ARQ Non-Intervention Questionnaire

Purpose
The purpose of the ARQ ni is to focus on facility (or subunit) characteristics and expenditures, with specific reference to interventions to allow proper attribution of costs to the intervention(s) we are interested in.

Half of the forms in ARQni focus on facility characteristics such as environment, characteristics, and policies. The other half focuses on expenditures, for the facility and for the intervention(s).

Data Collection Approach
In general, wherever possible you want to rely on written records. These may be formal summaries or reports, or raw records like log sheets. A number of questions in this instrument require data for each of the 12 months (or 4 quarters) in the most recent completed fiscal year. If records are unavailable, ask for the respondent's best estimate. A few open-ended questions do not require reference to records. Otherwise, the preference on written records is for all questions.

In the “Data Sources” fields, note the source of data, using the system described elsewhere in the manual.

The remainder of this manual section is organized to parallel the organization of the ARQni instrument:

Section 1. Characteristics of facility and the environment
Section 2. Institutions and governance
Section 3a: Inputs – Buildings/physical plant and general quality
Section 3b: Inputs – Personnel roster
Section 3c. Inputs – Personnel turnover
Section 3d. Inputs – Capital goods, equipment
Section 3e. Inputs – Recurrent expenses, goods.
Section 3f. Inputs – Recurrent expenses, services.
Section 4. Financing
Section 5a. Inputs – Facility expenditures
Section 5b. Outputs – Facility non-intervention
Section 1. Characteristics of facility and the environment

This section asks about the history and organization of the facility, what it does, and the environment in which it operates. This information will be used to understand the structure of the facility’s operation, and the demand for its services.

1. Type of facility.
   - **Format:** Drop down menu
     - Clinic
     - Storefront
     - Mobile van
     - Office
     - Other __________________________
   - **Purpose:** This refers to the location where the services are delivered.
   - **Reasonable answers:** Select one of the answer choices given, or select “Other” and explain in the open field.
   - **Unreasonable answers:** An answer that does not appear to represent a way to base or deliver services.

   **Note:** If more than one location is used (e.g., clinic and mobile van), mark the primary location and note other locations in the comments field.

2. Type of institution.
   - **Format:** Drop down menu
     - Government/
     - Church or Charity based organization
     - Other non-profit NGO
     - Private, for-profit facility
     - Other __________________________
   - **Purpose:** This refers to the organization that operates the facility.
   - **Reasonable answers:** Selected from specified options. If “Other” is selected, add an explanation in the open field.
   - **Unreasonable answers:** An answer which does not appear to represent a facility type, e.g., manufacturer of condoms, distributed in CSM program.

3. What year was the facility founded?
   - **Format:** Year (yyyy)
• **Purpose:** To find out what year the facility began providing services, whether it was in the current location or in another location.

• **Reasonable answers:** 1995

• **Unreasonable answers:** 02/1995. Only the year is needed. Listing the month is unnecessary. Or, 1998, the year that the facility relocated.

**TIP:** If there is a choice between when the facility was less formally organized or the year since it started providing services in a more structured form only, this is a judgment call. Make your best decision and note in comments.

4. **When did you begin providing services at this location?**

• **Format:** Month/Year (mm/yyyy)

• **Purpose:** To find out what year the facility began providing services in the currently facility.

• **Reasonable answers:** 07/1994

• **Unreasonable answers:** 1993. The start date must include the month and year. The date should also be within the same year or after the facility was founded.

5. **Why did you choose to open the facility in this place?**

• **Format:** Drop down menu – 3 answers allowed.

  Need or requests for services in this neighborhood
  Space was available/obtained a low cost
  We were ordered by superiors
  Ordered by government
  Target population was available
  Other ____________________________

During field-testing, the team realized that respondents wanted the opportunity to provide more than one answer. There are spaces for three answers. The respondent must give at least one answer, and has the option to give more than one. The order in which the answers are given does not matter. The first answer need not be the “most important.”

• **Purpose:** To understand the reasons behind opening the facility at this particular location.

• **Reasonable answers:** Select one to three of the answer choices given. If “Other” is selected, add an explanation in the open field.
6. Has this facility always been in this location?

- **Format:** Yes/No
- **Purpose:** To understand if the services you provide have been previously provided in another location.
- **Reasonable answers:** No. Answer NO if this facility either moved here from somewhere else, or is a satellite of a facility that previously provided similar services. Use the comments field if additional relevant information is given.
- **Unreasonable answers:** Blank. A yes or no answer is needed.

7. Do people with HIV/AIDS work in this facility?

- **Format:** Yes/No
- **Purpose:** To understand if people with HIV/AIDS are employed. The idea is that HIV/AIDS organizations may hire HIV-positive individuals because they provide a first hand experience of having HIV/AIDS, or just because HIV occurs in the working population.
- **Reasonable answers:** Yes. Use the comments field if additional relevant information is given.
- **Unreasonable answers:** Blank. A yes or no answer is needed.

For questions 8 through 10, ask question 8 first, for all of the HIV prevention services listed. Once that row has been completed, go back and ask questions 9 through 10 for the services where the answer to number 8 is “yes.”

8. Have you ever provided this service in this facility?

- **Format:** Yes/No
- **Purpose:** To determine which HIV prevention services are offered at this facility. In particular, the services of interest are VCT, CSM, STI care, IEC, School based HIV prevention, MTCT, SW and HR.
- **Reasonable answers:** No (→ skip to the next column)
- **Unreasonable answers:** Blank
NUMBERING CHANGED NEXT FEW QUESTIONS

9. Do you still provide this service?

- **Format:** Yes/No
- **Purpose:** To understand if the service is currently provided by the facility. If the service was provided in the past but no longer is provided, we want to know this; however collecting output and cost on that intervention will not be of interest to the PANCEA data collection.
- **Reasonable answers:** Yes (→ skip to question 14)
- **Unreasonable answers:** Blank. A yes or no answer is required. Use the comments field if additional relevant information is given.

10. Do you pay for any organization outside your facility to provide these services?

- **Format:** Yes/No
- **Purpose:** This question aims to capture whether a facility contracts or hires a different agency or organization to provide the service.
- **Reasonable answers:** Yes
- **Unreasonable answers:** Blank

11. In what year did you begin providing this service?

- **Format:** Year (yyyy)
- **Purpose:** To find out what year the facility began providing this particular service.
- **Reasonable answers:** 1998
- **Unreasonable answers:** 03/1999. Only the year is required.

12. If "No" to q 9: If you no longer provide this service, in what year did you stop providing this service?

- **Format:** Year (yyyy)
- **Purpose:** To find out what year the facility stopped providing this service.
- **Reasonable answers:** 1998
- **Unreasonable answers:** 03/1999. Only the year is required.

13. If "No" to q 9: Why did you stop providing this service?
- Format: Drop down menu

Ran out of money
Ran out of supplies
Qualified staff left the facility
No demand for service
Ordered by superiors to stop
Legal problems
Other ___________________________

- Purpose: To understand the most important issue faced by a facility that would cause a facility to stop providing the service.

- Reasonable answers: Select one of the answer choices given. If “Other” is selected, add an explanation in the comments field.

- Unreasonable answers: An answer that does not appear to be a reason to stop a program, e.g., “year ended.”

Note: If more than one reason mentioned, check one and note the others in the comments.

14. If "Yes" to q 9: Do you provide this service here or elsewhere?

- Format: Drop down menu

Here
Another fixed site
A mobile site
Both here and elsewhere

- Purpose: To understand if the service is delivered on site or at an off site location. The location of service delivery is important for us to understand in the context of our data inputs.

- Reasonable answers: Select one of the answer choices given.

- Unreasonable answers: An answer not among the options. If “Other” is selected, add an explanation in the comments field.

Go to the next column in the table, and ask questions 9-Error! Reference source not found.for the next service for which the answer to question 8 is yes (that is, for next service provided by this facility). When you have covered all currently provided and previously provided services, go on to question 15.

Questions 15 through 18 are divided into two parts: work week (e.g., Monday – Friday or Monday - Saturday) and weekends (Saturday – Sunday, or Sunday) separately.
15. How many days during each week do you normally provide these services?

**Format:** Numbers

- **Purpose:** To establish the days of the week services are available to clients. This affects demand for services: more days means more potential clients can seek services.

- **Reasonable answers:** The answer should be between 0 and 5 for weekdays, and 0 and 2 for weekends.

- **Unreasonable answers:** 0.5 day. Any time less than a full day should be entered as 1 full day.

**TIP:** If the facility is open for part of a day, count that as a full day. Thus, two days 10 am – 2 pm count as “2”.

16. How many hours during each day do you regularly provide services?

- **Format:** Numbers

- **Purpose:** To establish the hours during the week services are available to clients. This affects demand for services: more hours means more potential clients can seek services.

- **Reasonable answers:** 6 hours per day Monday – Friday, 4 hours Saturday

- **Unreasonable answers:** “Don’t know, it varies” If there are no regular hours, ask the respondent to estimate the average number of hours per day. Use the comments field to add an explanation. More than 8 hours in a day is unlikely; explain in Comment.

17. How many staff who see clients are usually present during regular hours on these days?

- **Format:** Number

- **Purpose:** To determine the number of staff directly involved in providing services. Staffing affects costs and also perceived quality of services (and hence demand).

- **Reasonable answers:** Typically, we would expect between 2 and 25 clinical staff to be present during regular hours, but this depends on the size of the facility.

- **Unreasonable answers:** A number that would not seem reasonable when you compared it to the number of clients seen per day (intervention sheet). In some cases, 1 or 2 clinical staff present during regular working hours (assume 8 hour workdays) would be resonble, however, not if those 2 staff were seeing 100 clients per day.
TIP
“See” client = provide a service to clients.
“Usually” = more often than not; typically.

We are asking for presence of staff, whether in the office or
in the field. We are interested in presence of staff wherever
services are delivered and staff are supposed to be.

If there are part time staff, you will want to record the
average number of staff present

Write n/a if the facility doesn’t see clients (e.g., an IEC
program).

18. How many staff who see clients are usually present after regular hours?

- **Format:** Number
- **Purpose:** Staffing after regular hours provides access and increases perceived
  quality of services.
- **Reasonable answers:** 2 staff
- **Unreasonable answers:** 15 staff members. We would expect that the
  number of staff who see clients after regular hours to be a small number, less than
  the number of staff present during regular hours.

TIP
“See” client = provide a service to clients.
“Usually” = more often than not; typically.

We are asking for presence of staff, whether in the office or
in the field. We are interested in presence of staff wherever
services are delivered and staff are supposed to be.

In questions 19 through 23, we want to obtain information on the facility’s clients. We are
asking about their most important target groups; that is, who are the people to whom the facility
directs most of its efforts? **We allow up to four answers**, in decreasing order of importance.
Please ask about the “most important” group first. This is the largest, in terms of the volume of
services that the facility provides.

19. What is your target population?

- **Format:** Drop down menu
  General adult population
  Youth
  Pregnant women
  Soldiers
  Men who have sex with men
Sex workers  
Injecting drug users  
“High-risk” groups  
Other ____________________________

- **Purpose:** To define the type of clients the facility directs most of its efforts. This is helpful to understand how type of client mix relates to types of services and efficiency of operation. It also informs estimation of impact on the HIV epidemic.

- **Reasonable answers:** Select one of the answer choices given. If “Other” is selected, add an explanation in the comments field.

- **Unreasonable answers:** An answer that does not address the target population with sufficient specificity, e.g., “urban”. If the facility targets a population that is not listed, select the “other” option and add an explanation in the comments field.

**TIP**

There may be some overlap between options like “high risk group” “MSMs”, and “Sex workers” etc. who are also considered part of high risk groups. Use the response that most narrowly matches the group. For example, if SWs are the specific high-risk group then indicate SWs rather than “high risk group.” If there are other specific high risk groups, specify them.

Define age group of the youth. Age groups are for the data team to define and note in the comments, as this varies by location.

20. Can you estimate how many people there are in this area in this group?

- **Format:** Number

- **Purpose:** To establish the potential number of people in each specified target group who could use these services. How many people in this target group are you trying to serve? This is important as it affects demand.

- **Reasonable answers:** 100, 500, typically a large number that represents the number of people in the area in that target group. This number is not the total population of the area.

- **Unreasonable answers:** 50,000. This number is probably too large and may represent the total population in the area.

**TIPS**

"This area" is the geographic area around your clinic or program from which you expect or hope most of your clients will come.
We require that the respondent make some estimates of the population of each specific group.

**Q 20-23 TIP**

Sometimes the best answer may be a crude estimate and may not be useful for analysis. This is O.K.. In “Data sources”, be sure to indicate “Guess” or other appropriate characterization. Use q23 to note specific source, especially if formal study was done.

21. How many among this group are HIV-infected today?

- **Format:** Percentage.
- **Purpose:** To establish the prevalence of HIV in the target population. This can indicate how advanced the HIV epidemic is in a target group, and can affect demand for HIV prevention services. Knowing what stage an area is at in the epidemic also informs models for future HIV prevention policy.
- **Reasonable answers:** A percentage less than 90%, usually far less, e.g., 11% is a reasonable answer.
- **Unreasonable answers:** 50%, 80% these are high percentages. If the HIV prevalence is high, please confirm that this was verified in the comments field.

22. How many among this group were HIV-infected one year ago? We want to know how the epidemic has changed over the past year.

- **Format:** Percentage.
- **Purpose:** To establish if and how much the prevalence of HIV has changed in the past year, if yearly data are available. This affects demand for services, and informs us of the state of the epidemic.
- **Reasonable answers:** This number should often be close to the answer in question 21, if the epidemic is stable in that group. However, if the epidemic is increasing rapidly, a sharper jump might be seen (if so, please verify in the comments).
- **Unreasonable answers:** A number that is significantly less than the HIV prevalence one year ago. HIV prevalence drops slowly. If there is a decrease in HIV prevalence of more than a few percent in the past year, use the comments field to verify.

23. How do you make these estimates?

- **Format:** Drop down menu
Sentinel surveillance
Estimated from client population
Official estimates
Other __________________________

- **Purpose:** To understand the reliability of these numbers. While the estimates help us understand how the respondent sees his environment and the demand for his services, the quality of estimates may be a measure of management quality.

- **Reasonable answers:** Select one of the answer choices given. If “Other” is selected, add an explanation in the comments field.

- **Unreasonable answers:** A reason that does not specify how estimates were made, e.g., “a report”

TIP: If there is a combination of methods used to make the estimates, select “other” and use the comments field to explain how they arrived at the estimates.
Section 2. Institutions and governance

The questions in this section are intended to obtain information on the organizational and management structure of the facility – for instance, who makes decisions, what rules does the facility have to follow, and so on.

1. Are you part of a larger organization?
   
   **Format:** Yes/No If no, skip to question 8
   
   **Purpose:** To establish if the organization operates independently or is governed by another parent organization. This could affect the management of the facility and could also affect the costs the facility incurs, start-up costs etc.
   
   **Reasonable answers:** No → skip to question q8 below.
   
   **Unreasonable answers:** No answer. The answer to this question determines if the respond needs to answer questions 2-7.

2. What type of organization are you part of?
   
   **Format:** Drop down menu.
   
   Government / public facility → skip to question 5
   Church- or charity-based organization
   Other non-profit NGO
   Private, for-profit facility
   Other __________________________

   **Purpose:** To determine the type of facility. This may relate to operating efficiency.

   **Reasonable answers:** Select one of the answer choices given. If “Other” is selected, add an explanation in the comments field

   **Unreasonable answers:** An answer that is different from the one given in Section 1, Facility characteristics, question 2, “Type of Institution.” Probe if there appears to be a discrepancy. Explain the discrepancy in the comments field.

3. Is your parent organization incorporated or registered?
   
   **Format:** Yes/No

   **Purpose:** To establish if the organization is officially registered with the national AIDS control program or some other branch of the government, including the tax authorities. This may have an impact on the sort of activities in which a facility may engage, the support the organization receives from official sources, and operational style.

   **Reasonable answers:** Yes, No.
4. How many similar facilities does this organization operate in this country?

- **Format:** Number

- **Purpose:** To establish if the organization has other similar facilities. This tells us something about the development of the program and its services, which can affect the cost of providing services.

- **Reasonable answers:** 2 (e.g., 2 other VCT facilities)

- **Unreasonable answers:** “15” meaning other facilities some of which are HIV prevention programs.” We only want facilities that are similar to the one where you are currently. “Similar” means it is comparable, the same services are provided.

**TIP** If the facility is not familiar with this distinction, write “no” and put a note in the comments field.

In the question the word “country” can be replaced by the word “state” if the state is a large unit (e.g., Andhra Pradesh with 80 million). Note in comments.

5. How often are you visited by a supervisor?

- **Format:** Drop down menu

  - At least once each week
  - At least once each month
  - At least once each quarter
  - At least once each year
  - Less than once each year
  - Never
  - Other ___________________________

- **Purpose:** This is a quality control measure, to know how frequently supervisors are on site.

- **Reasonable answers:** Select one of the answer choices given. If “Other” is selected, add an explanation in the comments field.

- **Unreasonable answers:** A reason that is does not address how often a supervisor visits, e.g., “Yes”

**TIP** For these questions “supervisor” means a supervisor from outside the facility; could conceivably be nearby (even on same grounds).
6. How much time does your supervisor spend here each month?

- **Format:** Number of hours
- **Purpose:** This is also a quality control measure.
- **Reasonable answers:** 6 hours.
- **Unreasonable answers:** 180 hours. This number would be unreasonable if the total number of hours that the facility is open per month is less than 180. If a supervisor is on site for more hours than a service is provided per month, note this in the comments field.

7. How often do you have to submit a report to your supervisor?

- **Format:** Drop down menu
  
  At least once each week
  At least once each month
  At least once each quarter
  At least once each year
  Less than once each year
  Never
  Other ___________________________

- **Purpose:** This is a quality control measure.
- **Reasonable answers:** Select one of the answer choices given. If “Other” is selected, add an explanation in the comments field.
- **Unreasonable answers:** An answer that is does not seem to address the issue of how often a report must be submitted, e.g. “Depends.”

8. Does the funding you receive depend on your performance?

- **Format:** Yes/No
- **Purpose:** We do not need to know how well or poorly the facility scores, or how much their funding changes because of its performance. Rather, this is a measure of a performance incentive that can affect quality.
- **Reasonable answers:** No → skip to question 10
- **Unreasonable answers:** “I don’t know.” If the respondent does not know the answer to this question, ask to speak to someone in the facility who deals with funding that might know the answer.
9. How is your performance measured?

- **Format:** Drop down menu. List up to three criteria.
  
  number of clients served  
  volume of services delivered  
  amount of inputs used  
  reducing expenditure  
  Other, please specify  

- **Purpose:** How performance is measured can tell us something about what factors are important to supervisors and the expectation put upon staff to perform and deliver. This can affect quality.

- **Reasonable answers:** Select one of the answer choices given. If “Other” is selected, add an explanation in the comments field.

- **Unreasonable answers:** A reason that is does not appear to address how performance is measured; e.g., “quality”.

Questions 9 and 12 are to be asked twice, once for each of the two groups mentioned (clients and non-client community groups). We want to know whether the facility responds directly to clients, and whether it opens itself to scrutiny by the local community.

10. Do you meet with (client groups, community groups) to discuss facility operation or policy?

- **Format:** Yes/No

- **Purpose:** This can help measure if clients or the community have a say in the operation or policy which can affect quality, the perception of quality, and demand for the service.

- **Reasonable answers:** No  ➔ skip to question 12

- **Unreasonable answers:** “Blank.” Either yes or no should be selected, use the comments field as needed for explanation.

11. How often do you meet with members of the local community / client groups?

- **Format:** Drop down menu
  
  At least once each week  
  At least once each month  
  At least once each quarter  
  At least once each year  
  Less than once each year  
  Other ______________________
Purpose: The more often meetings occur, the more the community or a client group can be informed. This can affect quality and demand for services.

Reasonable answers: Select one of the answer choices given. If “Other” is selected, add an explanation in the comments field.

Unreasonable answers: A reason that is not related to how often the facility meets with client groups or the community, e.g., “depends”.

Questions 12 through 17 are to be asked twice, once for the facility being interviewed and once for the facility’s parent organization. If the facility is independent, or is a public-sector (government) facility, do not ask these questions for the parent organization.

12. Is there a governing board for this facility / the parent organization?

Format: Yes/No

Purpose: To establish the presence of an oversight authority, this could be a measure of quality control.

Reasonable answers: No \(\rightarrow\) skip to question 18

Unreasonable answers: No answer. Either yes or no should be selected.

TIP It’s fine to say “Governing board” or “Executive board,” per local convention.

13. How often does the governing board meet?

Format: Drop down menu.

- At least once each week
- At least once each month
- At least once each quarter
- At least once each year
- Less than once each year
- Never
- Other __________________________

Purpose: The more often meetings occur, the more informed a governing board would be of facility and management issues. This can affect quality.

Reasonable answers: Select one of the answer choices given. If “Other” is selected, add an explanation in the comments field.
- Unreasonable answers: If “other” is selected, a reason that does not address how often the governing board meets, e.g., “as needed”.

14. Is the governing board elected or appointed?

- Format: Drop down menu
  - Elected
  - Appointed
  - Other (specify)

- Purpose: This can affect the relationship the governing board has to the facility and to the community, and can affect the quality or perceived quality of the facility.

- Reasonable answers: Select one of the answer choices given. If “Other” is selected, add an explanation in the comments field.

- Unreasonable answers: A reason that is does not address how the members of the governing board are selected., e.g., “from community”.

15. Who elects (appoints) the governing board?

- Format: Drop down menu
  - Facility staff
  - Facility director
  - Local community
  - Client groups
  - Local/municipal health authority
  - Local/municipal government
  - National AIDS control authorities
  - National health authorities
  - National government
  - Funders
  - Other ____________________________

- Purpose: To understand what groups has input or decision making authority. This can affect the quality and demand for services.

- Reasonable answers: Select one of the answer choices given. If “Other” is selected, add an explanation in the comments field. If more than one entity appoints the board, select “other” and list all the entities that do.

- Unreasonable answers: An answer that is does not address who appoints the governing board.

16. Are clients and members of the local community represented?

- Format: Yes/No
Purpose: The thought is that facilities where decisions and policies are formed with clients and community representation are facilities that may have a higher quality of service. Client and local community representation in decisions can also affect demand.

Reasonable answers: No

Unreasonable answers: No answer. Choose either yes or no.

17. Can the board vote to remove the facility director?

Format: Yes/No

Purpose: To establish the degree of authority the board can exert over the program. This can affect quality of the facility.

Reasonable answers: Yes

Unreasonable answers: “I don’t know.” The answer to this question may not be readily known. If this is the case, ask to speak to someone who may know the answer.

18. Which group or person exercises ultimate authority on the following decisions? (see list of questions)

Format: Drop down menu

Senior staff members
Facility director
Director’s immediate supervisor
Governing board
Local community
Client groups
Local/municipal health authorities
Local/municipal government
National/State AIDS control authorities
National health authorities
National government
Funders
Other __________________________

Purpose: For this question, we want to know who has final authority (decision-making power) over each of the issues listed. In some fundamental way, of course, the agency that gives the facility money has the final authority – it can always withhold funding. The question we want to know is who has authority, conditional on funding. That is, assume the money has already been allocated to the facility, and that it can not be withdrawn by the funder. It is already in the bank account, or the pocket, of the facility manager. The ability to make decisions in an efficient and timely manner can affect the quality of service.
- **Reasonable answers:** “Program strategies and priorities” – National AIDS control authorities.

- **Unreasonable answers:** An answer that does not address which group has the ultimate authority, e.g., “decision made on merits”

**TIP:** The respondent should be allowed to answer freely, and the interviewer should choose the appropriate option from the list provided. If the respondent’s answer does not correspond exactly, choose the closest option. If none of the options seems appropriate, write the answer in the “other” space provided. If the respondent falters, prompt him or her with the list of pre-specified answers.

Based on discussions in steering committee, we have revised the question to allow a more significant role for funders.

Note that “exercise” is a little more active than “has”, so that if the funder or director in theory might have authority but never attempts to exercise it – regardless of actions taken by low ranking individuals – then the person who actually exercises this authority should be selected. For example, if the funder truly guides/approves program strategies and priorities then “funder” should be selected. If, on the other hand, the funder could but never does review staff salary levels, then “director” might be the more appropriate response.
Section 3a: Inputs – Buildings/physical plant and general quality

These questions are to be asked of a facility manager or building manager.

There are columns to list detail for up to three buildings. We are asking for buildings used in the most recent fiscal year, even if not used in the “past month”.

1. Number of buildings occupied by facility.
   - **Format:** Number
   - **Purpose:** This refers to the number of buildings entirely or partly occupied by the facility. Include all buildings occupied all or in part by the subunit facility, if one is identified, otherwise by the entire facility.
   - **Reasonable answers:** Typically, we expect the number to be between 1 and 5. Since we are measuring the number of buildings occupied by the facility.
   - **Unreasonable answers:** We expect there to be at least one building whether or not the services performed occupy all or part of the building.

   **TIPS:** The entire facility is the largest natural grouping of services at the site, e.g., all components of a district hospital. A subunit is the smallest natural grouping of services in which our intervention(s) operate; requires operations and expenditures data that are predominantly separate from the entire facility. And a facility (for our purposes) is the subunit if it exists, otherwise the entire facility.

Questions Error! Reference source not found. through 26 are to be asked for up to three buildings occupied entirely or partly by this facility.

2. Brief description / label (no address here, for confidentiality)
   - **Format:** Description. To protect confidentiality, use descriptive phrase rather than address.
   - **Purpose:** To describe the building for discussion. (Location will be addressed during market pricing, later.)
   - **Reasonable answers:** old building
     upstairs office suite
     storefront on main road
   - **Unreasonable answers:** Address (may compromise confidentiality).

3. Do you occupy part or all of this building?
**Format:** All/Part

**Purpose:** To establish the number of buildings the facility (or subunit) has. This is an input expense.

**Reasonable answers:** All

**Unreasonable answers:** Blank. The building is one that the respondent named so they should be able to answer if they occupy all or part.

**TIP:** If they occupy the vast majority of the building, but not exactly all of it (10% occupied by another program), select “all” and make a note in Comments.

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**4. Do you share space with any other organization?**

**Format:** Yes/No

**Purpose:** If the space is shared, general building expenses may also be shared. We would want to know this.

**Reasonable answers:** Yes

**Unreasonable answers:** Yes; If they answered “all” in question 3 above, we would wonder what space the other organization used. If there is another organization and they only use a small portion (~5-10%) of the space, respond “yes” that they share and use the comments field to explain this discrepancy with question 3.

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Questions 5 and 6 require estimates on the part of the respondent. Alternatively, the interviewer can draw a rough map and measure the outline in his (her) own paces. We can compute the equivalent space in meters later.

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**5. What is the approximate total area occupied by your facility in this building? (square meters)**

**Format:** Number

**Purpose:** To establish the amount of space the facility occupies in the entire building.

**Reasonable answers:** 500. Can note in the comments -- “The facility takes up entire building, 500 m2, but the STI section within the facility takes up approx 300 m2. “

**Unreasonable answers:** Less than 10 or more than 1000 – implausibly low or high; if true, document in comments.
6. What is the approximate total physical area of this building?

- **Format:** Number
- **Purpose:** To establish the physical setting.
- **Reasonable answers:** This total area should be greater than or equal to the area occupied by your facility in this building.
- **Unreasonable answers:**

7. What is the TOTAL number of people who work in, or are based at, this facility in this building?

- **Format:** Number
- **Purpose:** To establish, beyond those who work for the intervention, how many people are housed for work in the facility, in this building.
- **Reasonable answers:** We expect the number to be on the order of 10s, or 100s at most.
- **Unreasonable answers:** A number in the thousands. We don’t expect that of the facilities we visit that they will have this many staff.

8. What year did you buy or begin using this building? If the two dates differ [“buy” and “begin using”], write down the earlier date.

- **Format:** mm/yyyy
- **Purpose:** To establish the age of the facility. It is important to know how long the facility has occupied the current building.
- **Reasonable answers:** 07/1997
- **Unreasonable answers:** 2001; incomplete answer, missing the month.

**TIP** The phrase “using this premises” means use for any purpose. Premises means “building”.

9. Do you own or rent?

- **Format:** own/rent
- Purpose: Whether the facility owns or rents is important for our understanding of expenses.

- Reasonable answers: Own → skip to question 14
  Rent

- Unreasonable answers: Blank. If the facility does not own or rent the building, state the situation in the comments field.

**TIP Q9, 10-18**

For government-owned buildings ..

q 9: put “n/a” and in the comment describe the situation.

q 10-18: put “n/a” to be filled in later using market prices.

**10. Last month's rent:**

- Format: number (local currency)

- Purpose: To gather data on the monthly expense. This affects cost of the intervention.

- Reasonable answers: The data collector should decide if the amount given seems reasonable. If it seems particularly high or low, verify the amount and put a comment in the comments field.

- Unreasonable answers: See above, data collector discretion is needed.

**11. Was your monthly rent the same for all of the most recent fiscal year?**

- Format: Yes/No

- Purpose: To gather data on the monthly expense over time.

- Reasonable answers: Yes (→ skip to question 19)

- Unreasonable answers: Blank. Yes or No is required. If not answerable, note this in the comments field.

**12. If "no", what was your monthly rent previously?**

- Format: Number

- Purpose: To gather data on the monthly expense.
• *Reasonable answers:* We normally expect rents to increase rather than
decrease, so we would normally expect the amount to be less than "last month’s
rent."

• *Unreasonable answers:* If the amount is less than “last month’s rent”, verify
the amount and note this in the comments field.

13. On what date did your monthly rent change? (mm/yy)

• *Format:* mm/yyyy

• *Purpose:* To establish in the past year how long the rent was one amount, and then
for how long the rent was a previous amount. From this information, we can
estimate the yearly rent.

• *Reasonable answers:* 02/2003

• *Unreasonable answers:* 10/1996. This answer conflict with question 9 that
states the building was occupied in 7/1997.

14. What was the total purchase price of land and buildings?

• *Format:* Number

• *Purpose:* This data gives us information about the facility expense. This affects
intervention costs.

• *Reasonable answers:* The data collector should decide if the amount
given seems reasonable. If it seems particularly high or low, verify the amount and
put a comment in the comments field.

• *Unreasonable answers:* See above, data collector judgement is needed. If
the amount seems especially high or low, verify and note in the comments.

15. Monthly mortgage payment:

• *Format:* Number

• *Purpose:* This data gives us information about the facility expense.

• *Reasonable answers:* The data collector should decide if the amount
given seems reasonable. If it seems particularly high or low, verify the amount and
put a comment in the comments field.

• *Unreasonable answers:* See above, data collector discretion is needed.

16. Was your mortgage payment the same for all of the most recent fiscal year?
17. If "no", what was your payment previously?

- **Format:** Number
- **Purpose:** To gather data on the monthly expense.
- **Reasonable answers:** We normally expect payments to increase rather than decrease, so we would expect the amount to be less than the previous payment.
- **Unreasonable answers:** If the amount is less than the previous payment, verify the amount and note this in the comments field.

18. On what date did your payment change? (mm/yy)

- **Format:** mm/yyyy
- **Purpose:** To establish in the past year how long the payment was one amount, and then for how long it was a previous amount. From this information, we can estimate the yearly mortgage.
- **Reasonable answers:** 02/2003
- **Unreasonable answers:** 10/1996. This answer conflicts with question 9 that states the building was occupied in 7/1997.

19. What year was this building built?

- **Format:** yyyy
- **Purpose:** To establish the age of the building.
- **Reasonable answers:** 1950, 1920, 2002
- **Unreasonable answers:** 40 (meaning, 40 years ago). If the respondent estimates the year the building was built, work with them to establish a year. For example, you might say, “ok, then around 1963? Or was it earlier or later?” This will help the respondent clarify the date. Use the comments field if estimates are given.

20. With what material are the walls constructed?
• **Format:** Drop down menu
  
  Brick / tile  
  Concrete  
  Wood  
  Straw / cane  
  Dirt / mud  
  Metal (aluminum, steel, tin)  
  Other ____________________________

• **Purpose:** This is a variable in the overall quality of the facility.

• **Reasonable answers:** Select one of the answer choices given. If “Other” is selected, add an explanation in the comments field.

• **Unreasonable answers:** An answer that is does not address with what materials the walls are constructed.

21. **With what material is the floor constructed?**

• **Format:** Drop down menu
  
  Brick / tile  
  Concrete  
  Wood  
  Straw / cane  
  Dirt / mud  
  Metal (aluminum, steel, tin)  
  Other ____________________________

• **Purpose:** This is a variable in the overall quality of the facility.

• **Reasonable answers:** Select one of the answer choices given. If “Other” is selected, add an explanation in the comments field.

• **Unreasonable answers:** An answer that is does not address with what materials the floor is constructed.

22. **With what material is the roof constructed?**

• **Format:** Drop down menu
  
  Brick / tile  
  Concrete  
  Wood  
  Straw / cane  
  Dirt / mud  
  Metal (aluminum, steel, tin)  
  Other ____________________________
Purpose: This is a variable in the overall quality of the facility.

Reasonable answers: Select one of the answer choices given. If “Other” is selected, add an explanation in the comments field.

Unreasonable answers: An answer that is does not address with what materials the roof is constructed, e.g., “waterproof”.

NUMBERING CHANGED NEXT FEW QUESTIONS

23. Are there toilet facilities for clients in this building?

Format: Drop down menu

No → skip to question 26
Inside WC
Outside WC
Inside and outside WC
Pit latrine → skip to question 26
Other ______ → skip to question 26
Not applicable – we do not provide services in this place

Reasonable answers: Select one of the answer choices given. If “Other” is selected, add an explanation in the comments field.

Unreasonable answers: An answer that addresses toilet facilities in another building.

24. Does the toilet flush?

Format: Yes/No

Purpose: This is a variable in the overall quality of service.

Reasonable answers: Yes
No
Not applicable – we do not provide services in this place

Unreasonable answers: Blank

25. Is there soap and water for employees and clients to wash their hands?

Format: Yes/No

Purpose: This is a variable in the overall quality of service.

Reasonable answers: Yes
No
Not applicable – we do not provide services in this place

Unreasonable answers: Blank
26. Do you have a waiting room or area in this building (for clients)?

- **Format:** Yes/No
- **Purpose:** This is a variable in the overall quality of service.
- **Reasonable answers:**
  - Yes
  - No
  - Not applicable – we do not provide services in this place
- **Unreasonable answers:** Blank

27. How do you dispose of waste?

- **Format:** Drop down menu
  - Buried
  - Burned
  - Collected by local government
  - Collected by private contractor
  - Other _________________________
- **Purpose:** This is a variable in the overall quality of service
- **Reasonable answers:** Select one of the answer choices given. If “Other” is selected, add an explanation in the comments field.
- **Unreasonable answers:** “Put into an outside bin” While this answer addresses how where the waste is initially taken, it does not address how the facility ultimately deals with the waste.

28 - 31 Ask these questions for each of the services mentioned in the table (Electricity, water, telephone, gas/oil for heating and cooking, other heating/cooking fuel, internet)

28. Do you have _______ service? (fill in the blank with the appropriate service)

- **Format:** Yes/No
- **Purpose:** This is a variable for monthly expenses.
- **Reasonable answers:**
  - Yes
  - No \(\rightarrow\) skip to next column (i.e., next service)
29. What is your main source of __________?

- **Unreasonable answers:** Blank

- **Format:** Drop down menu

- **Purpose:** This is a variable for monthly expenses and may reflect overall quality.

- **Reasonable answers:** Select one of the answer choices given. If “Other” is selected, add an explanation in the comments field.

1. **Electricity**
   a. Mains
   b. Own generator
   c. Other _________________________

2. **Gas**
   a. Mains
   b. Bottled gas
   c. Other _________________________

3. **Other heating / cooling / cooking fuel**
   a. Wood / coal
   b. Other _________________________

4. **Water**
   a. Mains
   b. Bottled
   c. Well / Artesian spring
   d. Surface / rainwater
   e. Other _________________________

5. **Telephone**
   a. Government / public land line
   b. Private land line
   c. Government / public cellular / microwave
   d. Private cellular / microwave
   e. Other _________________________

6. **Internet**
   a. Government / public service
   b. Private subscriber service
   c. Other _________________________

- **Unreasonable answers:** An answer that is does not address the question. Use the comments field as needed.
30. How many hours per day is this service available, on average?

- **Format:** Number
- **Purpose:** We mean how many hours each day (on average) the service is available and functioning – not how many hours per day do they actually use it, instead they could use it.
- **Reasonable answers:** A number between 1 and 24, inclusive.
- **Unreasonable answers:** Zero, or blank. If no service, per prior question, indicate n/a.

31. How many days last week was service interrupted?

- **Format:** Number
- **Purpose:** Similarly, we want to know how many days (in the past seven) was the service unavailable. This may be a marker of quality.
- **Reasonable answers:** A number between 1 and 7, inclusive.
- **Unreasonable answers:** A number less than 1. If the service was only available for ½ a day, round up to the nearest full day.
Section 3b-c. Inputs – personnel

There are two pages of questions on staff. The first one, 3b(1), is much more comprehensive, and asks about individual staff members. The second, 3c(2), asks about difficulties in finding and hiring staff members.

The first staff page asks for information about each member of staff – their education, income, hours of work, etc. Some of these questions may be considered sensitive or intrusive. We realize that some of the information may not be available to the respondent. For example, we ask whether, to the best of the respondent’s knowledge, each staff member has another job in addition to his (her) job at the facility.

Section 3b: inputs – personnel roster, including volunteers, directly or indirectly involved in HIV (prevention) intervention(s).

This section includes each staff member and volunteer working in the facility and involved in the HIV intervention(s), either directly (e.g., a counselor) or indirectly (e.g., a gardener). (The total number of individuals working in the facility, including those not involved in the HIV interventions, is recorded in question 7 of physical capital.)

For the following questions the interviewer should first ask for each person’s name (or initials). Once the roster is complete, then the interviewer should proceed to the questions.

Questions 0-18

1. What are the initials for each person working for the intervention from the beginning of the last fiscal year to the present, including volunteers?

   ▪ Format: Text

   ▪ Purpose: We want to connect personnel titles to individual people so that we can examine personnel trends later. For example, “On average, how long do employees work in the most cost-effective programs? or In the least cost-effective programs?” Referencing personnel initials allows us to do this.

   ▪ Reasonable answers: KM, FG2.

   ▪ Unreasonable answers: M?

   TIPS: If more than one person has the same initials, please place a number after the initials (e.g. CM1, CM2).

   If the same person has multiple job titles and thus appears on multiple lines, use the same initials in all cases.

2. What is the job category of each person working for the intervention from the beginning of the last fiscal year to the present, including volunteers?

   ▪ Format: Drop down menu.

   Senior managerial/administrative staff
   Nurse or other medical service staff
Purpose: In order to compute personnel costs with as much precision as possible, and to determine how these costs have changed over time, we need to generate a comprehensive list of all the people who have ever worked for the prevention intervention in any capacity – paid or volunteer. These categories help us obtain that list. We need to know not only who works for the intervention RIGHT NOW, but also who may have worked for the intervention IN THE LAST FISCAL YEAR, and who is no longer a staff member.

Reasonable answers: Select one of the answer choices given, e.g., Counselor, or select “Other” and explain in the comment field.

Unreasonable answers: John Doe (actual name).

TIP Use the personnel prompt list.

3. What is the job title of each person working for the intervention from the beginning of the last fiscal year to the present, including volunteers?

Format: text

Purpose: We want to connect personnel titles to individual people so that we can examine personnel trends later. For example, “What kinds of staff work in the most cost-effective programs? or In the least cost-effective programs?”. Referencing personnel titles allows us to do this.

Reasonable answers: VCT counselor.

Unreasonable answers: Masters. This is a university degree title, not a job title. While this may appear with a persons name, we want the job title given to the individual by the facility.

TIP A job title is more specific than a job category. For example, a staff member might be category “Nurse or other medical service staff” and title “Physician”.

4. What is the highest level of formal education he/she completed?

Format: Drop down menu.

None
Primary school
Secondary school
Bachelor’s Degree
Postgraduate
MD/MBBS
Medical paraprofessional (e.g. LPN)
Other specialized / professional training (e.g. accountancy)
Other _________________

- **Purpose:** Education level of staff members may be an important indicator of the quality of services provided at the facility.

- **Reasonable answers:** Select one of the answer choices given, or select “Other” and explain in the comment field.

- **Unreasonable answers:** An answer which doesn’t appear to represent an education level type.

5. What is the sex of this staff member?

- **Format:** Text

- **Purpose:** To help identify the staff member.

- **Reasonable answers:** M, F, D/K

- **Unreasonable answers:** Blank. An answer is required.

6. What is the age of this staff member?

- **Format:** Number (drop-down)
  
  < 20
  20-25
  26-30
  31-35
  36-40
  41-45
  46-50
  > 50

- **Purpose:** To help identify the staff member.

- **Reasonable answers:** Select one of the answer choices given, or select “Other” and explain in the comment field.

- **Unreasonable answers:** Blank.

7. When did s/he start working at this facility?

- **Format:** Date (mm/yy)

- **Purpose:** We need to determine when each staff person started working so that we can collect salary information from that date onward (for ADCni).

- **Reasonable answers:** 12/01.
8. When did s/he stop working at this facility?

- **Format:** Date (mm/yy)
- **Purpose:** We need to determine when each staff person stopped working so that we can collect salary information up to that date.
- **Reasonable answers:** 12/02.
- **Unreasonable answers:** January 1999, “Current”

9. Does s/he receive any compensation? (i.e. salary, bonuses, per diem or other?)

- **Format:** Yes/no
- **Purpose:** In order to compute personnel costs, we need to know if each staff member receives compensation of any kind.
- **Reasonable answers:** Yes
  No  (➔skip to question 13)
- **Unreasonable answers:** Blank. A yes or no answer is required. Use the comments field if additional relevant information is given.

10. How much did this person receive for the last month?

**NOTE:** Fiscal year detail on compensation in columns N to AC in Excel

- **Format:** Number.
- **Purpose:** In order to compute personnel costs, we need to know the amount received when he or she was last paid.
- **Reasonable answers:** 500.
- **Unreasonable answers:** $500, 350 Pesos (do not enter currency units).

**TIPS:**

This should be the total compensation for a month.

In comment, please clarify if benefits and bonuses are recorded in compensation. I.e., Note if compensation includes benefits (e.g., health insurance) or an annual bonus, or if benefits are paid but not recorded here. One comment for all employees is adequate, if appropriate.

Make every effort to find this information in records. If this is not possible, ask for an estimate by your respondent.
For volunteers: enter here the amount of compensation the volunteer receives, even if this amount is zero.

Please note that the assumption here is that you will enter salary information in local currency only. If salary information is available in another currency, you must manually convert costs. E.g., in Uganda, 1 $US = 1790 Uganda Shillings.

If the person works part-time for the intervention at a different salary than other work, indicate the full-time rate for this work in the salary column. E.g., if s/he earns 10,000 Rand/mo for half-time work, indicate 20,000 Rand/mo salary, regardless of earning rate for other activities, and in the allocation column indicate 50%.

11. Did he/she receive his/her most recent payment on time?

- **Format:** Yes/no/D/K
- **Purpose:** The timeliness of payments may be an important indicator of an intervention’s efficiency.
- **Reasonable answers:** Yes, No, D/K.
- **Unreasonable answers:** any answer besides Yes, No, or D/K.

12. From whom did he/she directly receive this payment?

- **Format:** Drop down menu.
  
  Directly from this facility
  Directly from the facility’s parent organization
  Directly from the local community
  Directly from the Government, other than parent organization
  Directly from an NGO
  Directly from and international organization, other than the parent organization
  Other ________

- **Purpose:** We need to determine the source of funds from which each staff member is paid. This may be a factor affecting intervention efficiency.

- **Reasonable answers:** Select one of the answer choices given, or select “Other” and explain in the comment field.

- **Unreasonable answers:** N/A (this question should be skipped if no payment is received by the employee).
13. Did he/she receive any training in the previous fiscal year?
   ▪ **Format:** Yes/no/D/K
   ▪ **Purpose:** Ongoing training of personnel within an intervention may be an important factor affecting an intervention’s efficiency.
   ▪ **Reasonable answers:** Yes, No, D/K, N/A.
   ▪ **Unreasonable answers:** “Computer Skills” (the type of training is not required)

14. Did he/she receive any per diems or other payments to help with any training(s)?
   ▪ **Format:** Yes/no/D/K
   ▪ **Purpose:** In order to properly assess the compensation structure for an intervention, we must know if employees are paid for their training.
   ▪ **Reasonable answers:** Yes, No, D/K, N/A.
   ▪ **Unreasonable answers:** $500 (the amount of compensation is not required), “Per Diem” (the type of compensation is not required)

   **TIP** This includes any source of payment, as long as the training was somehow related to the job … if not the program, then indicate in comments the source.

15. To the best of your knowledge, does he/she have any job outside this facility?
   ▪ **Format:** Yes/no/D/K
   ▪ **Purpose:** In order to understand the personnel structure of an intervention, we must evaluate the employment patterns of the staff members.
   ▪ **Reasonable answers:** Yes, No, D/K, N/A.
   ▪ **Unreasonable answers:** “Nurse” (the type of employment outside of the facility is not required).

16. How many hours did he/she worked last week?
   ▪ **Format:** Number.
   ▪ **Purpose:** In order to understand the personnel structure of an intervention, we must evaluate the number of hours worked by employees.
   ▪ **Reasonable answers:** 0, 40, 20.
17. How many hours did you expect him/her to work last week?

- **Format:** Number.
- **Purpose:** In order to understand the level of absenteeism, we must evaluate the number of hours expected to be worked by employees, in comparison to the number of hours worked. This may be an important indicator of intervention efficiency.
- **Reasonable answers:** 0, 40, 20.
- **Unreasonable answers:** 200 (it is not possible to work this many hours in one week).

**TIPS:** The number of hours employee was expected to work may be more, less, or the same as the number of hours worked (see Question 14).

18. Is he/she working today?

- **Format:** Text (YES/NO).
- **Purpose:** In cross-section, this question will help us to compare the staffing structures of interventions.
- **Reasonable answers:** Yes, No, D/K, N/A.
- **Unreasonable answers:** “In Clinic” (the type of work being performed is not required).

19. If the wage in questions 8-9 is zero, or you suspect that it is unusually low, what would you have to pay to hire someone to do the work of this employee?

- **Format:** Number.
- **Purpose:** In order to compute market prices for personnel, we need know the value of his or her work.
- **Reasonable answers:** 500.
- **Unreasonable answers:** $500 (do not enter currency units).

**TIPS:** Please see market pricing instructions in text box below.
Market Pricing of Personnel

Off-Site market pricing

Market prices should be entered in question 20 of the ARQni “Personnel Roster” worksheet and in question 7 of the ADCni “Personnel” worksheet. Market prices should be entered **ONLY for those employees** fitting one of the following criteria:

1. **Trainees** will have been labeled as such in the “Job Title” column. The market price for trainees is the value of the tasks they perform in comparison to their “fully trained” counterpart staff members, and reflects their relative productivity. For example, a Trainee Nurse may have the capacity to do 60% of the work of a fully trained nurse. In this case the market price should be recorded as 60% of the mean pay for a fully-trained nurse.

2. **Volunteers** will have been labeled as such in the “Job Title” column. In the case of volunteers, there are two types to consider: integral and non-integral volunteers

   - **Non-integral volunteers** are staff members who do not receive a salary, and are not trainees. The market price of a non-integral volunteer is your respondent’s estimate of what it would cost to hire an employee to fulfill the functions currently performed by the volunteer. For example, a “Driver Volunteer” may be an individual who provides transportation for an intervention without a salary (though he may receive other small benefits, like meals), and an estimate of his market price should be made using the method described for trainees above.

   - **Integral volunteers** are individuals who do not receive a salary, and are not trainees, but whose role as a volunteer is so essential to the mission of the intervention that the intervention would not pay them even if it could. **Integral volunteers should NOT have an estimate of their market prices made.** An example of this is when volunteerism is a way to ensure clarity of purpose for a volunteer peer educator in the eyes of the community in which she works. If this volunteer were paid for her work, she would lose credibility in her community and thus be unable to perform her function adequately. The market price of her volunteer work is therefore the amount she is currently paid, even if that amount is zero, and no market price should be entered. To determine whether or not a volunteer is an integral volunteer, ask your respondent, **“Would paying this volunteer a regular salary run counter to the mission of this intervention?”** If your respondent answers “yes”, the volunteer is an integral volunteer.

3. Detection of **personnel who earn salaries outside the normal wage range for their job type** requires vigilance from the interviewer when reviewing the list of employees for:
Employees earning less than 50% or more than 150% of the suggested wage for the job classification.

Employees earning less than minimum wage (note: the minimum wage must be in hourly terms to avoid misclassifying part-time workers).

Employees earning less than 50% or more than 150% of the wage for paid employees performing similar work in the same or other prevention organization.

Once it is decided that an individual requires market pricing of salary:

To obtain market prices, ask your respondent, “What do paid employees with similar positions, skills, and functions in this or similar prevention programs earn?”

If the first question can not be answered, then ask: “What would you have to pay to hire someone today to do the work of employee X?”

Note:

1. The time interval for the market price estimates should be the same as that for the financial costs (i.e. monthly, quarterly, or yearly)

2. The market price estimates documented in ADC must be for the current year, even if the staff member is not currently employed at the intervention. For example, even if an employee worked at the intervention for three months two years ago and is no longer employed, the market price estimate should still reflect his replacement costs for the current year.

Off-Site market pricing

Procedure: If your respondent is unable to provide estimates of the market price for employees requiring this, apply the local minimum wage (determined off-site) to any staff paid at less than this wage rate. Apply higher minimum wages by broad job classification, if available.

20. Current % allocation of personnel efforts to:

- **Format:** Percent.

- **Purpose:** In order to compute personnel costs with as much precision as possible, we must know how each employee’s effort is divided among different interventions within the facility.

- **Reasonable answers:** 50, 0, 100. Any number between 0 and 100, representing percentage effort. In most cases, this will be the proportion of the person’s time spent working on each intervention.

- **Unreasonable answers:** Any number less than 0 or more than 100 when summed across all intervention columns. For example, it is inappropriate to insert “100” in the
STI column and “100” in the VCT column for the same person. A person can not devote less than 0% effort or more than 100% effort.

TIPS: Please see allocation instructions in text box.

If the person concerned spends part of his time on work not related to PANCEA-type HIV/AIDS – prevention activities, the total allocation will be < 100%.

It is important to determine whether allocations should be completed for one or more interventions. As an example, staff for a SW intervention may spend some time on activities like IEC and for STI care. In this case, determine whether the IEC/STI interventions will be treated as separate activity. Use the allocation column for these additional interventions only if there is enough of a separate program to complete a separate ARQ intervention sheet (e.g., >20% of program resources). If these interventions represent a small activity within the primary SW intervention, then, it should not be allocated separately.

If the person works part-time for the intervention at a different salary than other work, indicate the full-time rate for this work in the salary column. E.g., if s/he earns 10,000 Rand/mo for half-time work, indicate 20,000 Rand/mo salary, regardless of earning rate for other activities, and in the allocation column indicate 50%.

### Allocation of Personnel

**General Procedure:**
An employee’s effort should be allocated based on the amount of time s/he spends performing duties for the intervention in question, during the time period being studied. Explicit individual-level allocations are typically calculated only for those personnel whose work directly supports the intervention. Employees who indirectly support the intervention (for example, janitors and cooks) are typically considered as “overhead,” and will be allocated on the same basis as the building in which they work (see below), often off-site.

**Step-by-step data recording:**
**Note:** Allocations should be expressed as percents. FTEs, if used per below, should be recorded as numbers.

There are 3 options to to record % allocation of personnel effort. We offer these options so that you and your respondents can use the approach that is easiest and most accurately captures allocations, based on how the intervention(s) is/are staffed.

**Option #1: Individual-level allocation %s- PREFERRED**
1. Complete the relevant “current % allocation” columns (question #21) for each individual listed on the personnel roster.
2. For each employee, ask the “query change” question (#22) to determine whether there were any changes in % allocations during the “most recent fiscal year”.
3. If there were changes, complete the “previous % allocation” columns (question #23) for that employee, and record the date of each change (question #24).

Option #2: Total-level allocation %s
1. If there is a reasonable means to allocate total personnel effort to the intervention(s), complete the relevant “current % allocation” columns (question #21) as a total across all employees in the first row labeled “totals”.
2. Insert a comment, describing how allocations were computed. E.g., based on % of all diagnoses.
3. Ask the “query change” question (#22) as a global question across all personnel to determine whether there were any changes in % allocations during the “most recent fiscal year”.
4. If there were changes, complete the “previous % allocation” columns (question #23) as a total across all personnel, and record the date of change (question #24).

Option #3: Full-Time Equivalents (FTEs) (Implemented only in ADCni)
1. In the relevant “current % allocation” columns (question #21), record total current full-time equivalents (FTEs) for up to 10 job categories/titles, in the “FTEs” rows. Include volunteer efforts.
2. Ask the “query change” question (#22) for each FTEs row used (up to 10) to determine whether there were any changes in FTEs during the “most recent fiscal year”.
3. If there were changes, complete the “previous % allocation” columns (question #23) for each FTE row used (up to 10), and record the date of change (question #24).

Question. Data Source.

What is the source of these data?

Format: Text

Purpose: We want to know the source of our data as a quality-control check. We are the most confident of data coming directly from written records, and the least confident of estimates based on recall alone.

1. Reasonable Answers: (See Tips below for explanation of abbreviations)
   “Types of outreach are SR. Population reached is RO.”

   “Population reached is RO.” (Incomplete).

TIPS: Complete this field immediately after you collect data for the section. It is not necessary to ask your respondent for this information; rather describe your process of obtaining the information.
Please refer to the data source classification system detailed in data collection section of the manual and within each instrument.
Section 3c. Inputs – personnel turnover

Here we want to know about the problems the facility may have had in filling vacancies. This set of questions helps us determine how employee turnover may affect the quality of services the organization can provide.

1. Personnel/volunteer job categories.
   Job categories are pre-specified in this column; all subsequent questions on this worksheet should be completed for each job category used in the personnel roster worksheet (Section 3b, question #2)

2. When did you most recently lose personnel of this type?
   • Format:  mm/yyyy
   • Purpose: The purpose of this worksheet is to examine how staff retention and turnover affect the quality of services. Higher quality services may be provided if key personnel are in place over a period of time providing continuity of care and service, and maintaining institutional memory. This set of questions examines these issues by collecting information about the timing of recent personnel turnover, reasons for this turnover, and how the facility dealt with personnel turnover
   • Reasonable answers:  04/2002
   • Unreasonable answers:  10/2001 would be an unreasonable answer if the most recent time that someone left this job category was a more recent date. We are asking for the most recent employee turnover for each job category.

3. Why did s/he leave?
   • Format:  Drop down menu
     Retired
     Maternity leave
     Found another job
     Became ill
     Died
     Facility no longer needed services
     Facility could no longer pay for services
     Fired for cause.
     (This means that he / she was let go for actions or behavior that the facility found incompatible with his / her duties and responsibilities. This includes theft and shirking as well as general incompetence.)
     Transferred
     Other (specify)
   • Purpose: The purpose of this worksheet is to examine how staff retention and turnover affect the quality of services. Higher quality services may be provided if
key personnel are in place over a period time providing continuity of care and service, and maintaining institutional memory. This set of questions examines these issues by collecting information about the timing of recent personnel turnover, reasons for this turnover, and how the facility dealt with personnel turnover.

- **Reasonable answers:** Was let go because the facility could no longer pay for his/her services. If the reason for the employee’s departure does not clearly fall within any of these categories, select “Other (Specify.)” and include a comment detailing the situation.

- **Unreasonable answers:** Answers are pre-determined with the drop-down list.

**TIPS:** This may be a sensitive question. Explain that we are not making any judgment about the facility, its staff, or management. We simply want to understand the reasons for staff turnover.

4. **What was the monthly salary of the person who left?**

- **Format:** number (local currency)

- **Purpose:** The purpose of this worksheet is to examine how staff retention and turnover affect the quality of services. This question helps clarify the individual’s level in the organization.

- **Reasonable answers:** 50; any number that reflects the WEEKLY salary of the employee in local currency, or in foreign currency if the type of currency is recorded as a comment.

- **Unreasonable answers:** 200 (monthly salary).
  A number that reflects the person’s total weekly compensation. Here we want to know only about the regular weekly payment (i.e., salary), and not about any other benefits that person may have received.

5. **Did you try to replace him / her?**

- **Format:** Yes/No

- **Purpose:** The purpose of this worksheet is to examine how staff retention and turnover affect the quality of services. This question indicates level of effort to replace lost employees, which may reflect commitment to continuation of services.

- **Reasonable answers:** Yes or No
  If no, skip to next vacancy line.

- **Unreasonable answers:** n/a

**TIP** If it is unclear if there was an effort to replace the employee (e.g., very minimal effort), make a quick...
judgment on whether the answer is more “yes” or more “no”.

If the vacancy was filled (q6), then the answer here must be yes.

6. How long did it take to fill that vacancy? (number of weeks)

- **Format:** number (weeks)

- **Purpose:** The purpose of this worksheet is to examine how staff retention and turnover affect the quality of services. This question indicates success in efforts to maintain continuity of this position.

- **Reasonable answers:** 7 (weeks).

- **Unreasonable answers:** An answer that does not use weeks as the unit.

**TIP**

This time represents the period from the end date of employment of the old employee until the start date of the new employee.

If more than one person was hired, this number should be the time to hire the first similar staff member.

7. What is the monthly salary of the replacement?

- **Format:** number (local currency)

- **Purpose:** The purpose of this worksheet is to examine how staff retention and turnover affect the quality of services. This question indicates the level of the new employee compared with the old one.

- **Reasonable answers:** 50; any number that reflects the WEEKLY salary of the employee in local currency, or in foreign currency if the type of currency is recorded as a comment. The salary listed here should agree with salaries provided on 3b. Personnel Roster.

- **Unreasonable answers:** A number much higher or lower than the former employee’s salary. Usually, an organization will replace lost staff with someone of comparable qualifications and salary. If the salary is substantially less or more than the salary of the person replaced (question #4), explain in the comments field.
Section 3d. Inputs - Capital goods, equipment

This section asks about the costs and usage of large equipment (capital expenses) currently in use by the facility, or used at some point in the “most recent fiscal year”.

Definitions

The distinction between capital goods / equipment and recurrent expenses (which is recorded in a subsequent worksheet) is not completely standard, so we provide some guidelines. If the item is more than $100 and will last a long time (e.g., more than a year, such as a bicycle), it belongs on this page. Another potentially important criterion is whether the item can be used but still retain value or essentially full useful characteristics. For instance, you can use a car today, and still have it to use again tomorrow. Moreover, you can use the car for a year, and sell it next year. That is not possible with many smaller, more “consumable” items, such as laboratory reagents.

In keeping with our desire to simplify data collection, it is ok to defer to the site’s accounting approach for an item that could be either capital or recurrent. Thus, for example, a $100 computer disk drive can be reported in either category.

Purpose

The purpose of this section is twofold: (a) to determine the facility’s total expenditure on large equipment from the “most recent fiscal year” to the present and (b) to create a description of all pieces of large equipment >$1,000 so that we can compute a market price later.

Alternatives for completing this section

This section has been created so that all pieces of large equipment used by the facility can be enumerated; by summing across all entries, we obtain total facility expenditure on large equipment. However, if the facility already has a total capital expenditure line item in their records for specific time periods, the following alternative is acceptable:

- Record total expenditure for each time period in the first row of the main table.
- It is still necessary to list each piece of large equipment used by the facility from the “most recent fiscal year” to the present.
- Complete all columns for each piece of large equipment except Q5 “Price paid or monthly rent”.

List of large equipment

To first create a comprehensive list of large equipment, ask the respondent to provide a list of large equipment that is in current use and/or was in use at some time during “the last fiscal year”. All equipment used by the intervention should be listed; equipment used by the facility but not the intervention is desirable but not essential since we ask about capital expenditures in the Total Facility Expenditure sheet. Recurrent expenses should not appear here. Large equipment that the facility used prior to the “most recent fiscal year” should not appear here.

Capital Goods, Equipment: Prompt List
- General Office
  - Computers

Version 2/20/2004
PAN_man_ARQni_v16
Printers
FAX machines

**Transportation**
Cars, trucks
Motorbikes
Bicycles

**Audio/visual**
Televisions
Video players
Movie projectors

**Lab/clinical**
Generators
Autoclaves
Refrigerators/freezers
Microscopes
Incubators
HIV testing machines
STI testing machines
Air conditioners
Heaters

1. For each separate piece of equipment used, write a description in column 1 and answer the following questions.

- **Format:** Text.
- **Purpose:** The purpose of this field is to list each item included in capital goods.
- **Reasonable answers:** Enter a basic description of each item in a separate row, and asking each of the subsequent questions of each individual item. For instance, if the facility owns two generators, the first two rows should begin as follows:

<table>
<thead>
<tr>
<th>Item description</th>
<th>When did you acquire this item?</th>
</tr>
</thead>
<tbody>
<tr>
<td>John Deere Generator, 40kW</td>
<td>1996</td>
</tr>
<tr>
<td>PowerEnergy Generator, 100kW</td>
<td>1999</td>
</tr>
</tbody>
</table>

An adequate description of each item – and more detailed for those >$1000, donated, or heavily subsidized – is important because we will estimate market prices after on-site data collection is complete. We want to have enough information about each item so that we can go to a store or do an on-line search to determine the current market price of each item. For this reason, an adequate description should include make, model, manufacturer and/or functional specifications (e.g., copier with a maximum of 1000 copies per hour). See more
detailed instructions on market pricing and examples in the manual chapter on Costing Techniques.

- **Unreasonable answers:** An unreasonable answer is one that does not provide adequate information to conduct market pricing later (e.g., “generator 1” or “car”). Also unreasonable is grouping dissimilar items together (e.g., 8 computers including laptops and desk models of varying computer power).

### 2. When did you acquire it? (mm/yy)

- **Format:** Date. (mm/yy)
- **Purpose:** We need to know when the item was acquired so that we know when the facility would have incurred a cost for each item. In addition, when we compute facility costs, we want to spread the cost of each piece of large equipment across the lifespan of the item. We need to know the acquisition date in order to do this.

- **Reasonable answers:** Any date prior to the current date. (e.g., 03/95, 03/03)
- **Unreasonable answers:** A date in the future does not make sense. A date that does not specify the month – e.g., “2002” – is not ideal; however, knowing only the year is better than recording “dk” – “don’t know”.

**TIP:** If you respondent knows the approximate month of purchase, enter a guess. E.g., if “summer”, assume July.

### 3. How old was this item when acquired? (Years)

- **Format:** number
- **Purpose:** In the market, a new item usually costs substantially more than a used item. This information is essential for subsequent market pricing. In addition, when we compute facility costs, we want to spread the cost of each piece of large equipment across the lifespan of the item. We need to know how old the item was when acquired in order to compute a reasonable lifespan of the item at the facility.

- **Reasonable answers:** If the item is new, “0” is the appropriate answer. “5.5” is the correct answer for a car that was five and one-half years old when acquired.
- **Unreasonable answers:** “37” for a car (and for most other pieces of large equipment) seems improbable, since most cars do not stay in use longer than 15 years or so.

### 4. How did you acquire it?

- **Format:** Drop-down menu
  1. Purchased by this facility ➔ Q5
  2. Rented ➔ Q5
3. Borrowed → Q7
4. Received for free from parent organization or other source → Q9

- **Purpose:** This information dictates the flow of subsequent questions. We ask certain questions of items that have been purchased or rented vs. borrowed or gifted. In addition, if the option “rented” is selected, we will apply the cost given in Q5 to each month the item was in use by the facility, as opposed to considering the cost in Q5 as a “one-time” expenditure. Subsequently, this information informs the process of market pricing.

- **Reasonable answers:** Answer from drop-down list. If none of these options exactly fits the method of acquisition, select the option that is the best choice, and include additional information as a comment.

- **Unreasonable answers:** Leaving this field blank, or failing to include additional notes in the case of the method of acquisition not clearly matching any of the options provided.

**TIPS:**

If a capital good was paid for by the facility over time, a correct answer is “1. Purchased by this facility”. In this case, the total cost of the item (including any interest) should be listed in Q5 (see notes there).

4. **Price paid or monthly rent.**

- **Format:** Number, in local currency, unless otherwise defined in the comments field.

- **Purpose:** The purpose of this question is to gather information about the price of each individual capital good so that we can compute the facility’s total expenditure on large equipment during the “most recent fiscal year” and “last month”.

- **Reasonable answers:** $15,000 (for a car), 1,000 pesos (for a video player), 0 for a donated generator. Prices should be numerical and should be a “reasonable” figure if the facility purchased the item outright, or should be less than the usual value if the item was subsidized or donated.

- **Unreasonable answers:** $100,000 for a car is exorbitant. This value implies a data entry error – perhaps an extra “0”? - unless a comment is inserted to explain an extremely high price. Likewise, if the item is “rented” (See Q4.), a price of $15,000 for a car is still exorbitant, because it implies that $15,000 is paid in rent EACH MONTH for this car. In Mexico, if a video player was purchased by the facility for $100 (US dollars), “100” is an incorrect entry because, unless otherwise noted, we consider values in this field to be in local currency. In this example, the local currency is “pesos”, and so this entry should be either converted to pesos $100 ~= 1,000 pesos, or the “100” should be entered with a comment that indicates the non-local currency.

**TIPS:**

This number should be in local currency unless otherwise noted.

If the item was purchased and financed with
monthly payments, the total purchase price including interest should be reported here. If this is not known, mark n/a and in the Comment indicate the information that is available – e.g., monthly payment, duration of the loan, and interest rate.

Prices recorded here should be the actual cost to the facility. You will calculate market prices later, through web searches and visiting stores.

If purchase/rent/borrowing cost seem very different from the true market price, enter the price actually paid. Be sure to enter in the comments field that you believe that the market price may be higher or lower than this amount. This will serve as cue to do market pricing later.

5. Did you share the purchase of this equipment with another organization outside your facility?

- **Format:** Yes/No
- **Purpose:** We want to know whether facilities co-ordinate purchases with others to take advantage of quantity discounts or other quantity restrictions.
- **Reasonable answers:** Yes
- **Unreasonable answers:** Any answer that is not “Yes” or “No”. If necessary, additional information can be included as a comment to describe the situation.

6. What proportion of each week do you use/borrow this equipment?

- **Format:** Percentage – 0 – 100.
- **Purpose:** We will use this information to allocate the cost of the item to the facility. If an outside organization uses this item for a portion of the week, we assume that that portion of the item’s cost is covered by the outside organization.
- **Reasonable answers:** For those items that are borrowed, estimate roughly what percentage of a normal week do you have use of this equipment. This could be “25%”, “50%”, etc.
- **Unreasonable answers:** Since the format is a percentage, “110%” is inappropriate, as is any number that is less than “0”. A textural answer would also be unreasonable here, although additional comments are always welcomed.

7. What is the value per week of any compensation (in money, goods or services) that you give for borrowing this equipment?

- **Format:** Number, in local currency.
• **Purpose:** We want to capture total facility expenditure for large equipment, and this includes recording informal payments made in money, goods, or services. Even though a facility may not have a formal rental contract, they may still incur some costs with a borrowing agreement.

• **Reasonable answers:** 500. The number given here should be in local currency, or if not, a note should be included to indicate the currency used. A reasonable answer includes a number only. Additional information should be recorded in a separate comment.

• **Unreasonable answers:** See the notes in the “Reasonable answers” section above.

8. Do you sometimes lend or rent out this equipment to another organization?

• **Format:** Yes/No

• **Purpose:** We will use this information to allocate the cost of the item to the facility. If an outside organization uses this item for a portion of the week, we ask in later questions about cost recovery.

• **Reasonable answers:** Yes

• **Unreasonable answers:** Any answer that is not “Yes” or “No”. If necessary, additional information can be included as a comment to describe the situation.

9. What proportion of each week do you lend / rent this equipment?

• **Format:** Percentage – 0 – 100.

• **Purpose:** We will use this information to allocate the cost of the item to the facility, along with the next question.

• **Reasonable answers:** For those items that are lended/rented, estimate roughly what percentage of a normal week you do NOT have use of this equipment. This could be “25%”, “50%”, etc.

• **Unreasonable answers:** Since the format is a percentage, “110%” is inappropriate, as is any number that is less than “0”. A textual answer would also be unreasonable here, although additional comments are always welcomed.

10. What is the value per week of any compensation (in money, goods or services) that you receive for lending / renting this equipment?

• **Format:** Number, in local currency.

• **Purpose:** We want to capture net total facility expenditure for large equipment, and this includes recording income for lending/renting equipment. Even though a facility may not have a formal rental contract, they may still have some revenue due to such an agreement.
- **Reasonable answers:** 500. The number given here should be in local currency, or if not, a note should be included to indicate the currency used. A reasonable answer includes a number only. Additional information should be recorded in a separate comment.

- **Unreasonable answers:** See the notes in the “Reasonable answers” section above.

11. **How much did you pay for repairs and upkeep in the most recent fiscal year?**

- **Format:** Number, in local currency.

- **Purpose:** Expenditure on repair and upkeep of large equipment can be substantial. We want to include these costs as part of the facility’s costs for large equipment.

- **Reasonable answers:** 50. A reasonable answer is typically much less than the purchase cost, e.g., 5-10%. If more, verify in comments.

- **Unreasonable answers:** An expense that is double-counted in other worksheets. Depending on how the facility keeps their records, they may have repair/upkeep costs lumped into “recurrent expenses”. If these costs are listed elsewhere, include a comment here indicating as such.

**TIPS:** If these costs are not recorded in records, obtain quick estimates. One strategy is to think of specific repair/upkeep fees (e.g., Can your respondent remember particular large expenses like car servicing, replacement tires, major breakdown/repair)?

12. **Average % allocation of capital goods to [list of all PANCEA interventions].**

- **Format:** Percentage (0 – 100).

- **Purpose:** We want to determine the proportion of these expenditures that can be attributed to each PANCEA intervention at the facility (up to 2 per site). This is critical to estimate costs for the single program cost-effectiveness analyses.

- **Reasonable answers:** Any percentage between 0 and 100. If the item is used across multiple interventions, the sum of allocations should not be greater than “100”. The % allocation should be an AVERAGE across the lifespan of the item, and not current usage.

- **Unreasonable answers:** “50%” for STI and “70%” for VCT; These answers are unreasonable since they total to 120%

**TIPS:** The total could be less than 100%, if the item is used less than fully for the interventions we are studying at this facility.
Section 3e. Inputs - Recurrent expenses, goods.

This section asks questions about all small equipment and disposable items that the facility has used in the “last month” and “most recent fiscal year”.

Definitions
In contrast to items listed as capital expenditures, recurrent goods get used up and must be replaced. The lifespan of these items tends to be less than one year. In addition, the cost of these items tends to be under $100. Examples of such items include office supplies as well as condoms, syringes, and medicines.

Recurrent expenses are collected on two forms: goods and services. Goods are physical items like paper and staplers and test tubes; services are activities performed for the program by others, like trainings or accounting services.

Purpose
The purpose of this section is twofold: (a) determine the expenditure on recurrent goods for the intervention(s) for the most recent fiscal year and the last month, and (b) to describe recurrent goods (especially items costing >$1000 per year per item, or donated or highly subsidized) so that we can determine a market price later.

Alternatives for completing this section
This section has been created so that all recurrent goods (small equipment / disposables) purchased by the facility can be enumerated; by summing across all entries, we obtain total facility expenditure on recurrent goods. If you are completing this section in this manner, follow the question-by-question instructions below. However, if the facility already has a total recurrent expenditure line item in their records for specific time periods, the following alternative is acceptable:

- Record total recurrent expenditures for goods and % allocation(s) for each time period in the first row.
- It is still necessary to complete all information for the 9 pre-specified items (starting with male condoms), following the instructions here and in the Costing Techniques section.
- List any donated items, and specify the quantity of each.
- Provide a thorough explanation of the basis for the allocation(s) to intervention(s) as a comment.

In order to create a comprehensive listing of recurrent spending, using information available from the program’s accounting system but also gathering standard information on key recurrent expenses, use this approach:

- **Record recurrent expenses as they are organized in program records** beginning on the first blank row below the pre-specified recurrent expenses. For example, an accounting category may be “Medical Items,” which includes medicines, HIV test kits, and other supplies. “Medical Items” should be entered as the recurrent item, along with the total expense. If any of these categories match the pre-specified recurrent expenses listed (e.g., HIV test kits), enter the data in those pre-specified rows. Use the prompt list to help get complete data.
• For each pre-specified recurrent expense category (e.g., HIV test kit), enter as much of the requested information as possible. All pre-specified recurrent expenses for the intervention type must be addressed with one of the following: the requested data; “N/A” if that item is not used by the intervention; or “included in” comments indicating the broader recurrent spending categories in which these expenses are reported.

IMPORTANT: If the data in a pre-specified row REPEATS information embedded in an expense category the program uses (e.g., if the cost of HIV tests kits are reported in their own pre-specified row and in “Medical items”), include a comment indicating that expenses for HIV test kits are included in the “master” category “Medical items. This will avoid double-counting.

Note: An adequate description of each item over $1,000, donated, or heavily subsidized is important because we will go through a process of market pricing after on-site data collection is complete. We want to have enough information about each item so that we can go to a store or do an on-line search to determine the current market price of each item. See the Costing Techniques section of the manual for detail.

1. Item description

   ▪ Format: Pre-specified line items and new text.
   ▪ Purpose: The purpose of this question is to list recurrent goods purchased by the facility. Obviously, this affects costs of delivering services.
   ▪ Reasonable answers: Pre-specified items plus categories used by the facility, with descriptive detail especially for items requiring market costing (see above).
   ▪ Unreasonable answers: An unreasonable answer is one that does not provide adequate information to conduct market pricing later.

2. Redundant Category

   ▪ Format: text
   ▪ Purpose: The purpose of this field is to record cost redundancies, and thus to eliminate double-counting. When entering expenditure directly from facility records, a broad category like “medical expenses” may include specific items like “male condoms”. The broad category (e.g., “medical expenses”) should be recorded in the “redundant category” for male condoms to indicate they have been included in the broad category.
   ▪ Reasonable answers: When using this field, the text inserted should match the name of another (not pre-specified) item. “N/a” is correct if there is no cost redundancy. “Blank” is ok for all non-specified recurrent
expenses since redundancies can only occur for pre-listed items.

- **Unreasonable answers:** It would be unreasonable to NOT use this field if there is any double-costing. It would also be unreasonable if the text inserted does not match another item listing.

**TIP**

This column indicates which items are reported twice. These items will first be entered as their own row using PANCEA pre-listed categories. They will then be embedded in another broader category as defined by the program, (which is the “redundant” category). E.g., If HIV test kits are reported individually in the PANCEA category and then in a category that the program calls “Lab disposables”, the latter should be noted in the “Redundant Category” column of the HIV test kits row.

3. **How many did you purchase in last month?**

- **Format:** number

- **Purpose:** Collecting information on the number of each item used is an alternate way to compute total expenditure. We can obtain total expenditure by multiplying quantity by market prices or the average price paid by the facility for each item unit.

- **Reasonable answers:** 1000 (condoms), 50 (HIV test kits). 10 (cases of condoms). If reported in bulk units – e.g. 10 cases of condoms, 2 boxes of needles, describe the unit in the comments (e.g. 1 case of condoms = 500 condoms, 1 box of needles = 1,000 needles).

- **Unreasonable answers:** Answers that are improbable when considering the facility’s productivity. It may be improbable for a facility to purchase 500,000 condoms in one month, especially if the same facility saw only 20 clients last month. Does this answer make sense considering other facts I know about this facility and intervention? If an answer is improbable, but has been confirmed, provide a brief comment.

4. **How many did you purchase in the most recent fiscal year?**

- **Format:** number

- **Purpose:** Collecting information on the number of each item used is an alternate way to compute total expenditure. We can obtain total expenditure by multiplying quantity by market prices or the average price paid by the facility for each item unit.
- **Reasonable answers:** Expected answers will be roughly 12 times the quantity listed in Q3.

- **Unreasonable answers:** Substantially below or above 12 times the last month. If so, explain in comments, e.g., seasonal variation, or made large purchase last month, or just gearing up in recent months.

5. **Where did you most recently purchase them?**

- **Format:** Drop-down menu

  - Local market
  - Formal supplier
  - Government
  - Imported directly
  - Other (Specify.)

- **Purpose:** It may be the case that it is cheaper or more expensive to acquire goods from certain suppliers. After collecting data from multiple sites, we can examine this question, using answers to this question.

- **Reasonable answers:** Answers are pre-specified in the drop-down list. If none of the options clearly applies, choose the best option and provide more information as a comment.

- **Unreasonable answers:** A purchase source that is vague, e.g., “vendor”.

6. **What was the average price you paid for each one during the most recent fiscal year?**

- **Format:** Number, usually in local currency.

- **Purpose:** We can use this information to determine total facility recurrent expenditure by multiplying by the number purchased. Later on, we can also compare this value to the market price to determine whether the facility is paying more or less than expected for their goods.

- **Reasonable answers:** Reasonable price based on data collector’s knowledge of prices.

- **Unreasonable answers:** A price that is unreasonably high, e.g., $5 for a male condom.

**TIPS**

There may be more than one price. Ask the respondent to estimate the average price paid for these items.

7. **How much did you spend, in total, last month?**
8. How much did you spend, in total, in the most recent fiscal year?

**NOTE:** Fiscal year detail in columns J to Y in Excel

- **Format:** Number, usually in local currency.
- **Purpose:** This is the most direct method of computing total facility expenditure on recurrent goods.
- **Reasonable answers:** The expected answer will be a number that is in the same range as (quantity * average unit price) for the past year, and usually in the same range as (12 * last month).
- **Unreasonable answers:** An unreasonable answer is one that is substantially different from (quantity * average unit price) for the past year. In addition, an unreasonable answer is one that uses an unspecified foreign currency, since the assumption for this field is a local currency.

9. Did you purchase these together with another organization outside your facility?

- **Format:** Yes/No
- **Purpose:** We want to know whether facilities co-ordinate purchases with others to take advantage of quantity discounts or other quantity restrictions.
- **Reasonable answers:** Yes  
  No  →  skip to question 9
- **Unreasonable answers:** Any answer that is not “Yes” or “No”. If necessary, additional information can be included as a comment to describe the situation.

10. How many do you have in stock?
Format: Number

Purpose: This question addresses quality – how many necessary supplies are in stock. We also address supply shortages elsewhere in this sheet and in the ARQ intervention sheets.

Reasonable answers: A number that reflects the quantity of the item in stock, preferably in the same units used for question #3 (if otherwise, so note).

Unreasonable answers: “100,000” condoms is an unlikely answer if the number of condoms purchased in the last month (question #3) is “1,000”, especially if this purchasing pattern extended across the “most recent fiscal year” (question #4). If correct, indicate that you have verified this answer by inserting a comment.

11. How many of these did you receive for free from your parent organization or other organization in the most recent fiscal year?

Format: Number

Purpose: We will compute the market price of these items later and add these costs into the theoretical total facility cost to run another intervention similar to the one you are visiting.

Reasonable answers: A number that reflects the quantity of the item donated, preferably in the same units used for question #3 (if otherwise, so note).

Unreasonable answers: Keep the big picture in mind: Does the quantity of donated items make sense, considering how many are purchased and the scale of outputs (e.g., number of condoms distributed per year)?

12. How many times did you run out of stock in the most recent fiscal year?

Format: number

Purpose: To determine the number of different times (not total days) the facility ran out of individual items. This question is an indication of the quality of services provided. If a facility often runs out of key supplies, this means that services are often compromised or delayed.

Reasonable answers: “6”; This answer is reasonable if the facility ran out of the item 6 different times across the entire previous fiscal year. A wide range of numbers is acceptable. However, consider the range of numbers that makes sense.

Unreasonable answers: “365”; unlikely since this means that the facility ran out of the supply every day of the most recent fiscal year – in other words, the item was never available.
**TIPS:**  
“Times” is different from “days”. For example, the facility may have run out of condoms; they did not receive a new shipment of condoms until the next week, so this “time” spans 7 days.

Your respondent may have difficulty remembering all the times they ran out of stock. You can make this question easier by “breaking it down”. For example, you could ask your respondent, “How many times did you run out of this item last month?” “Do you think this is about how often you normally run out of this item?” Thus, you can help your respondent build a reasonable “best guess”.

13. **When did you last run out? (mm/yy)**

- **Format:** Date (mm/yyyy)
- **Purpose:** Like Q12, this question is assessing the quality of services provided. We will use this information in conjunction with Q12 to determine how often services may be interrupted due to running short on supplies.
- **Reasonable answers:** “06/02”; a reasonable answer is a date providing both the month and year.
- **Unreasonable answers:** “12/05”; this answer is unreasonable because the date is in the future. As always, a date is preferable to “dk”.

14. **What did you do (when you last ran out)?**

- **Format:** Drop down menu
  - Buy more
  - Request from parent organization or donor
  - Wait for re-supply
  - Borrow from another organization
  - Other (Specify.)
  - N/A
  - DK
- **Purpose:** As Q12 and Q13, this question measures the quality of services offered. We want to know how the facility handled the most recent stock outage so that we can understand what happens when there is a stock outage – Is the facility able to obtain more supplies immediately, or does a stock outage imply a longer period of services interruption?
- **Reasonable answers:** Any option selected from the drop-down menu. If “Other (Specify.)” a comment should be included with this answer.
- **Unreasonable answers:** An unreasonable answer is one that conflicts with other information collected. For example, if the facility reported never having run out of the item in the most recent fiscal year (question #12), any answer other than “N/A” would be surprising.

15. % allocation of recurrent expenditure to [list of all PANCEA interventions].

- **Format:** Percentage (0-100).

- **Purpose:** We want to determine the proportion of these expenditures that can be attributed to each PANCEA intervention at the facility (up to 2 per site). This will allow us to cost each intervention separately.

- **Reasonable answers:** Any percentage between 0 and 100. If the item is used across multiple interventions, the sum of allocations should not be greater than “100”.

- **Unreasonable answers:** “50%” for STI and “70%” for VCT; These answers are unreasonable since they total to 120%
Section 3f. Inputs – Recurrent expenses, services.

This section asks about all services that the facility has used in the "last month" and "most recent fiscal year". This can include everything from cleaning services to internet to meetings.

**Note:** The costs here should not duplicate costs in Personnel. An individual working for the intervention or facility is, at any one point in time, either staff or hired to provide services. It is essential to avoid double-counting.

**Definitions**

Services are less tangible than goods. It is straightforward to enumerate the number of condoms purchased; in contrast, “maintenance for buildings” could include both labor and a mix of supplies. For this reason, we separated recurrent expenditures on goods from services: we do not need to gather information about unit costs, the number in stock, etc.

Examples of services include utilities, television advertisements, and trainings.

**Purpose**

The purpose of this section is twofold: (a) to determine the expenditure on recurrent services for the intervention(s) for the most recent fiscal year and the last month, and (b) to describe these services to understand the resources required to implement the intervention, and in some instances to determine a market price.

**Alternative for completing this section**

This section has been created so that all services can be enumerated; by summing across all entries, we obtain total recurrent expenditure on services. If you are completing this section in this manner, follow the question-by-question instructions below. However, if the facility already has a total recurrent expenditure line item in their records for specific time periods, the following alternative is acceptable:

- Record total recurrent expenditure on services and % allocation(s) of this total to each intervention(s) for each relevant time period in the first row.
- It is still necessary to complete all information for the pre-specified items (starting with training for personnel).
- List any donated services.
- Provide a thorough explanation of the basis for the allocation(s) to intervention(s) as a comment.

In order to create a comprehensive listing of recurrent spending, using information available from the program’s accounting system but also gathering standard information on key recurrent expenses, use this approach:
• **Record recurrent expenses as they are organized in program records** beginning on the first blank row below the pre-specified recurrent expenses. For example, an accounting category may be “Management services,” which includes training and management consulting. “Management services” should be entered as the recurrent item, along with the total expense. If any of these categories match the pre-specified recurrent expenses listed (e.g., Training for personnel), enter the data in those pre-specified rows. Use the prompt list to help get complete data.

• **For each pre-specified recurrent expense category (e.g., Training workshop for personnel),** enter as much of the requested information as possible. All pre-specified recurrent expenses for the intervention type must be addressed with one of the following: the requested data; “N/A” if that item is not used by the intervention; or “included in” comments indicating the broader recurrent spending categories in which these expenses are reported.

**IMPORTANT:** If the data in a pre-specified row **REPEATS** information embedded in an expense category the program uses (e.g., if the cost of Training for Personnel are reported in their own pre-specified row and in “Management Services”), include a comment indicating that expenses for HIV test kits are included in the “master” category “Management Services.” **This will avoid double-counting.**

**Note:** If some services are very standard, we may be able to market price them. For example, “Training for 10 individuals in VCT counseling.” This will be desirable for any service over $1,000 per year, donated, or heavily subsidized. We expect most services to be too customized to the program’s needs or too vaguely described to do market pricing.

1. **Service description**

  ▪ **Format:** Pre-specified line items and new text.

  ▪ **Purpose:** The purpose of this question is to obtain a list of services so that we can compute total expenditures and understand what resources are required to implement the intervention. Occasionally, with very standard services, we’ll be able to do market pricing.

  ▪ **Reasonable answers:** Pre-specified items or items in the facility’s accounting records. If the name in the facility’s accounting records is not descriptive, it should be accompanied by description in the cell or in comments. E.g., “Management services” includes “General management advice; 3 staff trainings; and some auditing.”

  ▪ **Unreasonable answers:** An unreasonable answer is one that does not provide adequate information to understand the service.

**TIPS:** Understanding the content of services with vague names should be possible by asking the respondent to elaborate on what services were
provided. For example, “Publicity” could mean writing, printing, and distributing pamphlets.

2. **Redundant Category**

   - **Format:** text
   - **Purpose:** The purpose of this field is to record cost redundancies, and thus to eliminate double-counting. When entering expenditure directly from facility records, a broad category like “Management services” may include specific items like “Training for personnel”. The broad category (e.g., “Management services”) should be recorded in the “redundant category” for male condoms to indicate they have been included in the broad category.

   - **Reasonable answers:** When using this field, the text inserted should match the name of another (not pre-specified) item. “N/a” is correct if there is no cost redundancy. “Blank” is ok for all non-specified recurrent expenses since redundancies can only occur for pre-specified items.

   - **Unreasonable answers:** It would be unreasonable to NOT use this field if there is any double-costing. It would also be unreasonable if the text inserted does not match another item listing.

3. **How much did you spend, in total, in the last month?**

   - **Format:** Number, typically in local currency.
   - **Purpose:** This is the most direct method of computing total facility expenditure on recurrent services.

   - **Reasonable answers:** “1000” (Rand); the expected answer will be a number that is reasonable, considering the particular service offered. For example, $100 ($1 = 10 Rand) for a training may make sense if the training was a one-day training for 10 personnel.

   - **Unreasonable answers:** “1000” (Rand) This cost would be unexpected, if the training involved an off-site training for 50 people that involved air fare, hotel stays, per diems.

   **TIP** It is important to record training expenditures, even if paid by an outside agency such as the parent organization. This is because the training is seen by the program as required to deliver the intervention.

4. **How much did you spend, in total, in the most recent fiscal year?**
NOTE: Fiscal year detail in columns H to W in Excel

- **Format:** Number, typically in local currency.
- **Purpose:** This is the most direct method of computing total facility expenditure on recurrent services.
- **Reasonable answers:** The expected answer will be a number that is in the same range as (quantity * average unit price) for the past year, and usually in the same range as (12 * last month).

**Note:** If possible, report this answer in monthly or quarterly segments (in the indicated columns). We want monthly or quarterly data to examine temporal fluctuations in spending along with temporal fluctuations in outputs.

- **Unreasonable answers:** An unreasonable answer is one that is substantially different from (quantity * average unit price) for the past year. In addition, an unreasonable answer is one that uses an unspecified foreign currency, since the assumption for this field is a local currency.

5. Did you purchase this service together with another organization outside your facility?

- **Format:** Yes/No
- **Purpose:** We want to know whether facilities co-ordinate purchases with others to take advantage of quantity discounts or other quantity restrictions.
- **Reasonable answers:** Yes → done
- **Unreasonable answers:** Any answer that is not “Yes” or “No”. If necessary, additional information can be included as a comment to describe the situation.

6. What is the value of the services you received free from parent organization or other organization in the most recent fiscal year?

- **Format:** Number
- **Purpose:** We will use the value of these services to calculate economic costs.
- **Reasonable answers:** “1000”; A reasonable answer will be a number that reflects the value of the services received for free.
- **Unreasonable answers:** Keep the big picture in mind: Does the value of this donated service make sense, considering the scale of the facility? (e.g., size of building, number of personnel, number of clients seen each month)?
TIPS

Sometimes assigning a value will be difficult. For example, the cost of “trainings for personnel” may include salaries, per diems, manuals, other training materials, transportation, etc. If the cost is likely to be high, it’s worth generating an estimate. Or, it may make sense to ask someone at the donating organization if they have an accounting.

16. % allocation of recurrent expenditure to [list of all PANCEA interventions].

- **Format:** Percentage (0-100).
- **Purpose:** We want to determine the proportion of these expenditures that can be attributed to each PANCEA intervention at the facility (up to 2 per site). This will allow us to cost each intervention separately.
- **Reasonable answers:** Any percentage between 0 and 100. If the item is used across multiple interventions, the sum of allocations should not be greater than “100”.
- **Unreasonable answers:** “50%” for STI and “70%” for VCT; These answers are unreasonable since they total to 120%
Section 4. Financing

In this section we ask about level and source of income. Since this information may be sensitive, allow your respondent to choose the level of specificity with which s/he is most comfortable. For example, it may be the case that that your respondent will want only to tell you the type of funding organization, but not the name of the organization.

1. Please tell us the organizations from which you received assistance in the most recent fiscal year, starting with the most important.

- **Format:** text

- **Purpose:** To establish the sources of financial support. This may have implications for funding stability and quality.

- **Reasonable answers:** UNICEF, Government of (Country name), etc. This field should contain the name of all funding organizations (one per row).

- **Unreasonable answers:** “XYZ”. Use complete names rather than acronyms or abbreviations, except for those appearing on the prompt list.

**TIPS:** Repeat this question as often as necessary to obtain a complete list of funders. Ask about sources in declining order of importance. For instance, you can ask, after the initial question, “What was the second most important source…?”

If your respondent hesitates, prompt from the list provided below, using general categories first, rather than the names of the organizations. For example, “Did you get any support from bilateral donors?”, or “Did you get any help from any other international NGO?"

If the facility received in-kind items from its parent organization this should be mentioned as a source of finance.

### Prompt list of funders

<table>
<thead>
<tr>
<th><strong>Bilateral donors</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>USAID, DfID, France, Ireland, Scandinavia, Germany, Other</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>International Agencies</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>WHO/OMS, World Bank, UNAIDS, Other UN, Other</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>International NGO/foundations</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>MSF/FSF, Soros/Open Society, IPPF, Rockefeller, Ford, Other</td>
</tr>
</tbody>
</table>

| **Domestic Government** |
Once you have completed the list in question #1, go on to ask questions #2 - 4 for each source of funding.

2. Are you required to submit an annual report to this funder?

- **Format:** Yes/No

- **Purpose:** Submitting an annual report can be associated with quality of the facility. We also have a question about external evaluation in the ARQ intervention sheets.

- **Reasonable answers:** “Yes” or “No”. Including an additional comment is always reasonable, especially if the answer is equivocal.

- **Unreasonable answers:** “No” meaning “We don’t submit an annual report.” While the facility may not submit an annual report, this does not tell us if an annual report is required by the funder or not.

3. How many times did this organization visit your facility in the most recent fiscal year?

- **Format:** Drop down menu
  
  At least once each week  
  At least once each month  
  At least once each quarter  
  At least once each year  
  Less than once each year  
  Never  
  Other ___________________________

- **Purpose:** This is a quality control measure. We assume that the more often a funding organization visits the facility, the more oversight the facility has.

- **Reasonable answers:** Any of the answer choices given is reasonable. If “Other” is selected, add an explanation as a comment.

- **Unreasonable answers:** Any answer that does not reflect the most recent fiscal year. For example the answer, “Other – we don’t know when, they just call us and tell us they are coming” tells us the process, but not how many times in the most recent fiscal year the organization actually visited the facility.

4. What % of your facility budget did this organization provide in the most recent fiscal year?

- **Format:** Percentage
- **Purpose:** One of the primary goals of PANCEA is to explain why some intervention programs are more cost-effective than others. One possible predictor is a reliable funding stream. Does the success of HIV-prevention interventions depend on having moderate contributions from several funders as opposed to a large contribution from one funder? The information in this and the next question will help examine such questions.

- **Reasonable answers:** 50%. Any number greater than “0” and less than or equal to “100”. In addition, the sum of all entries for this question should be close to “100” if the entire funding mix is described here. If the sum is not “100”, it must be less than 100.

- **Unreasonable answers:** Any one number or the sum >100%.

**TIPS:** This question asks about facility funding, which may be easier to describe than intervention funding and is desirable information for us. The next question asks about intervention funding.

5. **What % of your intervention budget(s) did this organization provide in the most recent fiscal year?**

- **Format:** Percentage

- **Purpose:** This question asks about funding for the specific PANCEA interventions. This may differ from the facility funding, e.g., the intervention may be funded fully from an international organization, whereas the facility may rely on government funding.

- **Reasonable answers:** 50%. Any number greater than “0” and less than or equal to “100”. In addition, the sum of all entries for this question should be close to “100” if the entire funding mix is described here. If the sum is not “100”, it must be less than 100.

- **Unreasonable answers:** Any one number or the sum >100%.

6. **Please tell us the other organizations from which you sought support in the most recent fiscal year, but did not receive it.**

- **Format:** text

- **Purpose:** The purpose of this question is to indicate the effort exerted by the facility to obtain a consistent funding stream. It may be a quality indicator for the facility by reflecting resourcefulness in fund-raising and, on the contrary, distraction from delivering services.

- **Reasonable answers:** UNICEF, Government of (Country name), etc. This field should contain the name of all funding organizations (one per row).

- **Unreasonable answers:** “XYZ”. Use complete names rather than acronyms or abbreviations, except for those appearing on the prompt list.
TIPS: See question 1 for prompting strategy.

7. How many days did you and your facility staff spend fundraising (not cost recovery) in the most recent fiscal year?

- **Format:** number
- **Purpose:** The purpose of this question is to indicate the effort required by the facility to obtain funding. It may be a quality indicator for the facility by reflecting distraction from delivering services.
- **Reasonable answers:** 10 (person-days).
- **Unreasonable answers:** “2 people”; This does not tell us how many person hours were spent. The expected answer is the total number of hours each person spends. For example, 2 people each worked 5 days for a total of 10 person days.

8. Do you collect user fees?

- **Format:** Yes/No
- **Purpose:** It is useful for us to know whether the facility generates revenue from clients because this can affect demand for services, and may represent a consistent source of funding.
- **Reasonable answers:** “Yes” or “No”. Including an additional comment is always reasonable, especially if the answer is equivocal.
- **Unreasonable answers:** “$1.00 per HIV test”. This is more detail than we need.

9. (Asked of facilities that are not independent) How much of the revenue you collect in user fees are you required to remit to your parent organization? (percent)

- **Format:** Percentage
- **Purpose:** It is useful for us to measure how much client revenue is given back to the parent organization and how much is kept by the facility. This could affect how sustainable an intervention is, and also affects incentives to collect the fees (see the next question).
- **Reasonable answers:** “50%”; Any number between “0” and “100”. In addition, the sum across all percentages can not be greater than “100%”.
- **Unreasonable answers:** An answer that is too general, e.g. “It depends.”. If this is your respondent’s only answer, ask your respondent to estimate how much is remitted, on average. Explain these estimates as a comment.
10. Of the amount that your facility keeps, what percent is allocated to:

- **Format:** Drop down menu
  
  Wages, salaries, bonuses
  Drugs and other essential supplies
  Other facility costs
  Savings
  Other / miscellaneous expenses.

- **Purpose:** To establish how revenue to used. This can affect the net cost for services as well as incentives to collect the fees. See TIPS below.

- **Reasonable answers:** “50%”; Any number between “0” and “100”. In addition, the sum across all percentages can not be greater than “100%”. If the “Other” field is used, include a comment to explain this allocation.

- **Unreasonable answers:** An answer that is too general, e.g. “It depends.”. If this is your respondent’s only answer, ask your respondent to estimate how much is remitted, on average. Explain these estimates as a comment.

**TIPS:**

Make special note in the Comments of uses of the fees that may affect staff incentives to collect them. For example, bonuses and staff training are both uses of the payments that may be perceived very positively by staff.
Section 5a: Inputs -- Facility expenditures

Definitions
This worksheet is designed to obtain overall expenses for the facility. We need the information for the facility in order to do econometric analyses. The other expenditure worksheets in ARQni focus on getting expenditures for the intervention. We need those intervention-specific data to do the single program cost-efficiency and cost-effectiveness analyses. Sometimes the intervention is the only activity at the facility, but usually there are other activities as well, so the facility and intervention are different.

However, the definition of “facility” is not necessarily the same as the entire facility. If the intervention(s) being studied are dispersed through the facility (such as VCT that occurs in all parts of a hospital), then “facility” is indeed the entire facility. If, on the other hand, the intervention(s) being studied are located within a subunit of the broader facility (such as VCT that occurs only in the outpatient clinics, or in one clinic) – and if there exist cost and output data available for the subunit level – then “facility” is the subunit. This helps the econometrics, and also may ease the data collection burden. See below, and also discussion of this issue in the script in “Working with a Facility”.

When to do this sheet

- Complete this sheet whenever the "facility” cost data are not fully captured in the other expenditure worksheets. This may happen when our intervention(s) of interest do not comprise the entire facility or the entire subunit.

Finalize the definition of “facility” in a brief phone call with UCSF after the set-up telephone calls/initial on-site visit have been completed. The facility definition should be noted in Q8 of HIPPI.

- Thus, there is no need to complete these sheets IF:

  1. The previous sections are complete; and
  2. The program is the same as the “facility”.

If the program is part of a facility (e.g., part of an outpatient service), then these sections are required.

- Costs for buildings do not appear on this worksheet, since we will collect total facility size/expenditure on buildings in the physical capital worksheet of the ARQni.

Timing

- This sheet should not take too much time -- one hour or less. Ideally, answers should be based on available records in similar formats. When those records are not available, allow for respondent recollection as appropriate. Time should not be spent itemizing detailed costs to formulate totals (unlike in the intervention-specific costing, where we do want that effort).

- Complete this worksheet when records are most readily available -- all at once, or as sub-unit/intervention-level data are collected for personnel, recurrent expenses, etc.
Priorities
- Items on this sheet in all CAPITAL letters are most important. These are all or part of Questions 1, 2, 3, 4, 6, and 7.

- Items in Mixed Case letters are desirable if easy, or should be completed as indicated if other questions cannot be completed.

- If total spending for major cost categories (personnel, capital, etc) is unavailable, the total facility cost (Question # 1) is sufficient.

Data should be collected by time period within the “most recent fiscal year” if available (Available time periods are month and quarter - the same as those used for intervention-level cost sheets in the ARQni and the ADCni). If monthly or quarterly data are unavailable, a total for the fiscal year is sufficient.

- Data by time period for major categories of spending (e.g., recurrent) is desirable if easily and quickly available, but obtaining these data is not a priority.

- If time period data are collected in addition to the yearly total, time period data do not need to sum to the yearly total. However, if the sum and the yearly total are more than 25% different, try to resolve the differences. If there is a difference between 10 and 25%, include a note explaining the inconsistency.

- Data sources should be reported.

1. TOTAL FACILITY EXPENDITURE – LAST MONTH AND MOST RECENT FY

- **Format:** Number (local currency)

- **Purpose:** To establish overall spending (actual, not budgeted) for the facility or, as discussed above, the subunit in which the intervention is housed. This is key information for the “input” side of the econometric regressions. If total facility expenditure is available, this is sufficient information for econometric analyses even if more data on major cost categories, requested in subsequent questions, are unavailable.

- **Reasonable answers:** Expenditure that is greater than expenditure on major cost categories, requested in subsequent questions on this worksheet.

- **Unreasonable answers:** Expenditure that is less than expenditure on major cost categories, requested in subsequent questions on this worksheet. However, small discrepancies (<10%) are not important (See the “Priorities” section above.).

Expenditure that is less than the sum of spending for the “facility” (the subunit or intervention). This is the sum of expenditure on personnel, capital goods, and recurrent expenses in each respective worksheet.
2. TOTAL FACILITY EXPENDITURE -- MOST RECENT FY BY TIME PERIOD

- **Format:** Number (local currency)

- **Purpose:** To establish overall spending (actual, not budgeted) for the facility or subunit over the course of the most recent fiscal year, by time period (quarters or months). This aids econometric analyses since it increases the number of data points for the econometric regressions; it also allows for an examination of seasonal fluctuations in expenditure.

- **Reasonable answers:** Expenditure per month or per quarter that sum to approximate total facility expenditure for the fiscal year (question #1).

- **Unreasonable answers:** Expenditure per month or per quarter that is much greater or much less than total facility expenditure for the fiscal year (question #1).

Expenditure that is less than the sum of spending for the “facility” (the subunit or intervention) for the time period.

This is the sum of expenditure on personnel, capital goods, and recurrent expenses in each respective worksheet.

3. VALUE OF IN-KIND DONATIONS IN MOST RECENT FY

- **Format:** Number (local currency)

- **Purpose:** To establish the value of in-kind (non-monetary) donations to the facility. This is highly desirable for econometrics, which treats such donations at their actual economic value rather than as “free”. By gathering information on donations, we can create a more accurate picture of how much it would cost to start-up another, theoretical program that is identical to the one we are costing and that must pay full-price for all its inputs.

- **Reasonable answers:** The value on donations in local currency or in an identified foreign currency, either as a total, if available or itemized.

- **Unreasonable answers:** The value of donations is not expected to exceed actual spending. However, you verify that this situation is true, explain the circumstances in a comment.

**TIP:**

If the total value donations is known (e.g., from a report), record this total and go to the question #4. Otherwise, estimate the value of donations category by category, documenting briefly what is included. **Focus on large donations; do not worry if small donations are missed.**

Include only donated items or services, not
monetary donations.

4. TOTAL RECURRENT EXPENDITURE -- LAST MONTH AND MOST RECENT FY

- **Format:** Number (local currency)
- **Purpose:** Recurrent spending (excluding personnel) is a major part of overall spending. It is desirable to understand total facility spending on recurrent spending for econometric analyses because the econometric analyses will allocate costs based on the proportion of recurrent spending that can be attributed to the “entire facility”, “facility” (subunit) and intervention. There are % allocation fields in the subunit/intervention – level cost worksheets; however, econometric analyses will not use these fields. Instead, these analyses will compute allocations based on knowing total facility expenditure and expenditure for the subunit/intervention. It is desirable to obtain this information, but not essential if records or good estimates are not readily available.

- **Reasonable answers:** Expenditure that is less than the facility total (Question #1).
- **Unreasonable answers:** Expenditure that approximates or is more than the facility total (Question #1). If you verify that this is true, include a comment explaining the situation.

5. Total Recurrent Expenditure – Most recent FY detail by time period

- **Format:** Number (local currency)
- **Purpose:** Obtaining total recurrent spending by time period (month, quarter) increases the power of econometric analyses by increasing the number of data points included in analyses. It allows for an examination of seasonal fluctuations in expenditure.

**Note:** This question is in mixed case, indicating the lowest level of importance in this worksheet. These data are desirable, but should be gathered only if easily and quickly available.

- **Reasonable answers:** Expenditure per month or per quarter that sum to approximate total facility recurrent expenditure for the fiscal year (question #4).
- **Unreasonable answers:** Expenditure per month or per quarter that is much greater or much less than total facility recurrent expenditure for the fiscal year (question #4).

Expenditure that is less than the sum of recurrent spending on goods and services for the “facility” (the subunit or intervention) for each time period. This is the sum of expenditures in the recurrent goods and services worksheets.
6. TOTAL CAPITAL GOODS – MOST RECENT FY

- **Format:** Number (local currency)

- **Purpose:** It is desirable to understand total facility spending on capital goods for econometric analyses because the econometric analyses will allocate costs based on the proportion of capital spending that can be attributed to the “entire facility”, “facility” (subunit) and intervention. There are % allocation fields in the subunit/intervention – level cost worksheets; however, econometric analyses will not use these fields. Instead, these analyses will compute allocations based on knowing total facility expenditure and expenditure for the subunit/intervention. It is desirable to obtain this information, but not essential if records or good estimates are not readily available. We recognize that sometimes there is no capital goods registry, and hence it may not be possible to get this information.

- **Reasonable answers:** Expenditure that is less than the facility total (Question #1).

- **Unreasonable answers:** Expenditure that approximates or is more than the facility total (Question #1). If you verify that this is true, include a comment explaining the situation.

7. TOTAL PERSONNEL EXPENDITURE -- LAST MONTH AND MOST RECENT FY

- **Format:** Number (local currency)

- **Purpose:** Personnel spending is a major part of overall spending. It is desirable to understand total facility spending on personnel for econometric analyses because the econometric analyses will allocate costs based on the proportion of personnel spending that can be attributed to the “entire facility”, “facility” (subunit) and intervention. There are % allocation fields in the subunit/intervention – level cost worksheets; however, econometric analyses will not use these fields. Instead, these analyses will compute allocations based on knowing total facility expenditure and expenditure for the subunit/intervention. It is desirable to obtain this information, but not essential if records or good estimates are not readily available. If these data are not available, see question #9.

- **Reasonable answers:** Expenditure that is less than the facility total (Question #1).

- **Unreasonable answers:** Expenditure that approximates or is more than the facility total (Question #1). If you verify that this is true, include a comment explaining the situation.

8. Total Personnel Expenditure – Most recent FY detail by time period

- **Format:** Number (local currency)

- **Purpose:** Obtaining total personnel spending by time period (month, quarter) increases the power of econometric analyses by increasing the number of data
points included in analyses. It also allows for an examination of seasonal fluctuations in expenditure.

Note: This question is in mixed case, indicating the lowest level of importance in this worksheet. These data are desirable, but should be gathered only if easily and quickly available.

- **Reasonable answers:** Expenditure per month or per quarter that sum to approximate total facility personnel expenditure for the fiscal year (question #7).

- **Unreasonable answers:** Expenditure per month or per quarter that sums to much greater or much less than total facility personnel expenditure for the fiscal year (question #7).

Expenditure that is less than the sum of personnel spending for the “facility” (the subunit or intervention) for each time period. This is the sum of expenditures in the personnel roster worksheet in the ARQni.

9. List personnel for the last month – job title and #FTEs

- **Format:** Number

- **Purpose:** This is an alternative approach to obtaining total personnel expenditure for the facility if data for the “last month” and “most recent fiscal year” (question #7) is unavailable. By collecting job titles and the number of full-time equivalent (FTE) personnel, we can estimate the market price for these personnel through off-site research (e.g., collecting minimum wage statistics, regional salary ranges for general job titles, etc.).

Note: This question is in mixed case, indicating the lowest level of importance in this worksheet. These data are desirable, but should be gathered only if easily and quickly available.

- **Reasonable answers:** A complete list of job titles and FTEs that make sense for the facility. E.g., doctors, nurses, and CEOs, with more of the former, in a hospital setting.

- **Unreasonable answers:** Job titles that do not make sense for the facility, e.g., “production worker” would be a surprising entry for a hospital setting. In addition, the list should be as comprehensive as possible. It would be unexpected to not see “doctor” or “nurse” listed for a hospital setting.
Section 5b: Outputs -- Facility non-intervention

Purpose
The sole purpose of this form is to collect data on the non-intervention outputs of the facility. These are needed in the econometrics to associate with the facility costs. The answers should apply to the facility as for Section 5a. Thus, outputs of other parts of the entire facility (e.g., hospital) should be excluded if the facility is defined as a subunit (e.g., outpatient department).

General directions
-- Complete this sheet whenever all outputs for the "facility" (the entire facility or subunit, as decided for this site) are not captured in the ARQ intervention sheets. For guidelines on what is a facility, see the manual.

-- This sheet shouldn't take too much time -- less than 1 hour. Ideally, answers should be based on available records in similar formats. When those records are not available, allow for respondent recollection as appropriate. Time should not be spent itemizing detailed costs to formulate totals (unlike in the intervention-specific costing, where we do want that effort).

-- Data should be collected by time period within the last FY if available (by month or quarter - the same as used for facility cost data). If those are unavailable, a total for the fiscal year is ok.

  Time period data do not need to sum to the yearly total. However, if the numbers are more than 25% different, try to resolve the differences. If there is a difference between 10 and 25%, write a note explaining the inconsistency.

-- Data sources should be reported, as always.

1. What services does your facility provide, not including those already recorded regarding HIV interventions?

  ▪ Format: Text

  ▪ Purpose: To establish, and then quantify, the services other than those in PANCEA interventions, provided by the facility. This is key information for econometric regression analyses, which compare outputs and inputs at the facility level.

  ▪ Reasonable answers: Outpatient visits
• Unreasonable answers: “TB control” – this is too vague, in that without further definition it can’t be quantified in the subsequent questions. “TB medication visits” would be ok.

TIPS: There is a prompt list, if the respondent appears to need assistance. See the instrument.

Being fairly general is ok. E.g., there is no need to distinguish pediatric from adult outpatient visits. However, if all the outpatient visits are of the same type (e.g., TB management), that’s useful to record.

This question ideally should be asked after the ARQ intervention sheet, since those outputs should not appear here. Otherwise, the data collector can say “we’ll ask about that later”.

It is important to obtain the answer in a form that can be quantified, for the next questions.

The list should capture the vast majority of services of the facility, but need not be completely exhaustive. For example, if there is 1 stop smoking classes and 1 blood pressure check evening per month in a facility delivering 1,000 outpatient visits, it’s not critical to capture them.

Include important services not offered currently, but offered in the most recent fiscal year.

2. How often was this service provided in the last month?

• Format: Number

• Purpose: To quantify the services other than those in PANCEA interventions provided by the facility. This is key information for econometric regression analyses, which compare outputs and inputs at the facility level.

• Reasonable answers: 100. 0 (if not offered in last month)

• Unreasonable answers: Answers that seem implausibly low or high. E.g., 2 outpatient visits in a facility with a busy outpatient department, or 1000 surgeries in a small district hospital with no in-residence surgeon.

TIPS: If the respondent does not remember exactly, help by asking for what he/she might remember, e.g., how many per day or per week?, and then multiplying accordingly.
Ideally the answers should derive from records in similar formats. However, if the records are unavailable or complicated to use (e.g., complex visit codes in hand-written ledgers), accept a reasonable recall estimate. Thus, if the respondent says 150-170, and records are not readily available, it’s ok to record 160 (with notes in comments and/or in Data Source).

"How often" means “how many times”.

3. How often was this service provided in the most recent fiscal year?

- **Format:** Number

- **Purpose:** To quantify the services other than those in PANCEA interventions provided by the facility. Information for the last fiscal year is key for econometric regression analyses.

- **Reasonable answers:**
  - 1000.
  - 0 (if not offered in previous fiscal year)
  - Usually, about 12 times larger than the last month.

- **Unreasonable answers:** A number much less than or greater than 12 times the last month could be an error; if true, verify in comments.

**TIPS:** Ideally the answers should derive from records in similar formats. However, if the records are unavailable or too difficult to use, accept a reasonable recall estimate, and so note in Data Source.

"How often" means “how many times”.

4. Most recent fiscal year, by quarter or by month.

- **Format:** Number

- **Purpose:** Information for time periods within the last fiscal year could increase the statistical power of the analyses (analogous to increasing the sample size of number of facilities studied), if accompanied by similar time period data for expenditures.

- **Reasonable answers:** Answers for individual time periods should total to approximately the fiscal year total.
- Unreasonable answers: Answers for individual time periods that total to a value significantly different from the fiscal year total. See note above on reconciling.

TIPS: Pick quarter or month, but not both.

These data are desirable but not essential.

Explain variation over time in Comments. E.g., if three months are low, “Facility partially shut for renovations.”

Ideally the answers should derive from records in similar formats. However, if the records are unavailable or too difficult to use, accept a reasonable recall estimate, and so note in Data Source.