

MODULE 1

HOW TO DO A SELF-ASSESSMENT, SET HEALTH GOALS, AND
DEVELOP ACTION PLANS

ACCOMPANIES THE 'MANAGING HEALTH AT THE WORKPLACE' GUIDEBOOK

MODULE 1: How to Do a Self-Assessment, Set Health Goals, and Develop Action Plans

How do you determine what your factory's health goals and improvement activities should be? And how can you manage these activities through short-term and long-term planning?

This module gives answers to those questions.

If you have never set goals or created plans for your health functions, this module will give you tools and suggestions for implementing a planning process that allows you to:

- **Set goals** based on common standards and accepted good practices
- **Assess** your factory's current activities
- **Determine short and long-term** priorities
- **Turn those priorities in a 3-month action plan** for quick improvement and **annual plans** continuous improvement

You may already have a process for developing action or annual plans. If so, you should apply the tools and suggestions below you find useful to your own planning processes.

The overall goal is for your factory to be able to manage its health activities in a more effective way AND help the health staff improve the quality of the clinic and their health activities.

The suggested Health Planning process involves **five steps**:

1. **Forming a health planning working group** that represents management, health staff and workers.
2. **Doing a self-assessment** – using the Scorecard tool as well as asking for input from workers and management.
3. **Prioritizing areas for immediate and longer-term action** based on the results of the self-assessment

4. **Developing and implementing a short-term action plan** for rapid implementation over 3-4 months.
5. **Developing and implementing an annual plan** for more systemic changes and continuous improvement.

Experience in companies with effective workplace health programs shows that it is important to *“think big, start small, act fast – one step at a time.”*

STEP 1: Form a Health Planning Working Group

You will need to name a Senior Manager from the business side who is responsible for the planning process and for health activities. The Senior Manager should put together a small or large “Health Planning Working Group” to implement an improvement process.

Who should participate in the Working Group?
It should include:

- At least one senior manager
- The factory health staff, and
- Worker and middle-management representatives from other parts of the factory.

The size of the Working Group should reflect the size of the factory. It is good to include a representatives from:

- Human resources, health and safety, finance, compliance, engineering, and line supervisors.

- Line workers and labor representatives

You may decide that the Working Group should be made up of members of the Health and Safety Committee. This is a good way to build its capacity of that group and ensure wide factory representation.

The Working Group's primary roles will be to:

1. Lead the self-assessment (Step 2).
2. Prioritize areas for immediate and longer-term action (Step 3).
3. Develop a short-term (3-month) action plan. (Step 4)

These roles also involve engaging the rest of the factory in its work and communicating about its activities and progress. This group may also help develop and implement an Annual Health Plan.

You may decide to have subgroups of the Working Group that are responsible for parts of the assessment or implementation activities.

STEP 2: Do a Self-Assessment

The Senior Manager and Working Group will set a short timeframe for completing the self-assessment, preferably within 2-3 weeks. You need to assign specific tasks to each member.

And at the end of the assessment period, the Working Group will meet as a whole to review the findings and come to a consensus on the overall assessment.

There are two parts to doing a self-assessment:

- **Using the Scorecard as a self-assessment tool** that provides good practice indicators for health services, factory management of health and corporate leadership.

Workplace Health Facility Guidelines and Management Benchmarks

SCORECARD

COLOR CODING

- All elements present and functional, no improvement needed
- Minor elements missing from indicator or non-functional, minor improvement needed
- Significant elements or items missing, major improvement needed
- Not enough information

LEVELS

- B Basic
- M Middle
- H Higher

HEALTH SERVICES

1. PHYSICAL FACILITY

BENCHMARK	LEVEL (B,M,H)	INDICATORS (ON RED THE INDICATORS BEYOND BASIC REQUIREMENTS)	RED/YELLOW/GREEN	NOTES
1.1 Cleanliness Health facility is kept clean	B	1.1.1 Soap and running water OR hand sanitizer are available for hand washing at the health facility		
	B	1.1.2 Dedicated cleaning materials and disinfectants are available for cleaning furniture and instruments		
	B	1.1.3 Waste receptacles are on site		
	B	1.1.4 Workspace is not dirty or messy		
	M	1.1.5 Hot water is available and easily accessible in facility		
1.2 Client/Provider Safety The facility does not expose clients or providers to health hazards	B	1.2.1 A dedicated disposal receptacle for hazardous materials, separate from general waste, is in facility		
	B	1.2.2 Separate container for disposing of needles is available		
	B	1.2.3 No expired medicines are on-site		
	M	1.2.4 Hazardous waste is disposed of by a hazardous waste service (private or public) provider		

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- **Engaging workers, supervisors and factory management** in the assessment by getting their input into health services, issues, and concerns.

You should make sure the self-assessment is a *factory-led process*. It is fine to have an external expert help with the assessment and give input and another perspective. However, you should NOT turn over the assessment to the expert alone.

The Working Group and the factory must own this process.

If you assign subgroups to do the different parts of the self-assessment, you should make sure the subgroups are representative.

Do NOT have only managers assess the Management and Leadership indicators or only the health staff alone assess the Health Services benchmarks.

Using the Scorecard.

The Scorecard is a set of suggested **standards** and good **health practices** that have been **adapted for factories**. It has three categories:

- **Health Services** (Clinic & Health Staff Practices)
- **Management Systems**
- **Corporate Leadership**

The Scorecard provides indicators for each of these categories to discuss and assess. Think of these as possible *Key Performance Indicators* for health. The Scorecard uses a simple scoring system:

- **Green** – All elements present and functional (no improvement needed)
- **Yellow** – Some elements missing for the indicator or non-functional (some improvement needed)
- **Red** – Significant elements or items missing (major improvement needed)
- **Back** – Not enough information or not applicable

Many indicators may not be applicable to your factory – at least immediately. But these may point to areas for longer-term improvement.

Before you start the self-assessment, the Working Group should discuss concerns about the assessment. Here are some key points for members and factory management to know:

1. The assessment is **NOT about compliance** and reporting. The Scorecard does NOT give you a grade. It is YOUR tool for identifying areas for improvement.
2. The Scorecard is only valuable as a tool if people using it do their best **to give a fair judgment** of how the factory performs on the indicators.

3. Expect to **find many yellow and red indicators**. These will determine many of the things you will want to improve.

Example of a Fair Scorecard Assessment

Let's say your factory has some education materials, but only for 2-3 health issues. The nurses are frequently running out of the materials.

And those posted on the wall are old and ripped. A fair self-assessment would be a **YELLOW** for indicators 2.4.1-3. That is, you do have some materials. But there are some challenges to supply, quality, and types.

You are not a **RED** for these indicators. But assessing yourself as a **green** because you have some materials would ignore the need to make important improvements to this area.

Engaging workers, supervisors and factory management.

The Scorecard gives you specific indicators to assess. Yet, you also need to talk to peers – workers, supervisors, senior management.

The information you learn from co-workers will inform the Working Group about health goals and priorities – to complement the Scorecard. Working Group members should ask their co-workers about health practices related to the Scorecard indicators, such as:

- Do they feel they are treated with respect by the health staff?
- How comfortable to they feel discussing personal information with the health staff?
- Does the clinic provide them privacy and confidentiality?
- Do they receive the kinds of health information they need?

You want to explore co-workers experience with health services and staff, their health needs, concerns and challenges AND their ideas for improvement.

STEP 3: Prioritizing Areas for Immediate and Longer Term Action

Once the Working Group has come to consensus about the final assessment based on the Scorecard and discussions with co-workers, it needs to decide what to do.

The Working Group should meet as a whole to discuss and rank your priorities for action using your final assessment. It should make a list of areas or indicators for improvement based on:

- ☐ All the YELLOW and RED indicators
- ☐ All suggestions for improvement from co-workers

Tool 1 below may be useful for organizing this activity. It has you rank the improvement areas by placing them in the following categories:

- Areas/Indicators for immediate action – These will go into the 3-month action plan for the Working Group to implement.
- Areas/Indicators for long-term action – These will go into a 12-month annual plan
- Areas/Indicators that are cannot be addressed in the next year or so but need action in 2-3 years.
- Areas/Indicators that are not (currently) applicable and are unlikely to be considered in the next 2-3 years

This activity will help you quickly sort your assessment findings. But the Working Group still needs to prioritize those areas or indicators for immediate action as part of developing a 3-Month Action Plan.

Members may end up identifying many areas for improvement that can be completed in

three months. But it cannot do all of them at the same time.

They should prioritize the areas for immediate action using these four principles:

1. **Include all YELLOW/RED health indicators that protect worker health.** For instance, if the infirmary stocks old or poor quality medicines or dangerous medical waste (needles) is not disposed of properly, these need to be fixed immediately.
2. **Find quick wins that can be easily implemented.** It is important for any process to show momentum and build support around visible, desired changes.
3. **Prioritize suggestions, if doable, from workers or management.**
4. **Include a short-term priorities for Management Systems and Corporate Leadership – not just Health Services.** It is easy to prioritize only health services indicators. These area will likely be the focus of much action, but it should not be the only area.

The areas for improvement that do not make the list for immediate action should be put into the list for the Annual Plan.

STEP 4: Develop and Implement a 3-Month Action Plan

You should put the key information from your self-assessment and prioritization into a clear Action Plan format that defines:

- The tasks required
- Start and finish dates
- Person responsible for & persons engaged in completing the task
- Resources/support needed
- Timetable for progress reviews

See **Tool 2** for an Action Plan template. If you already use a planning tool, then you should use your own tool.

Developing the Action Plan

The Working Group should jointly develop the draft plan and determine the tasks to be done. The Senior Manager should make sure these are in the plan:

- A list all the tasks and subtasks (or steps) that need to be completed, not just major actions.
- Clear start and finish dates for the completion tasks and subtasks as well as the Action Plan
- A person responsible for the completion of each task as well as the people who will engaged in the task.
- A realistic set of goals and activities that you can achieve in 3 months.
- Adequate Resources and Support needed to succeed, including clear approval from a supervisors or senior management.

The draft plan it should also be shared widely so that senior management, line supervisors, and workers so that everyone can provided feedback and knows what is in it and who is responsible. Then Corporate Leadership needs to approve the plan and authorize its implementation.

The final plan should be written down if not inputted a project management program such as Excel.

Implementing a 3-Month Action Plan.

You will successfully implement the action plan if the Working Group puts in place a regular process for review of progress and problem solving. The Senior Manager for health should also meet regularly with those individuals who are responsible for specific tasks to make sure they have the support they need.

It is recommended that during the Action Plan implementation you:

- Hold regular Working Group meetings every two weeks to track progress and address challenges.
- Communicate regularly on the Action Plan with workers, line supervisors and senior management in the factory:
 - ☐ Inform them of planned activities.
 - ☐ Seek feedback and suggestions.
 - ☐ Report on progress and success.
- Take notes on all the areas of improvement, and
- Celebrate during the process on completed tasks and improvements and recognize working group members for their successes.

At the end of the three months, the Work Group should meet to assess its performance in implementing the Action Plan: *What was successful? What areas need more work? What did the group learn during the process for future plans?*

Case Study

Workers and supervisors can be partners in supporting better health practices. A factory that implemented new health practices had engaged workers and supervisors in the improvement process say this in action during a meeting of its Performance Improvement Coordinating Committee (PICC). A worker complained that one of the nurses did not treat her with respect when she requested a sanitary napkin. After much discussion and debate with the infirmiry manager, the PICC decided to determine the truth. A worker was sent to observe the behavior of the nurse to this worker and confirmed the complaint. The manager of the infirmiry reprimanded the nurse and trained her on friendly and respectful provision of service.

The Senior Manager, with members of the working group, should report to senior leadership on the outcome of the Action Plan. They should also provide suggestions for next steps.

It is very important the senior management celebrate the successes achieved, highlight the improvements and recognize publicly the working group members for their work.

STEP 5: Develop and Implement an Annual Plan

The Action Plan should naturally lead into the development of **an Annual Plan**. You may want to change the make-up of the Health Planning Working Group based on the lessons learned from the Action Planning Process as well as the performance of its members.

The Working Group for the Annual Plan may new or different members.

The 3-Month Action Plan is about quick wins and rapid action. The Annual Health Plan is about longer-term improvements and changes.

The Annual Plan also serves as the primary tool for you to:

- Manage health staff and clinic functions,
- Set factory health priorities and goals,
- Drive improvement based in performance indicators, and
- Hold people accountable and reward performance

Developing an Annual Plan

Your first Health Annual Plan should be based on the **Scorecard self-assessment**, priority areas for longer-term improvement identified by the Working Group and unfinished activities in the Action Plan.

The Senior Manager, health staff and other members of the Working Group should come together to create the Annual plan. This Working Group should:

- **Set a deadline** for drafting the plan – preferably within a month.
- Organize the Annual Plan around the three Scorecard categories for improvement: **Health Services, Management Systems and Corporate Leadership**.
- Create **measurable targets** for each plan activity or goals as these should become key performance indicators for health in the factory.
- **Get input from workers and management** on the plan goals and indicators.
- **Put the plan into a project management program** for monitoring and follow up.

Tool 3 provides an Annual Template. The key is to **set a deadline** for each indicator within a specific time frame (quarter, month or year). Otherwise you cannot check progress. You can always reset the timelines and target numbers as needed to reach your goal.

The **Scorecard indicators** should form the core of the factory's Key Performance Indicators (KPIs) for health services in the Annual Plan.

The value of the Scorecard goes beyond self-assessment. Scorecard can help educate the health staff, management and workers on what constitutes good health practices and procedures. This knowledge, in turn, helps build factory-wide support for improvements. (See Case Study)

Implementing the Annual Plan.

You will implement the Annual Plan by reviewing the plan regularly with the health team and others given responsibility for meeting the goals.

The Senior Manager for Health should have the overall responsibility for managing the Annual Plan.

This includes:

- Establishing regular meetings with the health staff, management, and others to determine progress on the plan, address challenges.
- Putting the health goals and priorities into job descriptions and performance reviews of health staff.
- Creating a health planning process so that a new annual plan is developed each year based on review of the current plan, a new self-assessment, and prioritization of new goals.

- Communicating with co-workers regularly about the Annual Plan goals and seeking feedback.

The plan may also be revised during the year based on progress and challenges and emerging health needs in the factory.

It is a good idea to do a self-assessment once a year to give an objective view of progress. From time to time, you may want to have an outside health expert to use the tool and his or her expertise to provide an external perspective on your progress as well as on the skills of your health staff.

Revisions to the Annual Plan should be guided by health and other information you collect from health services and outreach. See Module 6 *How to Collect, Analyze and Use Data*.

TOOL 1: PRIORTIZATION WORKSHEET

Priorities (Indicators/ Actions Needed)	Short Term (3 Months)	Long Term (12 Months)	Future Considerations	Not Applicable Currently
	1. Health Services	1. Health Services	1. Health Services	1. Health Services
	2. Management Systems	2. Management Systems	2. Management Systems	2. Management Systems
	3. Corporate Leadership	3. Corporate Leadership	3. Corporate Leadership	3. Corporate Leadership

TOOL 2: ACTION PLAN TEMPLATE

[illegible]

TOOL 3: ANNUAL PLAN TEMPLATE

[illegible]

This module was designed and produced through funding from the Levi Strauss Foundation as well as technical assistance on content and development by the Evidence Project (Meridian Group International, Inc.) under its USAID contract.

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