

WHO FCTC Article 5 Resources

National Strategy, Planning and Coordination

March, 2021



*Empowered lives.
Resilient nations.*

Overview

Article 5.1 Toolkit: National Tobacco Control Strategies

Article 5.2A Toolkit: National Coordinating Mechanisms for Tobacco Control

Article 5 roadmaps overview



FCTC
WHO FRAMEWORK CONVENTION
ON TOBACCO CONTROL



Empowered lives.
Resilient nations.

Article 5.1

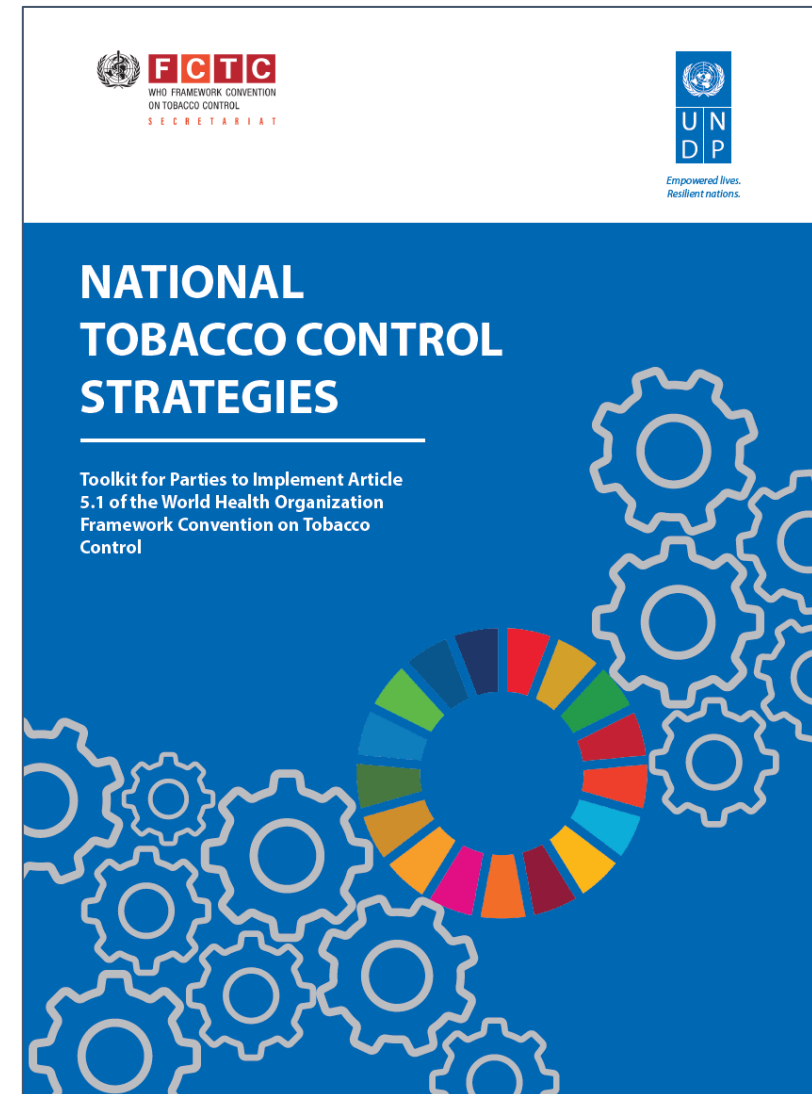
WHO FRAMEWORK
CONVENTION ON
TOBACCO CONTROL

WHO FCTC Article 5.1)

*“Each Party shall develop, implement, periodically update and review **comprehensive multisectoral national tobacco control strategies, plans and programmes** in accordance with this Convention and the protocols to which it is a Party.”*

Art 5.1 Toolkit – Strategy and planning

- Establish a national, multi-sectoral strategy that identifies:
 - a) National priorities (goals and objectives) in tobacco control;
 - b) Strategies and activities to achieve national priorities;
 - c) Responsible actors for implementing strategies and activities;
 - d) Costs for implementation and potential sources of funding.



Article 5.1 Toolkit

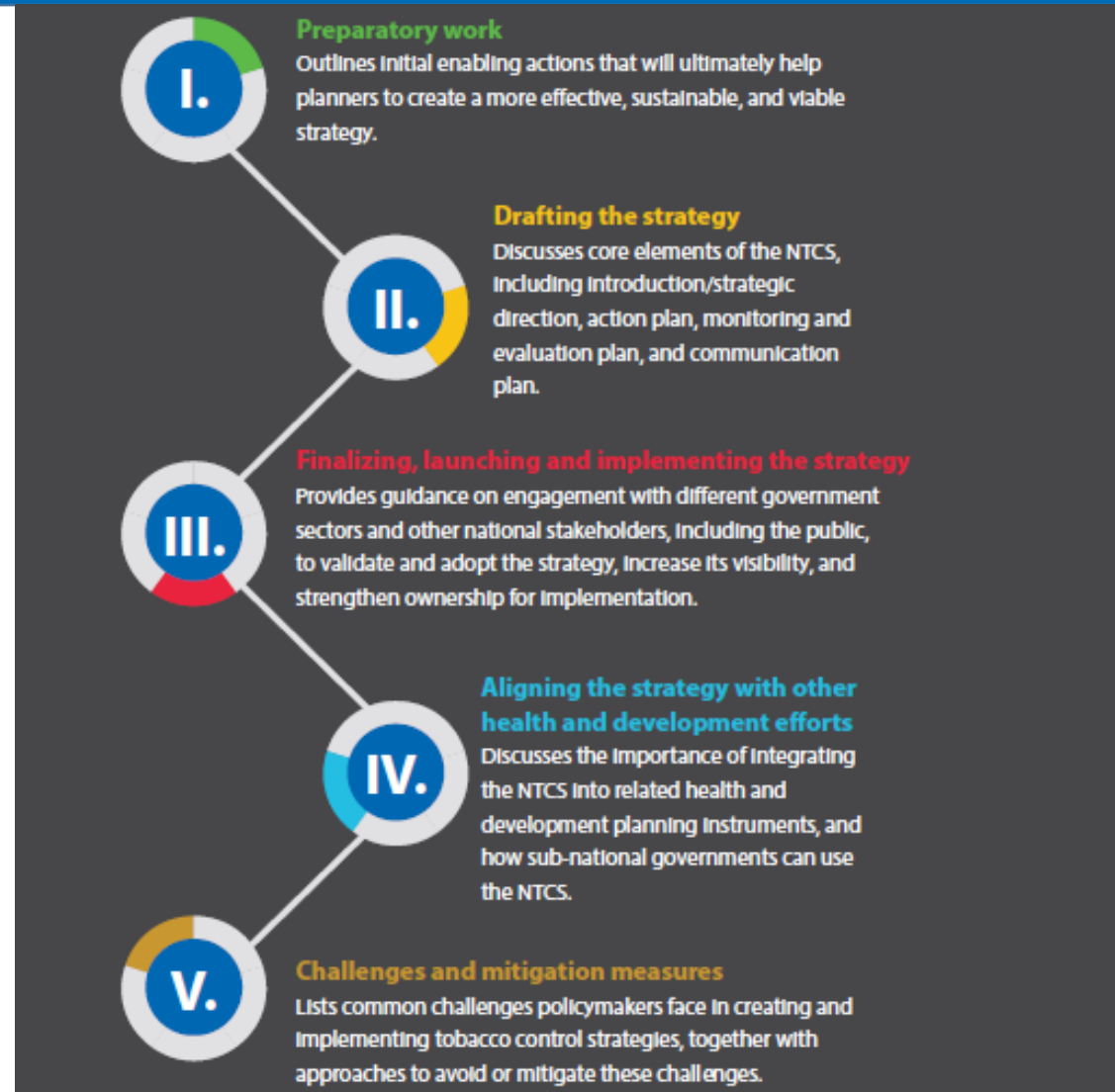
1. Preparatory Work

2. Drafting the Strategy

3. Finalizing, launching and implementing the strategy

4. Aligning the strategy with other health and development efforts

5. Challenges and mitigation measures



1. Preparatory work



Preparatory work

Outlines initial enabling actions that will ultimately help planners to create a more effective, sustainable, and viable strategy.

The National Coordinating Mechanism (NCM), National tobacco control team, or MOH commits to overseeing the process and:

- 1) Conducts or updates a situation analysis
- 2) Creates a process proposal for creating the national strategy
- 3) Reinforces high-level support
- 4) Convenes an initial multi-sectoral strategy meeting



FCTC
WHO FRAMEWORK CONVENTION
ON TOBACCO CONTROL

PAHO

Pan American Health Organization
World Health Organization
Americas



Empowered lives.
Resilient nations.

2. Drafting the strategy : Strategy checklist



Drafting the strategy

Discusses core elements of the NTCS, including Introduction/strategic direction, action plan, monitoring and evaluation plan, and communication plan.

- **Introduction and Strategic Direction**
 - Provide rationale for tobacco control and conceptual & strategic frameworks for the strategy;
 - Identify goals, objectives and targets of the strategy.
- **Action Plan**
 - Identify strategies, activities and related outputs/milestones;
 - Identify responsible entities, timelines and required resources for each activity and output.
- **Monitoring and Evaluation Plan (Outcome and Process Evaluations)**
 - Establish targets and indicators for each objective (outcome evaluation);
 - Establish outputs, milestones and indicators for activities (process evaluation);
 - Identify suitable data collection/surveillance mechanisms;
 - Designate entities responsible for M&E activities, timelines and outputs, and identify required resources;
 - Plan how findings will be used and follow-up on M&E findings.
- **Communication Plan**
 - Plan strategic communications for launch and during strategy implementation;
 - Identify communication activities including objectives, main target audiences, communication channels and materials;
 - Outline outputs, responsible entities, timelines and required resources for each communication activity.



Example of action plan from Madagascar's national tobacco control strategy

Strategy 5: Protection of the population and vulnerable people from second hand smoke (Art 8) using appropriate means in all public and private infrastructure.

Activities	Outputs or milestones	Responsible	Period	'19	'20	'21	'22	'23
5.1 Conduct follow-up and evaluation surveys on the implementation of Article 8	Study report available on the application of Order 29511	OFNALAT/CCOLAT	Semester 1	X				
5.2 Update regulatory texts on section 8	Article 8 updated	OFNALAT	Semester 1	X				
5.3 Elaborate IEC materials (Art 8) on the prohibition of smoking and sales to and by minors	Communication media produced in transport and public places and workplaces	OFNALAT	Semester 1	X				
5.4 Raise awareness of regulations among the population and those responsible for public and private places	Regulations are widely disseminated	OFNALAT /CCOLAT	Semesters 1 and 2	X				
	Those responsible for public and private places are sensitized	OFNALAT/CCOLAT	Semesters 1 and 2		X	X	X	X
5.5 Conduct training and strengthen enforcement of regulations	Enforcement officials are trained	OFNALAT/CCOLAT	Semester 1	X				
	Enforcement operations conducted three times per year	OFNALAT/CCOLAT	Three times per year		X	X	X	X

3. Launching and implementing the national strategy



Finalizing, launching and implementing the strategy

Provides guidance on engagement with different government sectors and other national stakeholders, including the public, to validate and adopt the strategy, increase its visibility, and strengthen ownership for implementation.

- 1) Consultation among stakeholders and validation of the strategy;
 - a) Broad inclusion to solicit feedback and input;
 - b) Revise strategy, taking note of suggestions that were not included;
 - c) Agree with stakeholders to implement and on next steps.
- 2) Formal recognition of the national strategy, granting it formal status;
- 3) Integrate into sectoral workplans and set up necessary partnerships;
- 4) Establish NCM to coordinate, if NCM does not exist.



Additional considerations

4. Aligning the strategy

- 1) Integration into non-health sector strategies and plans
- 2) Inclusion into SDG planning and financing frameworks (national development plans, poverty reduction strategy papers, UNDAFs)
- 3) Local level action plans – subnational authorities well placed to implement and enforce tobacco control

5. Challenges and mitigation measures

- 4) Assessment of risks and mitigation measures.



Article 5.1 Toolkit Toolbox

- **Tool A1. Draft letter to the executive branch**
- **Tool A2. Guiding questions for the situation analysis**
- **Tool A3. Guiding questions to assess implementation of core WHO FCTC measures**
- **Tool A4. Sample process proposal**
- **Tool A5. Key entities and their roles in tobacco control**
- **Tool A6. Invitation letter to an initial multisectoral strategy meeting**
- **Tool A7. Sample agenda for initial strategy meeting**
- **Tool A8. Key messages and evidence for engagement of 'non-health' sectors and stakeholders**

Toolkit A



Tools for preparatory work

Toolkit B



Tools for drafting

- **Tool B1. Strategy planning template**
- **Tool B2. Action plan template**
- **Tool B3. Potential work areas and activities for the NTCS**
- **Tool B4. Process M&E template**
- **Tool B5. Outcome evaluation template**
- **Tool B6. Sample M&E indicators**
- **Tool B7. M&E plan draft language**
- **Tool B8. Communication plan template**



Article 5.1 National Tobacco Control Strategy

Action	Inputs	Description	Tool			
				March	April	May
STEP NO. 1						
PREPARATORY WORK TO DRAFTING THE STRATEGY						
Step 1.1: Designate the NCM/officials to oversee the process, and reinforce highlevel support:	Draft lettter to the executive branch.	NCM chair or health minister to designate Secretariat and tobacco control focal point to oversee the NTCS development process. If there is no NCM, officials within the ministry and/or among the national tobacco control unit to oversee the process. MoH or NCM should request the executive branch to mandate the work and invite other appropriate sectors to contribute to the strategy's formulation.	Tool A1			
Step 1.2. Conduct or update a national situation analysis	WHO FCTC needs assessments, tobacco surveys (GATS, GYTS, STEPS), legislative review	Conduct or update a situation analysis that assesses: 1) the nature of the tobacco epidemic; 2) the state of current tobacco control measures; 3) opportunities and challenges in tobacco control; 4) the public's knowledge, opinions, beliefs and attitudes with respect to tobacco control. Can be based on a WHO FCTC need assessment	Tool A2, A3			
Step 1.3: Create a process proposal	N/A	Create a process proposal which: <ul style="list-style-type: none"> • Identifies which stakeholders to include and how; • Proposes timelines for completion of milestone deliverables and the final strategy; • Proposes how to coordinate the process and draft the strategy; • Includes an intention to request the executive branch and/or Minister of Health to invite key stakeholders to a multisectoral retreat and/or to formally establish a multisectoral committee as appropriate. 	Tool A4			
Step 1.4 (optional, can also be merged with step 2.1): Convene initial multisectoral strategy meeting to validate process to draft the NTCS and obtain comittment from different sectors.	Invitation letters, sectoral briefs, agenda.	Meeting to aim to increase buy-in from different sectors for tobacco control, and to agree among sectors on the process of establishing the NTCS including strategy committee, working group and/or other coordinating arrangements.	Tool A5, A6, A7, A8			
OPTIONAL: Meeting of the strategy drafting committee and or NCM to introduce/sensitize and validate process proposal						



Article 5.2a

WHO FRAMEWORK
CONVENTION ON
TOBACCO CONTROL

WHO FCTC Article 5.2a)

“Towards this end, each Party shall, in accordance with its capabilities: establish or reinforce and finance a national coordinating mechanism or focal points for tobacco control.”

WHO FCTC Secretariat and UNDP Article 5.2a Toolkit

Establish a national coordinating mechanism to :

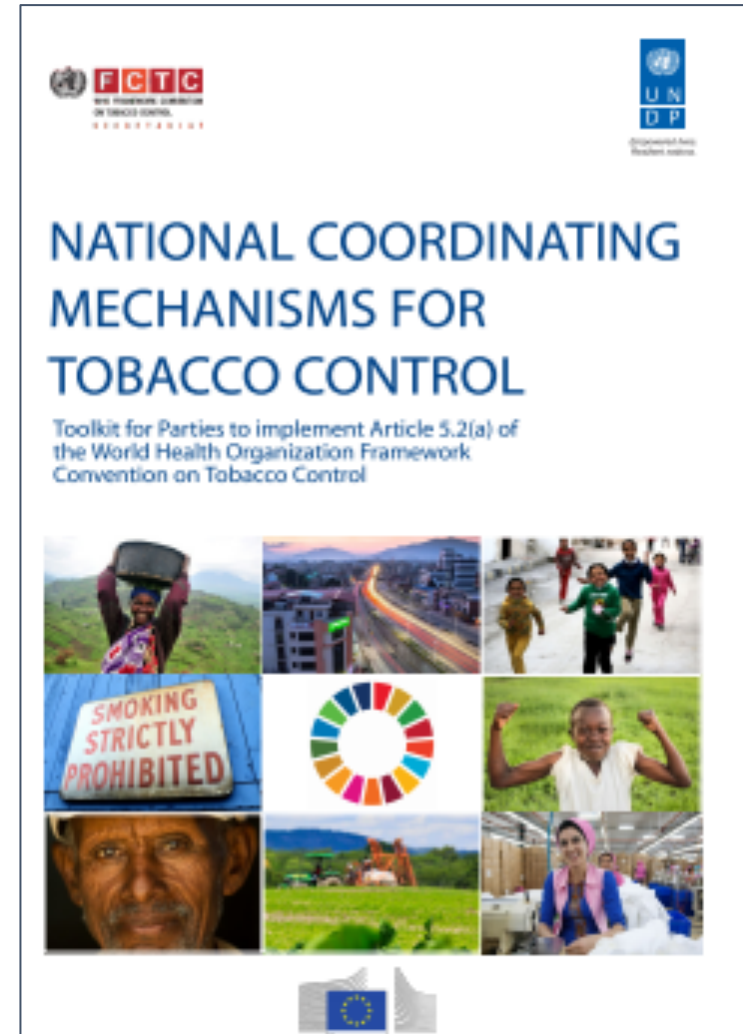
coordinate multisectoral tobacco control responses

and

achieve national tobacco control priorities

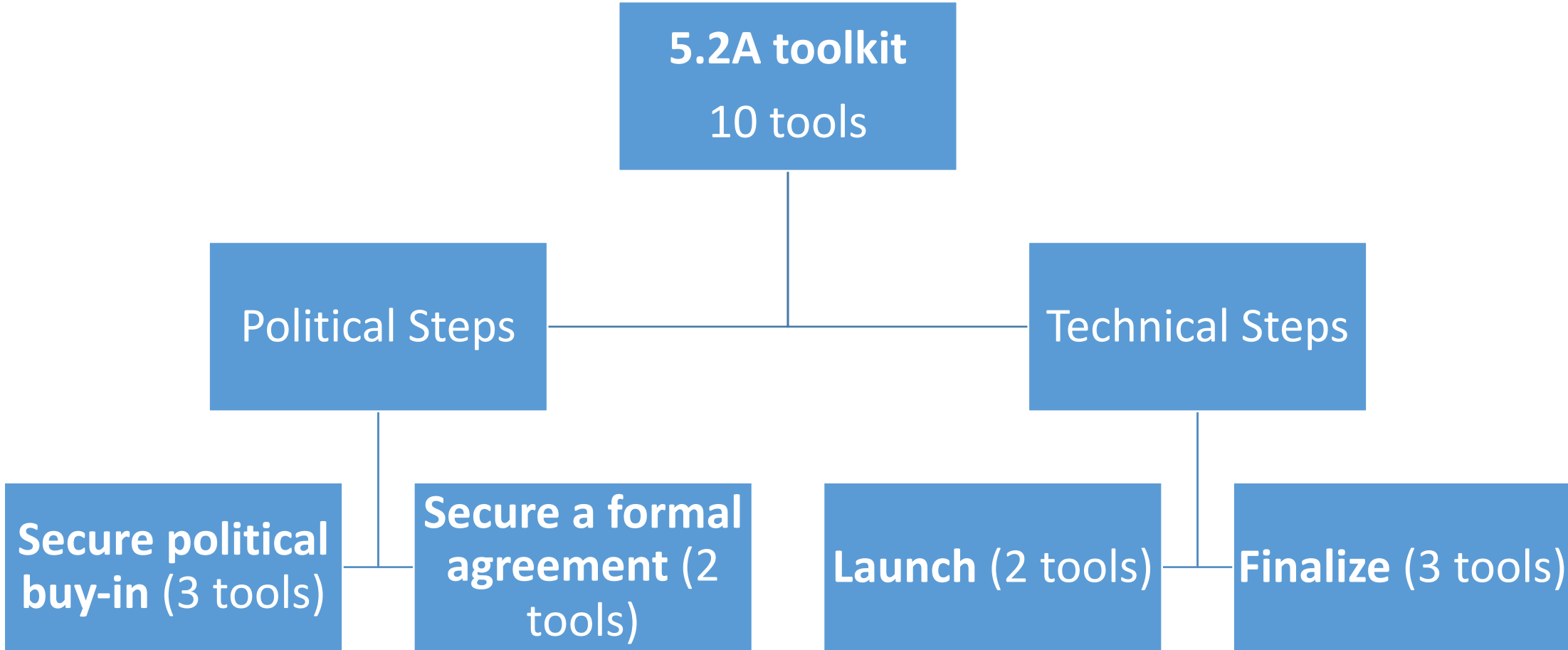


FCTC
WHO FRAMEWORK CONVENTION
ON TOBACCO CONTROL



Empowered lives.
Resilient nations.

Structure of the toolkit



Steps 1 and 2: Political

STEPS	TOOLS
Step 1. Secure POLITICAL BUY-IN for a coordinated tobacco control response.	<ol style="list-style-type: none">1. <u>Guidelines for conducting a rapid/general tobacco control situation analysis</u>2. <u>Stakeholder-specific arguments for tobacco control</u>3. <u>Entities to consider for inclusion on the NCM, and their potential roles and responsibilities</u>
Step 2. Develop and secure a FORMAL AGREEMENT on a national multisectoral response.	<ol style="list-style-type: none">4. <u>Options for establishing or strengthening the NCM, including sample legislation, a sample decree and a sample letter to the executive branch</u>5. <u>Model Terms of Reference for the NCM, NCM representatives, NCM Secretariat, tobacco control focal point, and NCM chair / president</u>

Steps 3 and 4: Technical

STEPS	TOOLS
Step 3. Establish and LAUNCH a mechanism to bring a range of stakeholders to the table.	<ol style="list-style-type: none">6. <u>Draft invitation letter</u> to convene an initial NCM meeting7. <u>Sample agendas</u> for the initial and second meeting of the NCM
Step 4. FINALIZE all aspects the NCM and ENSURE accountability from representatives and the NCM.	<ol style="list-style-type: none">8. <u>Sample rules of procedure</u>9. <u>Sample initial workplan</u> for the NCM, including transparency, accountability and reporting10. <u>Model code of conduct</u> for NCM members

Key messages for engaging non-health sectors

From tool 2: Stakeholder-specific arguments for tobacco control

Tax and revenue

“Raising taxes on tobacco products increases tax revenue and reduces the burden of tobacco. Hundreds of studies show: Raising tobacco taxes is the most effective and cost-effective measure for reducing tobacco use.”

- In Thailand, the Asian Development Bank estimates that 60 percent of the deaths averted from a 50 percent tobacco price increase would be in the poorest third of the population, who would pay just 6 percent of the increased taxes.
- A 2017 WHO and UNDP joint report finds that the total annual economic cost of tobacco use to China in 2014 was USD 57 billion, a 1,000 percent increase from the year 2000. By increasing the retail price of cigarettes by 50 percent (and sustaining future price increases), China would avert 20 million premature deaths and 8 million cases of impoverishment over 50 years – while generating an additional USD 66 billion in tax revenue annually.
- Between 1993 and 2009, South Africa increased total taxes on cigarettes from 32 percent to 52 percent of the retail price, experiencing sizable reductions in tobacco use and also a nine-fold increase in government tax revenues.
- The Philippines generated USD 3.9 billion in incremental excise tax revenues during the first three years of its Sin Tax Reform Law, with 80 percent of these revenues from the law’s tobacco component.



Key messages for engaging non-health sectors

Environment

“Tobacco consumption and production cause severe and often irreversible damage to our national resources. One must consider the entire ‘environmental life cycle’, which releases tons of waste and chemical into our water, air and soil. Tobacco control limits environmental harm, while preserving our natural resources.”

- Tobacco farming causes up to 5 percent of global deforestation, with 200,000 hectares of natural woody biomass loss each year and LMICs burdened significantly.
- Tobacco growing “may be up to 10 times more aggressive” than all other factors in deforestation (e.g. maize farming) combined. In Bangladesh, 30 percent of deforestation is related to tobacco manufacturing.
- In Zimbabwe and the Philippines, curing has been reported as the leading usage for indigenous wood in rural areas.
- According to the 2015 International Coastal Clean-up Report, cigarette butts are the most common single debris item collected, representing 15 percent of the total pieces of debris collected worldwide.
- Arsenic, lead, nicotine and ethyl phenol are leached from discarded butts into aquatic environments and soil, with not yet quantified implications for the quality of drinking water.
- Among the pesticides used in tobacco growing is chloropicrin, a lung-damaging agent that was used as a tear gas in World War I and is toxic to fish and other organisms.



Examples of tools

- Tool 5: Model Terms of Reference for the National Coordinating Mechanism

General ToR for a national Level NCM

1. Provide **political leadership and guidance** to relevant sectors for tobacco control and implementation of the WHO FCTC.
2. Enhance and facilitate the **integration of tobacco control in the policies and programmes** of relevant ministries and government agencies, and **coordinate technical assistance** for mainstreaming tobacco control in the work of relevant sectors at the national and subnational levels.
3. Provide a **dynamic platform for dialogue, stocktaking and agenda-setting**, and development of public policies for tobacco control.
4. Facilitate **development, resourcing, monitoring and oversight of the multisectoral action plan** on tobacco control, and monitor the implementation of the action plan.
5. Report on **intergovernmental commitments** pertaining to tobacco control.
6. Monitor the **implementation of WHO FCTC Article 5.3** on protection of national tobacco control policies from commercial and other vested interests of the tobacco industry.

Adapted from WHO, 2015. Approaches to Establishing Country-Level Multisectoral Coordination Mechanisms for the Prevention and Control of Noncommunicable Diseases. WHO Regional Office for South-East Asia.



FCTC
WHO FRAMEWORK CONVENTION
ON TOBACCO CONTROL



Empowered lives.
Resilient nations.

Article 5.2A National Coordinating Mechanisms for Tobacco Control

Output	Description	Tool	Calendar				
			March	April	May	June	
STEP No. 1							
ENSURE POLITICAL SUPPORT FOR A COORDINATED RESPONSE TO TOBACCO CONTROL							
Output 1.1: Information brief	Easy-to-read document that includes data on tobacco consumption patterns, data from the investment case study, including the burden of diseases attributable to tobacco and their socioeconomic costs. May include information on other forms of tobacco (e.g. snuff), sociodemographic characteristics relevant to tobacco control, etc.	Tool No. 1					
Output 1.2: Situation analysis	Update or short & rapid version of a comprehensive needs assessment report. It should consist of at least 3 sections that address 1) gaps in legislation, policies, programs and activities; 2) gaps in the implementation of legislation; 3) gaps in response to other planning and strategy instruments, including National Development Plans, United Nations Cooperation Frameworks, national health strategies, etc.						
Output 1.3: Stakeholder mapping	The analysis should contain information that includes data on: a. attitudes and contributions within the executive branch, ministries and legislative branch; b. role of the tobacco industry; c. role of professional associations, NGOs consumer groups, etc; d. Knowledge, opinions and beliefs and attitudes of the general population.						
Output 1.4: Stakeholder-specific arguments for tobacco control	Adapt the arguments of Table No. 2 of the Toolbox to the specific context (p.18). Information under output 1.1 can be taken as a basis.	Tool No. 2, Table No. 2					
Output 1.5: Selection of entities for inclusion on the NCM	To adapt, based on the information of the mapping of actors, Table No. 3 of the Toolbox and identify, in addition, possible functions of each in the NCM.	Tool No. 3, Table No. 3					

STEP No. 2

DEVELOP AND SECURE A FORMAL AGREEMENT ON A NATIONAL MULTISECTORAL RESPONSE

Output 1.6: Draft legislation	For this product it is necessary to have a discussion to choose the best possible way: to approve a						
-------------------------------	---	--	--	--	--	--	--



Access to Toolkits

Toolkits available online in English and will become available in Spanish

Links:

[5.1\) National Tobacco Control Strategies](#)

[5.2a\) National Coordinating Mechanisms for Tobacco Control](#)



FCTC
WHO FRAMEWORK CONVENTION
ON TOBACCO CONTROL

PAHO
Pan American
Health Organization
World Health Organization
Americas



Empowered lives.
Resilient nations.

Thank you



*Empowered lives.
Resilient nations.*

Tool B1. Strategy planning template

Goal(s)	Objectives	Indicators	Baseline	Targets

Objectives should be SMART -- Specific, Measurable, Attainable, Relevant and Time-bound

Examples of tools

Tool A5: Key entities and their roles in tobacco control

Ministry of Foreign Affairs

Article 2: Relationship between this Convention and other agreements and legal instruments

Article 20: Research, surveillance and exchange of information

Article 21: Reporting and exchange of information

Article 22: Cooperation in the scientific, technical, and legal fields and provision of related expertise

Potential role

- Monitor and provide information on bilateral and multilateral agreements affecting tobacco control
- Facilitate ratification of the WHO FCTC and its Protocols
- Provide support for compliance with requirements of the WHO FCTC and its Protocols, including regular reporting
- Participate in and endorse the national contributions of the WHO FCTC Conference of the Parties meetings



Tool B4. Process M&E template

For each activity under the action plan:

Strategy 1.						
Activity	Main outputs and or milestones	Indicators or criteria of success	Baseline	Target	Timeline	Responsible
1.1						
1.2						
1.3						
1.4						
Strategy 2.						
Activity	Main outputs and or milestones	Indicators or criteria of success	Baseline	Target	Timeline	Responsible
2.1						
2.2						
2.3						
2.4						

Tool B6. Sample M&E indicators

Input indicators:

- Expenses for staff, supplies, media, etc.;
- Resources allocated;
- Number of trained staff.

Activity indicators:

- Accessibility of services and facilities;
- Geographic coverage of prevention/control activities;
- Socio-demographic information of people reached;
- Whether activities are being implemented on time.

Output indicators:

- Number of advocacy campaigns conducted during the year;
- Number of health education programmes implemented during the year;
- Number of schools declared "tobacco free";
- Public places designated "tobacco free";
- Actions taken against tobacco advertisement;
- Actions taken to reduce tobacco production and sale;
- Number of tobacco shops licensed;
- Amount of cigarettes produced during the year;
- Amount of tobacco tax increased;
- Training given to health care providers and school teachers;
- Surveys and research conducted;
- Number of tobacco cessation sites/clinics.

Tool B6. Sample M&E indicators

Accountability indicators:

- Number of management/coordination meetings held;
- Attendance at management/coordination meetings;
- Number of decisions made by the management/coordination body;
- Number and effectiveness of follow-up actions on evaluation findings;
- Amount of funding allocated to programmes and activities;
- Number of assistance requests received and processed by the coordinating body.

Key performance indicators:

- Percentage of NTCS objectives achieved;
- Percentage of activities on track in accordance with agreed timeline/milestones;
- Percentage of outputs completed on time;
- Percentage of monitoring and evaluation reporting requirements met;
- Percentage of programmes funded and implemented;
- Number of sectors actively engaged and following through on commitments.

Tool B6. Sample M&E indicators

Sample outcome evaluation indicators

- Prevalence of tobacco use, disaggregated by age, gender and tobacco product type;
- Exposure to tobacco smoke;
- Tobacco-related mortality and morbidity;
- Tobacco-related costs;
- Supply of tobacco and tobacco products (production, imports, exports, duty-free sales);
- Seizures of illicit tobacco products;
- Number of workers employed in tobacco growing.

Tool B7. M&E plan draft language

Process monitoring and evaluation

The process monitoring and evaluation of tobacco control activities under the action plan will be carried out at all levels of administration as required, with [the NCM SECRETARIAT or the NATIONAL TOBACCO CONTROL TEAM] leading administration/coordination. Support will be sought from [INSERT LOCAL AUTHORITY(S) NAME(S)] from regional governments to monitor and collect data at the local level. Table X lists indicators for all action plan strategies which are to be continually monitored by responsible authorities also listed under Table X.

..... continues

Impact monitoring and evaluation

The NCM Secretariat will lead a comprehensive evaluation of NTCS impact every two years, coinciding with the biennial National Health Survey. To complement data collected under the National Health Survey, the MoH - working with the NCM Secretariat, academic institutions and other national and/or international partners and organisations as required - will conduct the International Tobacco Control Survey every two years. Table X lists all indicators for which data will be collected and evaluated against desired targets also listed in Table X.

..continues

