and gender based violence
  - HIV/AIDS
  - Facilitation

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At the end of the Toolkit you will find a section entitled *Additional Resources*. This section lists a range of resources including printed and online guidebooks, courses, reports, training curriculum and other toolkits. They are organized according to each step from the *Stakeholder Engagement Toolkit*.

In addition, there is a list of training resources on topics related to stakeholder engagement for HIV prevention trials, including:

- Research ethics;
- Research literacy & HIV prevention research;
- Sexual and reproductive health and rights;
- Gender and gender based violence;
- HIV/AIDS; and
- Training and Facilitation.

**Discussion question: Which, if any, of these additional resources have you used? Can you recommend other resources that are not included here?**

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Note: The Additional Resources can be found in the Toolkit beginning on page 190.

## Conclusion

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“Working with the churches, the local traditional healers [and] chiefs and...the mapping out of women’s groups...just constantly gave us input. It took a lot of time and investment but...it really paid off. When there were concerns in a community about the gel, about the research, about anything, we tended to be the first people that they contacted because they respected the fact that we took the time to go [to] them.”

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



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The authors designed this Toolkit to help your research team plan for stakeholder engagement through every stage of your research. It should help you document your plans, your accomplishments and the approaches that did or did not work in a particular setting. The Toolkit will make it easier for research teams in different contexts to compare their approaches and to identify the best practices that work across settings.

# Acknowledgements



<http://www.fhi360.org/resource/stakeholder-engagement-toolkit-hiv-prevention-trials>