HIPPI (HIV Intervention Prevention Program Interview)

Purpose

- To obtain a detailed account of the dynamics that are most important in determining the efficiency of HIV prevention programs.
- To understand the circumstances, causes, and changes in the levels of outputs and costs recorded in the ARQ and ADC instruments.
- To provide a context for understanding the quantitative data we are collecting with the ADC and ARQ questionnaires.

Data Collection Approach

We have adopted two approaches to accomplishing these purposes. The less important is to ask very specific questions about factors that affect the supply, demand and cost of delivering services. These questions are self-explanatory and most are closed-ended questions with check boxes in a questionnaire-style of format. The job of the interviewer is to ensure that these questions are completed accurately.

The second, more important and more common, approach is to ask the respondent direct, open-ended questions about what he or she believes to be the major factors that affect efficiency. Here a less structured style of interviewing is needed.

We provide questions that serve as a guideline for the interview. However, since we cannot anticipate all of the factors that affect a program’s development, the interviewer’s objective is to ask the questions given in HIPPI and then ask the respondent to elaborate or explain in more detail those responses that seem particularly important or interesting. This can be done by asking additional questions on the topic presented in the given questions, or by asking a question on a related topic that arises as noteworthy or significant to the program. Interviewers should feel free to depart from the exact questions in the instrument whenever they feel they can learn something important. The idea is to obtain a rich and detailed account of the program’s important internal features and external circumstances.

Interviewing Style

Interviewers should treat HIPPI as a guide to the information desired, rather than as a questionnaire to be followed mechanically. They should maintain a conversational tone, building on responses to naturally guide the conversation to the information desired. Interviewers should quickly establish that we are interested in understanding the respondents’ experience, rather than causing any difficulties or discomfort. We wish to make them feel at ease so that they will be honest and complete in their answers, and even volunteer information and examples that we do not specifically ask about. Interviewers should convey through their manner and in the way they frame probes and follow-up questions that there are no “right” answers to this questionnaire.

In general our questions assume that there was planning in each of the major decisions taken in the program’s development. In reality, however, many decisions may have been taken on a
more *ad hoc* basis, forced by political or practical decisions that have little to do with rational planning. Therefore, the interviewer may need to adapt the wording and tone of some question, to show that he/she understands the realities the respondent faced.

**Question Order**
There is logic to the order of questions in this questionnaire. You should make a real effort to follow it. On the other hand we know from experience that people will provide information in a way that fits their thought processes, not ours. In most cases this is not a problem. Especially after completing the “Milestones” section of HIPPI-I, you can be a little more flexible on the order of the questions because you will have the “big picture” of this program’s development. The challenge is keeping track of what has been answered so that you don’t ask repetitious questions, or leave parts of the questionnaire blank.

**Eliciting Complete and Accurate Responses**
This interview includes both closed and open-ended questions.

The open ended questions will consume most of the interview time and will ask the respondent to reflect on a range of issues that affect the program’s ability to deliver HIV prevention services efficiently. We are interested in obtaining both factual information and subjective assessments of how these issues interact to affect program quality and efficiency.

**However** - because the questions are open-needed two dangers arise:

- Important information might be missed
- Redundant information might be elicited

There are good strategies for dealing with each of these:

**How to avoid missing important information:** Use the bulleted follow-on “probes” and prompts. “Probes” are follow-on questions to get the respondent to elaborate on an initial answer. “Prompts” are lists or questions used to get the respondent to offer answers. The probes are designed to get elaboration on an answer already provided. It is up to the interviewers to use their judgment about whether each of the prompts we have given should be asked. Whether each item is needed and appropriate will depend on the information already provided about the program. However, all of the information in the bulleted probes should be provided. If not volunteered by the respondent, the interviewer should ask specifically about each item. We have provided reminders above the list of all probes and prompts in the question themselves as shown below to make this clear.

**Probes (ask each of these)**

**Prompts (use as needed)**

In general you should first ask the question as written without using the probes or prompts. If the respondent appears to not understand (or to misunderstand) the question, you should use the prompts and probes to help clarify and elicit possible answers. However, be careful that you do not convey the idea that a certain answer is correct or is the answer you want them to give. Sometimes the respondent may offer an answer that seems incomplete; if so, you can use the probes, or you can ask for more detail on the initial response.
After the respondent has provided an initial unstructured answer to a question, you should proceed down the list of prompts asking for any information that he or she has not given so far. Many of these will require little discussion, because they do not play a significant role in determining costs or outputs in the opinion of the respondent.

**How to avoid asking for redundant information:** It is very important to avoid asking for the same information twice. It is easy to do this if you don’t play close attention. This is because respondents tend to provide information as it occurs to them rather than in the order we have outlined. Therefore, if a prompt asks about something to which they have given a full answer you should skip it, while jotting a note that it was provided elsewhere. In many cases the respondent will have eluded to something in passing, but not given a full account. In these cases you should say something like, “When we were talking about outreach you mentioned that local political opposition made it difficult for your volunteer counselors to go into certain communities. Now I’d like to hear more about this political opposition and how it affected your ability to deliver services.” This way, the respondent knows that you are paying attention, and that you are not simply asking her to repeat information already provided.

During the interview we will encourage respondents to refer to relevant program documents if they need to confirm their recollections. The interviewer will also use data gathered through the ARQ and ADC surveys on costs and outputs to guide responses to certain questions.

We would like to get responses to as many questions as possible. If a respondent does not know the answer to a question, ask for the name and contact information for someone else who will likely have the information. A member of the data collection team should then contact this person to get the needed information.

Whenever possible, ask for examples of the issue the respondent is discussing. This will help to ensure that the respondent understood the question and will add to the "story". Also, give enough time for the respondent to think of additional issues at the end of each section.

**At the end of the interview:** Make sure that you did not accidentally skip any sections of the questionnaire. Take your time. Look through the questionnaire and make sure it is complete.

**Organization of HIPPI Administration**

**HIPPI-I or HIPPI-II?** HIPPI–I consists of the first 8 questions of the instrument only and is asked for all PANCEA study sites. HIPPI-II is the entire instrument including the first 8 questions, and should be administered at all of the “full sites”.

**Facility or intervention?** The questions in HIPPI-I are asked mainly about interventions rather than the facility per se. It provides space for information on two of these interventions. An example would be a clinic that includes both VCT and STI services. In such a case, PANCEA may have decided to evaluate more than one of these interventions. If so, the HIPPI would be administered in each of these interventions. *If you are not sure whether to administer the HIPPI in more than one intervention in the same facility, please check with your Supervisor right away.*
Key respondents: HIPPI should be administered to a senior program manager such as the Director or other officer with extensive experience in the operations and management of the program. The respondent should have been with the program for most of its life, preferably from inception.

Data collectors, people and machines: HIPPI should be administered by a team of two data collectors. One will have primary responsibilities for asking the questions, while the second person will record the answers. There are advantages and disadvantages to using a lap-top computer to record answers. Lap-tops are more efficient since they eliminate the need to transcribe answers following the interview; however they may “put off” some interview respondent. The decision about whether to use a paper form or a computer can be made by each study team to be appropriate the interview situation. You may also experiment with using tape recorders. This could be useful to resolve differences of opinion among the data collectors of what was really said during a key part of the interview. It is also a back-up in case computer or paper files get lost or destroyed. The tape recorder should never substitute for paper or computer data entry.

Editing answers: As elsewhere in the manual we give “reasonable” and “unreasonable” answers for HIPPI. We present these as hypothetical quotes from the respondents. We want as much detail as we can get in each answer. However, we also know that it may not be possible to capture everything that the respondent says. In a number of places, we offer a “Concise version” after the verbatim quotes to illustrate how the long answer could be boiled down to an acceptable condensed answer that is more in keeping with the notes you would take when administering the HIPPI.

Data Checking
At the first available opportunity following the interview, the two data collectors should review the answers obtained. If at all possible this should occur during the day or the evening of the day in which the interview was administered so that memories are fresh. The purpose of this review is to make sure that the answers make sense in themselves and are consistent with each other. Finally this review is needed to make sure that the two team members have a common understanding of the information provided. If there are significant differences that they cannot resolve, they should request an additional discussion with respondents to resolve them.

HIPPI-I

Basic information – activities, objectives and milestones
(Questions 1 – 7)

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<td>The purpose of this section is to gain an early understanding of the intervention’s most basic features – its objectives, activities and the intended target clientele. Without this information it is impossible to understand the significance of any of HIPPI’s other findings.</td>
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<td>Most of these questions are purely factual (e.g., What is the current breakdown by sex of your client population?) and can be answered with the close-ended options in which they are formatted. These should be asked as written without elaboration. Other questions however are more open to interpretation and may require some guidance from the interviewer to elicit a</td>
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useful response. An example would be, “Please describe the objectives of this intervention. What is it trying to accomplish?”

**Other considerations:** This section contains primarily open-ended questions. Encourage the respondent to give full and detailed answers.

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1. **Can you tell me about the activities in each of the HIV-related interventions?**
   
   - **Format:** Open-ended text
   
   - **Purpose:** To obtain a more detailed picture of the types of activities the interventions are engaged in than we got from the ARQ. We want to understand the special features of this program that may affect efficiency and effectiveness.

   **Reasonable answer** “This intervention provides peer-based outreach and education which includes condom distribution and referrals to the clinic as appropriate. At our main office building we also provide vocational training in tailoring, and hairdressing to SWs wishing to make the transition to another livelihood.”

   At this point ask about peer counseling on one row and vocational training on the second row, providing information on type of staff, e.g., “Former and current SWs”) and setting (e.g., street, homes of SWs, bars”).

   **Unreasonable answer** “Sex worker interventions” or even “Sex worker interventions including peer outreach and vocational training.” There is not enough detail here. Where are the services offered? By what kind of staff?

   **TIPS:** Make sure the respondent understands the PANCEA intervention(s) you are asking about. This should be clear in the pre-facility visit phone conversations.

   You can ask this question a number of ways. For example, if respondents are more comfortable and forthcoming with “Can you tell me about the HIV/AIDS related activities being done by your facility?”, that’s fine as long as the activities for the PANCEA interventions are described.

2. **What do you aim to accomplish with each of these interventions?**
   
   - **Format:** Open-ended text
   
   - **Purpose:** What the program regards as its main aims can influence its effectiveness. For example, a VCT program that is concerned primarily with having as many people as possible know their HIV status may be less effective in slowing
the epidemic that a VCT program that is concerned primarily with having people reduce their risky behavior.

Reasonable answer: “This intervention seeks to postpone sexual debut; reduce the number of partners; and increase condom use among youth in the city of Durban.” Even better would be a statement of objectives, if they have one, that includes numerical goals such as “Reduce average self-reported rate of partner change by 50%”

Unreasonable answer: “Contribute to reduction in HIV among Durban youth.” This is too general and hard to measure. Ask if they have this operationalized into more specific and measurable sub-objectives. But if not, this answer is still informative, in the sense that it suggests they may have not done a lot of concrete thinking about their aims.

TIPS: This question can also be asked as “What is the objective of your interventions?” More specific answer can be obtained with a little probing.

3. What is the primary target population for your intervention?

- Format: Open-ended text
- Purpose: Both to assess likely epidemic impact and to understand the details of the program’s organization and operation, it is essential to know what target populations they hope to serve.

Reasonable answer “Unemployed youth living in Durban with a special focus on girls.”

Unreasonable answer “Youth.” This is too general. Ask if they have this operationalized into more specific sub-populations.

4. I’d like to ask you to review when certain key events occurred as you implemented this intervention(s). Could you help me fill in the month and year of the events shown on this table?

- Format: Month and year (mm/yyyy)
- Purpose: This milestone grid is meant to providing a quick way to get a broad overview of the program’s history. It will help us place into context the rest of the information obtained in HIPPI, and the other instruments.

Reasonable answer This table should be completed with an indication of the month and year in which each milestone occurred only.
Unreasonable answer There may be a tendency for the respondent explain each milestone at great length. Just the month and year is adequate, though feel free to add additional explanations if they are useful.

TIPS: We think that the pre-specified key events are clear. e.g., First staff hired. However, if there is a question of interpretation, feel free to add comments.

Add other key milestones as needed in the spaces indicated.

Feel free to add further description as necessary. This might be needed, for example, if some phases of the program do not fit well into the framework of this question. e.g., a facility may have started in an informal, ad hoc way and over time gradually evolved into its present more structured form.

5. Thinking back over the life of each of the interventions, what would you say has been your most important accomplishment or achievement? (Why?)

- **Format:** Open-ended text
- **Purpose:** This is one of the most important questions in HIPPI-I. It is a quick way for us to get information about key issues that may have affected intervention effectiveness, cost, or efficiency. This question may elicit responses that tell us about factors that have enhanced efficiency, whereas question 6, about challenges, may tell us more about factors that have reduced efficiency. Even if there are no implications for efficiency, it is valuable to hear of the program’s accomplishments, and the perceptions of what is an important accomplishment.

Reasonable answer: “In the fall of 1998, we got government approval to use some trained volunteers rather than nurses to do most of the counseling. This greatly reduced our personnel costs, perhaps by 50%. With the extra money, we could manage more volunteer personnel and were therefore able to reach far more clients.”

Other reasonable answers may have less to do with cost, outputs, or efficiency. For example, “We completed our one-thousandth HIV test.” Or, “We were interviewed for a national TV show.” Or, “We were certified by the government as an exemplary VCT site.” There is no need to insist on answers having to do with efficiency.

Unreasonable answer: “We switched to a less-expensive printer to produce our IEC materials.” This is okay, as far as it goes, but it doesn’t tell us what we really want to know: When did this happen? By how much did it reduce costs? What other effects did this have on the program? Also, remember that we are asking for the most important accomplishment. It could be that
finding a better printer was the most important accomplishment, but you might want to ask follow-up questions to confirm this.

6. What is the most important challenge or obstacle you have faced in implementing this intervention? How have you dealt with this challenge?

- **Format:** Open-ended text

- **Purpose:** This is one of the most important questions in HIPPI-I. It is a quick way for us to get information about key issues that have affected intervention efficiency. This question is likely to elicit responses that tell us about factors that have inhibited efficiency, whereas question 5, about accomplishments, may tell us more about factors that have enhanced efficiency.

**Reasonable answer:**

**Example 1 - Regulations, community acceptance** “Right after we open the doors of our risk reduction center, the municipal government informed us that our neighborhood was zoned for residential only. We knew that this wasn't their real concern, because there were many other businesses in the area. But technically, this was correct; so there was nothing we could do about it, and they shut us down. It took six months before we could find another place. In the meantime, we spent $10,000 in moving costs. We also had to pay our personnel during this time as we did not want to lose them. Altogether, I'd say this cost us $40,000, and delayed our services by six months. We moved into our new building in August of 2002.”

OR

**Example 2 - Funding strings:** “The biggest problem we faced during the start-up period in 1999 was that the money that had been committed couldn’t be released. The problem was regulations within the donor agency which only permitted the release of funds on a countrywide basis. In other words all projects nationwide had to have their applications reviewed and approved before money for any one could be disbursed. The problem was that there were requests for additional information to some of the applicants. For various reasons there were long delays in getting this information back to the donor agency. In the meantime, the funds for all of us were held up. We knew that this was theoretically a problem because the donor agency representative for India had explained this rather unfortunate regulation about three months before the funds were to be released. But at that time he had given every indication that things would go smoothly, so we didn’t prepare for this contingency. The problem was not just that we were unable to deliver services to those in need, but that our reputation suffered from the very beginning. Many community groups who had hoped to be able to refer high-risk people to our VCT services and who had told their own clients about our project felt let down by us as they felt the lack of VCT services ended up reflecting badly on their own reputation. After a three-month delay, the funds were finally released. During those three months it wasn’t possible for us to deliver any services at all.

We dealt with this problem in a number of ways: first, we took the names and contact information for anybody who came and inquired about our services and told them that we would contact them just as soon as we were able to provide VCT. We also made visits to the various referring agencies and explained to them exactly what happened to delay initiation of services. I think they appreciated that we took the trouble to do this and this went a long way to repairing our reputation in the community. We have also had some pretty frank and blunt conversations with the donor agency to make them aware of just how great a problem was created by their (as
it seems to us) silly bureaucratic regulation. Their country representative was very sympathetic and said he would take it up with his superiors at headquarters. We'll see.”

Concise version for example 2: “Donor regulations held up release of funds in 1999. Required approval of all projects in India before our money could be released. Problem was suspension of services for three months and damage to our reputation. Referral links for high-risk clients compromised because of services gap. Referring agencies not sure we were delivering services reliably. We responded by taking contact information of anyone who came to us during period of no services, and following up with them when we could. Also met with referring agencies and explained the situation. This helped reestablish confidence in us. Have let donor agency know how dysfunctional this regulation is and have asked for changes. Country representative promised to take it up with headquarters. Results pending.”

Example 3 – Funding: “This is a huge issue for us. We basically think we have a model for peer education-based sex worker outreach that could easily be scaled up to cover the entire city. I actually think we could expand to the other metropolitan centers of the State within a few years as well. Our program could handle at least two or three times the number of peer educators it now has, but the problem is that we just don’t have the money to pay for the additional supervisory staff that would be required. This is definitely causing a delay in service delivery. I would say that 6 months ago we were ready to expand to at least twice the number of sex workers we now have. We’re doing our best to convince our donors that we could use more money, and use it well; but so far it seems unlikely that we will get substantial new funds within this 2-year budget cycle. After that, we will have to see. But given that our major donor wants to support new up-and-coming CBOs, I’m not sure that a relatively old, establish program like ours stands a big chance of getting an increase. I think we will be lucky if we don’t get cut back. We’re trying to diversify to other potential funders. We’ve had some encouraging responses but nothing definite yet. In the meantime, we are learning to do more with our existing staff and with the volunteers themselves. There are at least two peer educators who we think are good enough to move into supervisory positions. Because of the budget constraints we can’t give them the salaries they deserve, but they are so eager to leave sex work at this point that they are happy to take what we can offer.”

Unreasonable answer: “IDUs are a very hard population to serve. They tend not to be trusting and are very suspicious when we do our outreach.” Arguably, this is a normal feature of serving this population, and is not a particularly significant obstacle. Also, no information is provided on the effect this had on operations, and no information is provided on how the project responded to this situation.

7. What events in this community have affected the number of clients seeking services for each of the interventions?

- Format: Open-ended text
- Purpose: in the previous two questions we are likely to get information about events and circumstances pertaining directly to the intervention. In this question, we want to make sure that we also get information about broader external circumstances that may also affect efficiency.
Reasonable answer: “Survey results showed that the incidence of STIs in our city had dropped dramatically during 2002. We think that this is the result of improved risk behavior resulting from the national HIV prevention campaign. In any case, fewer people were getting STIs and we saw a big drop, maybe 35%, in the number of people coming for STI examinations, and an even larger drop in the number of cases detected.”

Unreasonable answer: “After the statewide election, people who are much more liberal about HIV came into power and that really helped our program.” We want to know specifically in what way it helped the program. What policies change? How did that translate into the program’s ability to reach more clients?

TIPS: “This Community” means the “general community” of operation, or the “targeted community,” or both. That is, whatever community events affected the program are relevant here.

THIS IS A NEW QUESTION

8. To the data collector (not the respondent): Defining the “Facility”

  - Format: Open-ended text
  - Purpose: To understand the rationale for identifying a particular organizational unit or sub-unit as the focus for the analysis.

Please define the "facility" for this PANCEA site, and provide a brief justification, including why major parts of the organization are excluded if applicable.

Reasonable answer:
  Definition: “The facility is this outpatient building, which conducts VCT, TB control, and vaccinations.”
  Justification: “It has a single budget, with overlapping staff. Very few resources (staff, recurrent) are shared with the main hospital, even though it’s on the same grounds.”

Definition: “The facility is the program.”
Justification: “The program is stand-alone.”

Unreasonable answer:
  Definition: “The facility is this outpatient building, which conducts VCT, TB control, and vaccinations.”
  Justification: “Its budget and operations are integrated into the rest of the hospital.” This answer doesn’t work because it is not possible to separate data on activities in the outpatient building from data on the activities of the hospital as a whole.

TIP: Remember the definition of “facility”: It is the location in which the management of one or more intervention programs occurs.
HIPPI-II

Review of fluctuations in expenditures or intervention outputs

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<td>Data on trends in expenditures and outputs will have been obtained in the ADC before administering HIPPI-II. The purpose of this section is to get the story behind these numbers. One of the distinctions we seek to make is fluctuations due to “secular trends” (e.g., increases in the cost of supplies), and fluctuations due to program dynamics or inherent to the expansion process. In this section we allow the respondent to expand on five fluctuations, typically in chronological order, in order to capture the factors that contributed to the fluctuation.</td>
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A decrease in outputs costs due to a road being washed out by a flood might mean lower output levels since trucks cannot get to the program site to deliver condoms or other supplies. This would be a “secular” phenomenon. We need to know about it so that we are not led to the incorrect conclusion that program operations suddenly became less efficient. On the other hand, if outputs declined because the project had to hire new staff that was less experienced or capable than original staff, this problem is a likely part of the scaling up process. |

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<td>We need both reliable quantitative information on expenditures and outputs and a thorough qualitative description of what happened at the time of each fluctuation. The numbers for the expenditures and outputs will be obtained through the ADC instrument and displayed in the “Summary Graphs” sheet. However, you will be asking the respondent to confirm the trends in expenditures gathered through the ADC. You therefore need to be attentive to the two issues needed here. The effort to verify these numerical trends should not foreclose conversation about the qualitative factors that influence the timing and magnitude of the fluctuations.</td>
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Gather information on all significant fluctuations. Space for 5 is provided; but gather information on more than 5 if useful. |

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<td>Present the ADC graphs to the respondent. Walk the respondent through the pattern of outputs and expenditures and ask for verification of the accuracy of the patterns shown in the graphs. We are interested in confirmation of the general trends and patterns, not the exact precision of particular numbers (that is, a difference of 1% is not important, but a difference of 20% is). Choose the 5 largest fluctuations for this discussion.</td>
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It is useful to have the list of milestones from HIPPI-I (above) available as you review the graphs. These milestones should match the graphs from ADC. For example, we would not expect to see outputs show up on the outputs graph before the first clients are seen. |
9. Do these overall patterns seem correct to you?

- Format: Yes / No
- Purpose: To make sure that the data reflected in the graphs are in fact correct. There is no point in proceeding to a discussion on trends and fluctuations unless the respondent believes that the trends and fluctuations we present are accurate.

**Using the graphs**

Present the graphs to the respondent. Walk the respondent through the pattern of outputs and expenditures and ask for verification that the patterns shown in the graphs are correct. We are interested in confirmation of general and trends, not the precision of particular numbers. You might ask questions such as:

“The graph shows that outputs dropped a lot in May, 1999. Is that what happened? Does that trend seem correct? Do you remember why that happened?”

“As you can see on this graph, expenditures rose by almost 50% in one month, August of 2000. It looks as if most of that increase was in personnel costs. What was happening then? Were you hiring a lot of staff? What else might have contributed to this increase?”

The concept of a “fluctuation” may be a little vague to some respondents. We define a fluctuation as a significant deviation from a straight line in one of the graphs (showing costs, outputs, and costs per output over time). A change of 20% or more is reasonable guideline for “significant”. This indicates that the program may have become either less or more efficient at the point of fluctuation. In any case, we want to understand what caused each significant fluctuation.

**Reasonable answer:** “Yes, this seems about right. I’m surprised to see that capital expenses were so high in the beginning of 1999, but of course, we had a lot of expenses then as we were with just starting out.”

**Unreasonable answer:** “Well, I don’t know. If that's what you got I guess that's all right, though I'm kind of surprised to see that the number of condoms distributed fell so much in the fourth quarter of 2001.” This answer is not acceptable because the respondent seems to be taking our word for the results we present. In fact, we may have it wrong.

**TIPS:** The respondent may be unsure that all the trends are correct without detailed discussion of each one (as below), or may change his or her response after the discussions below. Thus, it’s O.K. to change the answer after the following discussion, if indicated.
What if the respondent thinks one or more graphs is wrong?
The interviewer should obtain as much information on the discrepancy as possible. For example, the interviewer might say:

“What trend were you expecting to see during this timeframe?” or “What seems wrong about it?”

Depending on what the discrepancy is, you could ask about potential explanations – e.g., building costs (perhaps there was structural damage), a drop or increase in funding, etc.

If there is still a discrepancy, consider the possibility of an error, and figure out how to check data and/or obtain corrected data. Also, consider the possibility of a data base error, such as incorrectly entered data or an error in graph generation.

10. When did this fluctuation occur?
*NOTE:* This is completed by the interviewer; it is not asked of the respondent.

- **Format:** Date: (qq/yyyy – qq/yyyy)
- **Purpose:** Establish the time period of the fluctuation under scrutiny, mainly to create clear data for the analysis.
- **Reasonable answer:** Q3 1998 – Q4 1998
- **Unreasonable answer:** Q3 1998. This may imply that the fluctuation ended in the third quarter of 1998. That may be, but the correct answer should explicitly include both the start and the end time, i.e., Q3 1998 -- Q3 1998.

11. Please tell us about what factors may have caused this change in (cost or outputs or cost per output), in particular how it affected your ability to get clients or deliver services.

- **Format:** Open-ended text
- **Purpose:** Understanding the causes of trends and fluctuations will give us important insights about the determinants of efficiency.

**Fluctuations graph**
Shown below are fluctuations from a VCT program with annotations explaining the cause of the fluctuation as provided by data from the HIPPI. Note that each of the major spikes and dips has some kind of explanation. You will not annotate the graphs themselves, of course, but will obtain answers to the relevant questions in the HIPPI that would make it possible to provide this type of annotation.
Reasonable answer

Staffing. “In May of 1999 we had to close the facility down for two weeks of renovation. We had arranged to use another building during that time, but at the last minute the owner rented it to someone else who could pay more. So for those two weeks we were limited to less than half of our usual space.”

OR: “We did hire a lot of new staff in August of 2000. We had been under-staffed for a long time because according to a new MoH policy directive, we could only hire as counselors those who had received their official certification. Unfortunately, the first training was not completed until July, so there were no candidates with the proper certification available until then. We did lots of hiring quickly in August to make sure that we got enough of the certified counselors.” Answers of this type would be fine, as they give us a context for interpreting the fluctuations noted.

OR: New site. “I expect that output dropped as we move to a new site. There was a lot of preparatory work to do before we really got geared up. In fact I had to pull five of our outreach workers off of their usual job in order to help with setting up the new office, organizing the files, and getting our supplies inventoried.” This is also helpful in understanding the start-up costs entailed in program expansion.

OR: Change in objectives. “We found that it was politically impossible to explicitly target sex workers. The community found it offensive, and we have not yet been able to persuade them of the benefits to everybody from targeting sex workers. In fact, we have quietly been able to enlist the support of some peer sex workers to encourage participation from this segment. But it is not nearly as many as we could get if we were able to make this an explicitly ‘sex worker-friendly program’ as we had originally planned.”

Unreasonable answer: “I don’t recall this at all. I think these numbers are wrong.” You would need to investigate further to determine whether in fact the numbers are in error. This will probably involve returning to the ADC to look up the actual numbers and possibly reviewing these with the respondent who provided these numbers. If the numbers are correct, see if the HIPPI respondent is now able to provide a fuller explanation.
OR,
“Yes, output came down in May of 1999 but these things just happen sometime. I guess not very many people were coming to the project for some reason. There is a festival in May and that might have kept some people away too.” This is more difficult because the respondent has provided an answer which is not convincing (even to himself). This requires follow up questions such as: “Yes, there is sometimes some month-to-month change that can’t be accounted for, but this was a big change. Do you think the festival could really account for all of it? I’m really curious about this because there was no drop in May of 1998”.

### Addressing potential problems

As in the example above, it is possible that the respondent will not remember some of the fluctuations that we present in graphs. If so, it may be helpful to put the fluctuation in temporal context: Ask what else was going on at that time. You will have a fair amount of this information from the table of milestones (question 4). This may help to jog the respondent’s memory. However, if this is unsuccessful it may be useful to consult with other staff members. A good candidate is the person who provided the quantitative cost or output data in the first place. This has the added advantage of correcting any errors in data which might be the source of the discrepancy between the graphs and the respondent’s recollection.

**How many fluctuations?**

It is hard to know in advance how many fluctuations the program may have experienced. You will need you use your judgment about how many of them are likely to reveal something important about the program and confine the interview to these.

### Note that Questions 12 – 19 are repetitions of Question 10 – 11.

**FORMER Q. 19 DELETED. NUMBERING REVERTS BACK TO PREVIOUS VERSION OF HIPPI**

### Program establishment and outreach

(Questions 20 – 24)

**Purpose**

These questions elicit information on why the program was located where it is and the reasons for starting it at the time it was started. This is followed up by questions on outreach activities and recruitment, another important aspect of program establishment.

**Data collection approach**

We are not asking for purely factual information. Rather, these questions require the respondent to make an assessment. Make sure that they understand that we are asking for their personal judgment.
Other considerations: These questions asked the respondent to reflect on earlier periods in the program’s history. Make sure that your respondent was with the program at this time so that they can answer accurately.

20. Why was the intervention started at the particular time it was started?

- **Format:** Open-ended text
- **Purpose:** Understanding the motivation for starting the program at the time it was started in may help us understand either internal program dynamics or circumstances which the affect efficiency.
- **Reasonable answer:** “The price of heroin had dropped dramatically in our country, and suddenly, what had been a relatively confined problem, was visible everywhere. You could see young addicts on practically every street corner, and I knew that if we didn't intervene early it would mean a huge increase in HIV incidence ”
- **Unreasonable answer:** “We started as soon as we got our funding application approved.” We are interested in the motivations behind this. What prompted the founders of the project to apply for funds at this time?

21. Why did you establish the intervention at this particular location?

- **Format:** Open-ended text
- **Purpose:** Like the preceding question on program start time, the selection of program location may give us some insight into how the interventions were conceived and executed.
- **Reasonable answer:** “We set up our offices in the middle of the red light district. because we want to be in easy reach of our SW clients ”
- **Unreasonable answer:** “We had a choice of an office on the east side of the street or the west side. We took the east side, because it would be sunnier.” The real question is why they chose this particular street or neighborhood, and this remains unanswered.

22. What main types of recruitment or outreach did your intervention conduct and how long did you do each type?

- **Format:** Open-ended text
- **Purpose:** Successful outreach is a key factor in enabling a project to operate near capacity, and therefore is an important determinant of efficiency.
Redundant topics
Note: Refer to the information already provide in the ARQ so that the respondent knows that you are aware that the topic has already been touched on. Say something like, "You provided some information on outreach and client recruitment in the ARQ instrument, and now I’d like to get a little more detail."

Reasonable answer: “During the start-up period, we did more outreach than just about anything else, because we had to establish a presence in the community; and not just any kind of presence: the IDUs we wanted to reach needed to know that they would be safe with us, that is, we would not turn them over to the police and would treat them with dignity in every way. So, for the entire first year of our program we probably spent more on outreach than anything else. The main emphasis was on personal contacts through peer volunteers, but we also made extensive use of fliers, and were even able to get a few radio spots in. That was pushing the authorities too far though, and we had to stop the radio spots after about one week in which we managed to do 30 or 40 spots. We knew we would not be in business long, so we made the best of the radio it while it lasted.” Notice how much information and detail there is in this answer: Different modes of outreach are mentioned, as well as the duration and intensity of the effort; and even a little information on the political and social environment in which this harm reduction program functions.

Unreasonable answer: “Just being in the community was our main form of outreach. Word travels fast and soon everybody in the area knew about our VCT program.” We do not consider ordinary word-of-mouth to be “outreach”. By outreach we mean a planned effort requiring some commitment of money or staff time to publicizing the services offered and encouraging clients to use them. But this is a reasonable answer if they didn’t do any other formal outreach.

23. Which 1 – 2 of these types of outreach were most successful in actually recruiting clients?

- **Format:** Open-ended text
- **Purpose:** To obtain more detailed information on the elements of a successful outreach program.
- **Reasonable answer:** “Making in-person, appointments to visit the offices of school administrators and visiting the home of the parents of the school children was the most successful.”
  OR:
  - “It’s hard to say. We just tried a lot of approaches in the hopes that some of them would work, but we don't really know which ones were the most successful”. This is not a very detailed answer, but if this is all they can say, it’s OK. We should not ask the respondent to speculate.
- **Unreasonable answer:** “Providing the curriculum itself was the most successful form of outreach.” It’s not clear what this means. Do the school kids recruit other teachers and students to request the curriculum?

24. Please explain why they were the most successful.
- **Format:** Open-ended text

- **Purpose:** To obtain more detailed information on the elements of a successful outreach program.

- **Reasonable answer:** “It takes quite a while to build up the trust of parents and school administrators. A lot of them are afraid that you will expose children to inappropriate sexual material. Therefore, establishing a personal relationship and demonstrating, over time, that you have no agenda other than protecting the children from HIV is the only thing that really works.”

- **Unreasonable answer:** “I don’t think anything worked very well.” Possible. But we still want to know which was most successful and why. If none were effective, have the respondent elaborate and tell us why.

### Determinants of efficiency (Question 25)

<table>
<thead>
<tr>
<th><strong>Purpose</strong></th>
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<tbody>
<tr>
<td>Question 25 may be the single most important question in HIPPI. In most of the rest of the questionnaire we ask questions that give us information that will allow us to infer conclusions about costs, outputs, and efficiency. In this question we ask for the respondents views directly.</td>
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<table>
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<tr>
<th><strong>Data collection approach</strong></th>
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<tbody>
<tr>
<td>Before you administer this questionnaire, and with assistance from the UCSF team, you will have received information on whether this intervention should be considered more efficient or less efficient compared with other interventions of this type, or of about average efficiency. Based on data from the ARQ, you also be given information on the cost per unit output that we found in the initial data collection. You can enter this in the box on page 16.</td>
</tr>
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</table>

| **This box on page 16 also contains a short script for introducing this topic.** Without reading it mechanically, we suggest that you follow the script quite closely particularly in the case of programs that are “less efficient than most”. Your tone should be nonjudgmental and matter-of-fact, while at the same time not disguising the point of this conversation, which is that we want to understand why this program appears to cost more per unit of output than many others |

| **Other considerations:** This is perhaps the most sensitive question in the HIPPI, in that we need to let them know our preliminary findings about program efficiency. This should not be a problem if the program has a relatively high or even average efficiency. If the program seems to be have low efficiency you need to be able to convey this without invoking a negative reaction from the respondent. As conveyed in the script on page 16 of the instrument, it is best to avoid the word “efficiency”. Instead talked about the “cost for each activity”, the “cost per unit of output”, and “high unit costs” |
25. “What are the most important factors that cause the cost per output to be at this level?” (See cost per output in the box above).

- **Format**: Open-ended text

- **Purpose**: This is a critically important part of the interview because it is where we directly ask the respondent to share his or her perspective on the major causes of efficiency or inefficiency. We want to understand the factors that make for particularly efficient programs; particularly inefficient programs; as well as the characteristics of programs that are about average inefficiency. Note that we are concerned with economic costs per output, not financial costs.

### Steps for answering question 25

<table>
<thead>
<tr>
<th>Step</th>
<th>Description</th>
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<tbody>
<tr>
<td>1.</td>
<td>Let the respondents offer their own ideas about the role of each factor in determining the cost per output as shown on page 16.</td>
</tr>
<tr>
<td>2.</td>
<td>Make sure that the topics covered in the eight probes are discussed for each factor. Thus, elaborate on the initial response, using the probes. For example, if the respondent says “test kits cost more” ask for their assessment of what caused test kits to cost more in this situation, and whether they had any options in test kit acquisition, etc.</td>
</tr>
<tr>
<td>3.</td>
<td>After the discussion of each factor, ask “Was there any thing else that helps explain why the cost per output was at this level?”</td>
</tr>
<tr>
<td>4.</td>
<td>When the respondent offers no more explanations for the cost per output, mention each of the additional topics in the box below that has not already been discussed (“funding”, “cash flow”, etc.).</td>
</tr>
<tr>
<td>5.</td>
<td>Obtain the respondents views on the effect that these additional factors may have had in determining the cost per output. We anticipate that many of these will have already been discussed and many of the rest will not have played a major role in determining cost per output. Nevertheless mention each one that has not been specifically discussed. We want to make sure that we don’t miss anything important.</td>
</tr>
<tr>
<td>6.</td>
<td>As before, use the eight prompts below to get a full explanation for each factor.</td>
</tr>
</tbody>
</table>

### Reasonable answer:

**Example 1 – High volume**: “Costs per woman getting MTCT services are really low because we have such a high volume of services. Our staff has had so much experience that they are able to do the blood draws and lab processes rapidly and in large batches. Also, we are able to order test kits and other supplies in large volume and so we get a price break. Finally, we hire only local staff. Unemployment here is very high, so our wages are lower than in the other big MTCT project in the capital.

**OR:**

**Example 2 – Crime**: Cost per output were very high during the first half of the year. This is because skinhead gangs started going after our IDU clients and they were afraid to come forward for services. IDUs are considered social parasites and regular citizens don’t like them much better, so the police sometimes harass them too. Fortunately, the Director of this agency has close relations with the Members of Parliament for our district. The Director received assurances from them that they would put pressure on the City Council and the Police Department to start controlling the skinheads. The problem than was that a lot of the rank-and-file police, and I think some of the City Council members, hadn’t gotten the word that they needed to change their *modus operandi* or perhaps they thought they could resist the pressure. However the political connections of our Director are pretty strong because the members of...
Parliament owe him several debts of gratitude. I don’t know all the details, but I do know that the Project Director received renewed assurances that he would get the cooperation we need. You have seen the statistics: A big increase in our caseload over the last three months. This caused our unit costs to go way up, because we were fully staffed during that time, and of course, had to pay rent and utilities, etc.” Notice that the answers provide all the information asked for and a lot of important contextual detail too.

OR:

Example 3 – Supplies: “We have tremendous difficulty getting all of the rapid tests that we want. I know that we would be able to serve far more clients, and our unit costs would go down if we had a reliable supply of rapid tests. The MoH is supposed to supply us with rapid tests but I would say that out of a month’s stock, we get enough to last around 2 weeks. ELISA tests are easy to get, so we use these to fill in the gap, but of course this is inconsistent. It would be a lot easier for both our staff and the clients if we were just dealing with one kind of test. Since we can get ELISAs, this has not caused any delay in services. There’s not much we can do about this. I hate to be cynical, but I find that writing letters to the Ministry of Health on this topic is a waste of time. It’s a systemic problem.”

Unreasonable answer:

Example 1- Facility selection. “It took us months to find a proper facility. We got so tired of being in the cramped quarters of our first office. It was actually the bottom floor of the home of one of our Board members. I would say during the spring of 1998, looking for an office space was one of our major activities. It seemed impossible to find a suitable place that we could afford. But as you can see, we finally did”. This answer provides us with little of the information really want. We don’t learn whether this caused a delay in service provision, nor what measures they might have taken to maintain services. There is no explicit link to why costs per output are high or low.

OR:

Example 2 - Staffing. “We just couldn’t find the number of qualified counselors that we needed. And we’re still about 50 percent understaffed. Obviously this is having huge effect on our ability to deliver services.” This should just be the beginning of the explanation. The interviewer should follow up with questions like: What specific effects has this had on the ability to deliver service? Compensatory actions that have been taken? For example, have they asked the existing staff to work longer hours until additional counselors can be hired?

Assessing full capacity / maximum production
(Questions 26 – 33)

Purpose
In order to operate at high efficiency, programs must be at or near full capacity. If they are serving fewer clients or producing fewer outputs then they have staff for, money for the excess staff is effectively wasted. Similarly, if the project is using a much larger space than they actually need, money will be wasted on rents or mortgage payments. The purpose of this section is to determine whether the program is functioning near full capacity for the outputs that we consider essential.

Data Collection Approach
This section refers to the 1-2 outputs that have identified as essential in the ARQ intervention instrument. These questions are somewhat speculative, in that they asked the respondent to imagine a situation that does not now exist, i.e., that they have unlimited supplies and unlimited
demand. Make sure that the respondents understand the hypothetical situation we are asking them to imagine.

**Other considerations:** By full capacity, we mean the level of output that had originally been planned for this intervention and which could be reached without major increases in fixed costs. Fixed costs are expenditures which do not change over a wide range of outputs, such as capital assets including buildings, vehicles, and office equipment.

Remember that these questions pertain to the particular intervention you are assessing, not to the facility.

26. Here are the outputs that we consider most important for this intervention

- **Format:** Open-ended text, completed by interviewer not respondent.
- **Purpose:** To reproduce the description of the outputs designated as “essential” in the ADC and the ARQ so that the respondent can refer to these in answering questions 27 – 30 on production of these outputs.
- **Reasonable answer:** “Condoms sold” in the case of a condom social marketing program or “Cases of STIs detected” in the case of an STI program.
- **Unreasonable answer:** “Tests for syphilis provided.” Tests for specific STIs are not among the outputs designated as “essential”.

"Essential outputs” have been selected by PANCEA

Remember, you are presenting the outputs that have already been designated “essential” in the ARQ. The respondent is not choosing them.

27. What volume of this particular output (see Question 26 above) can you provide with existing facilities and staff, assuming you had unlimited supplies and unlimited demand for your services?

- **Format:** Number accompanied by time period; (e.g., 1,000 condoms sold per month; 150 cases of STIs detected per month; or 10,000 clean syringes distributed per quarter)
- **Purpose:** To determine whether the availability of supplies is currently constraining production. This question is designed to indicate whether there is unused capacity available in the intervention as currently structured.

**Reasonable answer** “Given our existing condom distribution network, I’m confident that we can distribute and sell 200,000 condoms a month if we had access to that number. The reason I know this is that we had a one-time donation of about one million units and we were able to distribute something like 175,000 per month. We've gotten more efficient since then, so I think 200,000 per month is a pretty good guess. The demand is out there, and it’s really no more expensive to deliver a full truckload than a half truckload.”
Unreasonable answer: “If we had an unlimited number of condoms we could sell 10 million a year. This is conservative since it only assumes each man in the country uses only 15 condoms a year”. This answer appears to have ignored the premise that existing facilities and staff remained constant. Could they really distribute 10 million condoms without hiring any new personnel? Are the current storage facilities sufficient to handle a volume of 10 million?

28. What is the main reason for not being able to reach the maximum output (as indicated in Question 27)?

- Format: Open-ended text
- Purpose: To determine what factors are limiting production of this essential output, and thereby limiting both efficiency and effectiveness.

Be prepared to probe

This is a general question designed not to elicit predetermined answers but rather to obtain information on the full range of possible dynamics that might prevent attaining maximum production. Be prepared to probe based on what you have learned so far about the conditions this program faces.

Reasonable answer: “If we had an unlimited number of condoms we could sell maybe 5 million a year. More than that and we simply don’t have the staff or the delivery vehicles to distribute them.”

Unreasonable answer  Example 1, Condom Social Marketing: If we had an unlimited number of condoms we could sell 10 million a year. This is conservative since it only assumes each man in the country uses only 15 condoms a year”. This answer appears to have ignored the premise that existing facilities and staff remained constant. Could they really distribute 10 million condoms without hiring any new personnel? Are the current storage facilities sufficient to handle any volume of 10 million

OR:

Example 2, STI clinic: “There simply aren’t enough clients coming in. I think we may have over-estimated the incidence of STIs in our community. We planned our capacity based on anecdotal information that suggested very high incidence. Now, with the publication of the most recent round of surveillance data, we find that the actual incidence is probably much less than we planned”. This question asks the respondent to assumed that there is unlimited demand.

Note that questions 29 – 30 are repetitions of question 27 – 28. You'll answer questions 29 and 30 if there are two "essential outputs" rather than just one.

31. What are the factors that determine whether or not you can meet demand for your services on a given day?

- Format: Open-ended text


- **Purpose:** To qualitatively explore the factors that determine the ability to meet demand.

**Reasonable answer:** “Unfortunately we have to turn people away on our busiest days. Monday is a big day for us, and many times people either get tired of waiting and leave, or I see people walk in the door, take one look at the line, and turn around and walk away. The problem is that we can’t recruit enough certified counselors. Other NGOs with bigger budgets hire all of the good prospects, because they can offer higher salaries than we can. We’ve never tried to quantify how many people seek our services and can’t get them, or who are discouraged from trying because they know the wait is so long. But I’m sure that the number of such people is high.”

**Unreasonable answer:** “As a matter of policy and professional ethics we always meet the demand for our services. No matter what it takes we will never refuse STI services to people who come to our clinic.” This respondent did not understand the question, and is perhaps a bit defensive. The question is not whether they deliberately refuse to serve people, but whether the capacity is sufficient to meet the immediate effective demand. No matter how good their intentions, there’s a point beyond which a finite number of staff and other resources cannot provide more high-quality services. The interviewer might answer with something like, “I’m sure you do your best to provide good services to as many people as you possibly can, but there is a limit to what any projects can do with limited resources. Have you ever noticed people having to leave your project because it was too crowded or the wait was too long?”

**32. If demand sometimes not met (see response to Q. 31): What additional resources would you need to always be able to meet demand?**

- **Format:** Open-ended text

- **Purpose:** To further explore what determines the ability to meet demand.

**Reasonable answer:** “As I mentioned, we can’t recruit enough certified counselors. This has been a huge problem, but I think we might have a solution now. We’ve always thought we could train people ourselves, and they would be just as good as the government-certified counselors. But we were always prohibited from doing this by the Ministry of Health which imposes its manpower classifications on all of the NGOs. But the new Minister may change that. In a recent speech she strongly hinted that she was ready to allow NGOs more flexibility and independence in hiring and training staff according to their own needs.”

**Unreasonable answer:** “We really have more staff than we need to meet current demand.” This respondent misunderstood the question which assumes (in answer to Question 31) that the program is not always able to meet current demand. Otherwise they should have skipped to question 33.

**33. If demand sometimes below supply (see response to Q. 31): Are there resources you could reduce and still meet demand? Please explain.**
**SELECTED CURRENT ISSUES**

*Questions 34 – 54*

**Purpose**

A small subset of issues require a more tailor-made line of questioning than we can express through brief prompts. These include external support for intervention; funding issues; free services; management of volunteers and paid staff; program evaluation;: Each of these can affect cost, quality or volume of output, and therefore need to be documented.

**Data Collection Approach**

This is an opportunity for respondents to describe a variety of problems and circumstances which may be frustrating or stimulating program activities. The aim here is to invite the respondent to reflect on a range of factors both in the program itself and in the environment that could affect efficiency. This section of the questionnaire is an opportunity for respondents to describe in a fairly open-ended format, important characteristics of their programs.

**Other considerations:** We would expect that respondents would have little difficulty answering these questions, and would welcome the opportunity to describe in some detail the problems that they face and their methods for dealing with them. If detailed responses are not forthcoming, the interviewer should restate the question in a slightly different way, and make generous use of probes to help initiate a free-flowing conversation.

34. **Has your ability to deliver services been affected by the level and kind of support you have received from other agencies such as the MoH; domestic NGOs; foreign NGOs; church groups or universities? Support can mean material support such as funding or in-kind donations or political support.**

- **Format:** Open-ended text
• **Purpose:** To understand the role of support from other agencies in affecting the costs or outputs of this intervention.

**Reasonable answer:** “We are a grass-roots community-based agency. The only other agency that supports us is “Save the Children”. Starting in June, 2000, they give us 100 posters a year and other IEC materials. It’s hard to quantify this help, because we would not otherwise spend money on this, but I’m sure it helps us reach more clients. Again, I don’t really have a basis for estimating how many more clients.”

**Unreasonable answer:** Simple 2-3 word answers to each item with no extra explanation. Interviewers need to probe for additional background and explanations. Be careful not to forget to request the start and end dates for each type of support.

35. **Do you feel that the need to seek funding has affected implementation of your intervention?**

• **Format:** Yes / No / DK

• **Purpose:** To ascertain whether the process of grant writing and other funding requirements is a significant burden on program resources.

**Reasonable answer:** “Yes. There's nobody on our staff for whom English as a first language. The time required to generate material for grants is therefore even greater than would ordinarily be the case. This is a major distraction from our service delivery mission. It's hard to know exactly how this affects the type or quantity of services we deliver. All I know is that a lot of senior staff time goes into this, which would otherwise be available for planning or service delivery activities.”

**Unreasonable answer:** “No. We always find a way to deliver the same amount of services, no matter how much time we have to spend on seeking funds”. This cannot literally be true. The interviewer should ask follow-up questions about the amount of time actually spent on fundraising and what the staff who spends time on seeking funds could otherwise be doing.

36. **Do the terms set by funders affect the way your intervention operates or expends funds?**

• **Format:** Yes / No / DK

• **Purpose:** To ascertain whether the funders influence program operations; and if so, whether this influence is positive or negative.

**Reasonable answer:** “Yes”.

**Unreasonable answer:** Anything other than “Yes”, “No” or “DK”

37. **How?**
• **Format:** Open-ended text

• **Purpose:** To ascertain whether the funders' influence is positive or negative, particularly with regard to efficiency and quality.

**Reasonable answer:** “Yes. Our donors have very strong ideas about the right way to do peer counseling. The problem is that their methods are based on experience in the United States. We want to make a few modifications to match our culture better, but the donors don’t like it, so we have to compromise, and this harms our effectiveness”.

OR:
“No. Our donors are just interested in showing on their books that money has been spent. They don’t really care what we do with it. So, we spend a lot of it on other interventions such as IEC that we think are important but aren’t formally a part of our agreement with the donors.”

**Unreasonable answer:** “Yes, we are micro-managed on almost every aspect of our work by donors’ oversight of how we use money”. This is somewhat informative but doesn’t tell us enough. We would want at least one or two examples of this type of over-scrutiny.

38. **Do you think that variations in the amount of funds released to the intervention from month to month, quarter to quarter, or year to year have affected efficiency or effectiveness?**

• **Format:** Yes / No / DK

• **Purpose:** To ascertain whether variations in funders’ contributions affects operations, quality or efficiency

**Reasonable answer:** “No”

**Unreasonable answer:** “Not really sure”. If the respondent really doesn’t know, this should be marked “DK”.

39. **Please describe how variations in the amount of funds released have affected efficiency or effectiveness:**

• **Format:** Open-ended text

• **Purpose:** To ascertain whether variations in funders’ contributions affects operations, quality or efficiency

**Reasonable answer:** “The level of funding we get from individual donors, varies a lot from year-to-year. However, we are fortunate in that we have a large number of donors. That means that the overall funding levels stay fairly constant in spite of all this individual variation.”

**Unreasonable answer:** “The amount of money we get from year-to-year varies a lot, but it really doesn't affect our efficiency much. When we have a lot of money we hire more staff and increase the volume of MTCT. services we can provide. When funding dries up we simply cut
back.” It is very unlikely that any program can hire staff and layoff staff so rapidly. Even if they could, it would have major effects on the quality of services and on efficiency.

40. **What measures, if any, do you take to reduce the problems posed by variations in the levels of funding? Please describe these measures and how effective they have been.**

- **Format:** Open-ended text
- **Purpose:** To determine whether there are effective methods for coping with the problems arising from variations in funding.

**Reasonable answer:** “Over time, we have gotten pretty good at insulating ourselves from the effects of these vagaries in funding. Our main strategy is to borrow money from the personal account of one of the members of our advisory board. She is a very wealthy woman, and has been very generous to us in this way. It's only a temporary loan and we have always been able to pay her back once our funds are released.”

**Unreasonable answer:** “As I said earlier, the ups and downs of funding really don't affect us much. Our main coping mechanism is just to hire and fire staff. This would be a very unexpected answer. The interviewer should ask some follow-up questions to determine if this is really true.

41: **“Does your intervention experience any special difficulties posed by having a large number of different funders?”**

- **Format:** Yes / No / DK /NA
- **Purpose:** To ascertain whether having a large number of funders affects operations, quality or efficiency.

**Reasonable answer:** “No”

**Unreasonable answer:** Anything other than “Yes”, “No”, “DK” or “NA”

42. **Please describe how these difficulties affect your intervention:**

- **Format:** Open-ended text
- **Purpose:** To determine in what particular ways having a large number of funders affects operations, quality or efficiency.

**Reasonable answer:** “We receive funding from six major donors. Each of these has its own reporting requirement and each of them has its own idiosyncratic accounting format that they expect us to use. We spend an inordinate amount of time meeting this complex set of reporting requirements. Lately we have been wondering whether it’s even worth it in some cases. About
80 percent of our funding comes from one source. We are actually giving real consideration to terminating funding from two of our funders who only supply about 5 percent of the total each."

Unreasonable answer: “We have a lot of funders and each has different reporting requirements. Lately this has gotten to be a major problem. One of our new funders has asked for a very complicated break-down of the number of STI treatment. They want a detailed breakdown by risk-groups that don’t really reflect the risk groups we deal with. We are ready to just give up.” This is fine as far as it goes but we want to know more. What do they mean by “give up?” Does this mean they are willing to forego this funding? Does it mean they will provide information in a different form from what the funder requests? If so, what are the likely consequences?

43. What measures, if any, do you take to reduce the problems posed by having a large number of different funders? Please describe these measures and how effective they have been.

- **Format:** Open-ended text
- **Purpose:** To further help understand the impact of multiple funders; and to identify potential effective coping strategies.

Reasonable answer: “I don't know that I would characterize having many funders as being a problem because we really don't want to become too dependent on just one or two. However, it is true that we spend a lot of time providing progress reports, and applications for further funding. We've gotten very good at using the same text in multiple documents, and that has helped to some extent. We also tried to educate some of our funders about the waste involved in having to collect slightly different forms of the same data. In some cases we are able to provide similar data that is acceptable. For example, one funder asks for number of first visits for STI examinations, which is information we don't otherwise collect; and another asks for number of unique clients seen. We've been able to convince the first funder that providing information on the number of unique clients seen is an acceptable substitute. This is about all we have been able to come up with."

Concise version: “Lot of time spent on progress reports and applications. Use same text often. Have been educating funders about waste in having slightly different forms of same data, and convinced some to accept identical data.”

Unreasonable answer: “We just allocate a lot of staff time to meeting donor information requests. In fact recently, we hired an assistant director, and that's pretty much all she does. It's expensive but, of course, keeping the funders happy is a necessity.” This is more of a description of the problem, than of a solution. It might be that they to do not have any innovative strategies, but it would be good to probe a little further.

44. You told us on a previous visit what your fee structure is. Specifically, you told us that ... [briefly summarize ARQ intervention sheet responses on fees, reductions, free services]. Is that correct? Why did you design fees that way?

- **Format:** Open-ended text
• **Purpose:** The use of fees (including registration fees) can strongly influence the level of effective demand for services and may also affect efficiency. We therefore seek more detail than is provided in the ARQ.

**Reasonable answer:** “A sliding scale is absolutely critical to our ability to function. We have a lot of very impoverished families in this area who honestly can pay little or nothing for services. At the same time, we would not be able to function if not for the income we get from those who are able to pay. Our approach is not to subject people to lots of questions about their financial means. Instead, we have a chart on the wall with proposed fees for people at different income levels. People are on their honor. There are occasional abuses, in which those who could afford to pay feign poverty, but the majority of the people, we believe, are honest and think our pricing system is fair.”

**Unreasonable answer:** “We charge whatever is appropriate to the person’s income.” This answer is incomplete. How does the project know what is appropriate to each client’s income?

**Redundant topics**
Refer to the information already provide in the ARQ so that the respondent knows that you are aware that the topic has already been touched on. Say something like, “You provided some information on client fees in the ARQ instrument, and now I’d like to get a little more detail.”

45. **If some charges levied ... Are there days when you provide services that are free of cost?**

- **Format:** Yes / No / DK
- **Purpose:** The use of fees and the overall cost to clients can influence the level of effective demand for services and may also affect efficiency.

**Reasonable answer:** “Yes”

**Unreasonable answer:** Anything other than “Yes”, “No”, “DK”. As always, we welcome additional information.

46. **How frequently do you offer days in which services are provided free of charge?**

- **Format:** Check boxes:
- **Purpose:** The frequency of “free days” is essential to our understanding of their likely effect on demand and efficiency.

**Reasonable answer:** Any of the answers provided by the check boxes.
Unreasonable answer: "Three times" in “Other, specify frequency” This is inadequate because it doesn't include a time period. Three times per month? Three times per year?

47. What services are provided for free on those days?

- **Format:** Open-ended text
- **Purpose:** To obtain a measure of the extent of free services that may be offered.

Reasonable answer: “On two Friday afternoons each month, we offer free MTCT services. This just means that we waive the registration fee. At four pesos, this fee is generally not too onerous anyway, but we want to make sure that the very poor are not barred from obtaining our services. And indeed, it's obvious that those who come in on those Friday afternoons are poorer than our normal clientele.”

Unreasonable answer: “All services are provided free on those days”. This answer is a little misleading. It implies that fees are ordinarily charged for services whereas only a registration fee is charged.

48. By what percent does your caseload increase on the days when free care is offered compared with the average caseload for this time of year?”

- **Format:** Number
- **Purpose:** To estimate the effect of fees on effective demand.

Reasonable answer: 50%

Unreasonable answer: 500%. It is very unlikely that the caseload would increase by a factor of five on free days. If such a large increase did in fact occur, we would want some explanation, in addition to the number itself.

The problem with averages

Some people aren’t used to thinking in terms of averages. In response to a request for an average they will say things like, "Well, it’s hard to generalize. It varies a lot depending on the day of the week and on the weather. On rainy days, almost no one comes in”. In this situation, you simply need to persist. You might say something like, “I realize that the caseload varies considerably and that no single day reflects the overall volume very well. Nevertheless, looking back over the last month or so and smoothing out the different highs and lows, what would you say the caseload usually is?”

49. If the intervention caseload does not increase on days when services are provided free, please explain why.

- **Format:** Open-ended text
• **Purpose:** To obtain additional understanding of the effect of prices on effective demand.

**Reasonable answer:** “We are already operating at maximum capacity when we do charge fees. So it’s really not possible that our caseload could increase. We do find, however, that the mix of clients changes on free days and that we get more lower income people on those days.”

**Unreasonable answer:** “People don't want to come for services because of the stigma attached to HIV.” This is potentially important information, but we would like to hear more. It sounds as if the respondent means that the limit on effective demand is imposed by stigma, and that fees have little additional effect. We would like this spelled out more clearly.

50. **Do you reach a different mix of clients on days when free services are provided?**

• **Format:** Yes / No / DK

• **Purpose:** To obtain additional understanding of the effect of prices on effective demand; and particularly on whether this is a good strategy for reaching lower income clients.

**Reasonable answer:** Any of the answers provided by the check boxes.

**Unreasonable answer:** Any answer other than those provided by the check boxes.

51. **Please describe in what way the client mix differs on free days compared with days when regular fees are charged:**

• **Format:** Open-ended text

• **Purpose:** To obtain additional understanding of the effect of prices on effective demand; and particularly on whether this is a good strategy for reaching lower income clients.

**Reasonable answer:** “We find that a greater proportion of clients from the scheduled castes attend our clinic on the free days. In fact, the scheduled castes rarely attend our regular service days.”

**Unreasonable answer:** “The elite attend on the free days, and almost never come in on our regular days.” This is counterintuitive. We would want to learn more about what gives rise to this perverse outcome, and what the program plans to do, if anything, to correct it.

52. **Please describe how issues related to recruiting, managing and retaining volunteers affect service delivery quantity and quality?**
The role of volunteers

Some volunteers are integral to the functioning of a project in the sense that training volunteers is part of the core mission itself. Peer education and outreach for SWs are based on this approach. A second reason why an intervention may not be able to function without volunteers is that they would have insufficient funds to support their activities without a large volunteer contingent.

**Reasonable answer:** “It would be possible to continue with our intervention if we had no volunteers. But both the quality of the program and the quantity of services would decline. Quantity would decline because we would have to hire people to do the work that volunteers do for us now. Naturally, that means less money for other program activities. The quality would also decline in ways that are hard to predict exactly. I think that the presence or volunteers gives us credibility both with the local neighborhood and with the young people at risk of HIV that constitute our primary clientele. The presence of volunteers makes these young people feel more comfortable, because of the less professionalized environment. Without the volunteers I’m not sure we could get to the really high-risk kids, and in that sense quality would suffer. Volunteers play a vital role in publicizing our VCT services, reducing stigma in the community, and in doing most of the pretest counseling and education. Initially we got volunteers from my personal network of friends. But now they come to us by word-of-mouth so we don’t need any active recruitment. We make sure the volunteers are recognized. We provide certificates at the end of their training, and hold regular social gatherings for them. I wouldn’t say that burnout is really an issue for us. Some volunteers, after they have been with us for a year or two, simply want to go on to something else. But it’s not that there burned out and frustrated. In our community, HIV has long been recognized as a serious problem, so we find that we are able to recruit volunteers that are very dedicated. They have seen the devastation that HIV can cause first hand. The result is that our volunteers are a fairly self-managing group. In fact, the leader of the volunteers is himself a volunteer. So we really don’t have to spend much of our time on managing them.”

**Concise version:** "Volunteers save money and thus increase volume of services. Volunteers create informal style, helps attract high-risk youth. No active recruitment of volunteers. Come via word of mouth. We recognize volunteers with certificates and social events. Very dedicated because have seen devastation caused by HIV. Burnout not a major issue. Don’t require much paid staff time for management.”

**Unreasonable answer:** “Our volunteers really don't have much effect on service delivery quantity or quality. They mainly do office work for us including managing our inventory of supplies and making deliveries of IEC materials in the community.” Presumably if this IEC program did not have volunteers, they would have to pay staff to do these jobs. Can we get any assessment from the respondent about how this would effect the program? More importantly we are missing information asked for in the other probes: How are volunteers recruited? Retained? Burnout?
OR:
"I doubt we could hire anyone to do the work our volunteers do. Their work doesn’t fit any normal job description". Again, the explanation given makes sense, but is incomplete. Make sure to follow-up with questions that ask why they could not translate the work of the volunteers into a more conventional set of job responsibilities, or why no one would be willing to do what the volunteers do. After all, if someone is willing to do this work for free, why wouldn’t someone do it for pay?

53. As your intervention expands further, do you believe that finding and keeping good volunteers will become easier, harder, or remain at about the current level of difficulty? Please explain:

- **Format:** Open-ended text
- **Purpose:** To obtain an understanding of whether the current role for volunteers is likely to persist into the future. This is particularly important for those programs that depend heavily on volunteers.

**Reasonable answer:** “We have plans to scale up our program rapidly. It is possible that those most willing and able to volunteer have already done so, and that we will have a harder time getting good volunteers in the future. However, we hope that as people see how important our activities are in the community, that more volunteers will step forward. We'll just have to wait and see.”

**Unreasonable answer:** “It should be far easier to get volunteers because we already have so many.” This is confusing. Does the respondent mean that the many volunteers that they now have will tell their friends, thus increasing the total pool volunteers? More explanation is required.

54. Please describe how issues related to recruiting, managing and retaining paid staff affects service delivery quantity and quality.

- **Format:** Open-ended text
- **Purpose:** To understand how the recruitment and management of paid staff may affect program output or efficiency.

**Reasonable answer:** “There are a great number of aid and development organizations working in this country and particularly here in the capital city. This means that there's a lot of competition for the limited number of well-qualified staff. However, we try to avoid "raiding" staff from other projects. Instead, we recruit people directly out of high school or university (depending on the level of their job), and do a lot of training ourselves. This is in some ways more expensive than recruiting already experienced staff, but we think there are benefits to our approach. First, on principle, we don't want to be raiding the staff of other agencies. As important, we are able to orient our workers to our service philosophy, something that is harder to do if they have been working for a long time elsewhere. We have been in operation for six years now and only one of our key managers has left and none of our counselors have left. So we think this says something important about our approach. However, in honesty, I should also
say that we pay a little bit more than most of the other agencies and that too helps us to retain staff. Beyond this, I can't think of any particular issues related to staff management that might affect costs or outputs. We are not planning to expand very much over the next few years. If we can retain the staff we now have, we will be happy, and I don't see any reason why retaining it staff should become more difficult or easier over time."

Concise version: “Lots of competition for good staff. Recruit staff directly from high school or university; no “raiding”. Do own training; this helps orient staff to service philosophy Very high retention rate. Pay wages somewhat above norm. No expansion plans. Ability to retain staff expected to remain the same.”

Unreasonable answer: “I don't think there are any particular issues to report here. We use standard recruitment and management practices”. Readers will have little idea what is meant by “standard recruitment and management practices” for this project, with in this community. The respondent should ask for specific information using the probes shown on the questionnaire.

### Plans for future expansion or contraction (Question 55- 56)

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<tr>
<th>Purpose</th>
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<tbody>
<tr>
<td>One of the aims of the PANCEA project is to improve estimates of the cost of scaling up HIV prevention programs. This set of questions will elicit information about plans for scaling up activities and the respondent's best assessment of how these plans will affect efficiency.</td>
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<tr>
<th>Data Collection Approach</th>
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<tr>
<td>Question 55 asks about additions or deletions of activities within the intervention; and question the 56 asks about adding or removing service delivery sites.</td>
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<th>Other considerations:</th>
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<td>respondent's may not have definite plans, and what they are able to do may depend on uncertain levels of future funding and other factors that cannot be known exactly. Nevertheless, do your best to get as specific and realistic a picture of their plans as you can.</td>
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### 55. Do you have any plans to add or subtract activities or services to this intervention in the future?

- **Format:** Open-ended text
- **Purpose:** To obtain information about the programs planned path of expansion (or contraction).

Reasonable answer: "We just completed an extensive internal evaluation. We were hoping that our radio messages were being heard by people in the remote rural areas. It turns out however, based on our own survey, that people in the rural areas don't get good enough reception on the stations that we broadcast on. They mainly listen to the government-sponsored radio, and we don't put our messages on the government station because they don't allow us to use the explicit
language that we wanted. So, as of January, we've decided to drop radio messages, at least for the time being. This will save us about $20,000 a year. Most of this money will go into the publication of pamphlets and fliers that we hand out at nightclubs and bars. We think this is a better use of our money.”

OR:
“We plan to add chlamydia screening to our STI services. Our staff should be ready to start with this by September 15. I think that every time we add a new service, our reputation is enhanced and our caseload increases. That has been our experience to date. At $3 each and an estimated 40 tests a week, this will increase our costs by about $500 per month.” Notice that this brief response covers all of the probes associated with this question.

Unreasonable answer: "We are replacing volunteer counselors with trained social workers. We found that people think they are getting second-rate service if our personnel are not paid and formally trained. We don't believe that's true, but have found that it is fruitless to try to change these attitudes.” This information is somewhat interesting. However, it deals with the way in which a service is provided and does not address the question of whether services are being added or removed.

OR:
“We plan to keep adding the capability to detect new STIs” This is too vague. What specific measures are envisaged?

56. Do you have any plans to open or close a site in the future? Plus probes on why, when, and effects services and costs.

• Format: Open-ended text

• Purpose: To obtain information about the programs planned path of expansion (or contraction).

Reasonable answer: “So far our STI activities have been confined to the district hospital which is located here in the center of town. We feel that we have gained enough experience now that we could expand out into the periphery where we know there are a lot of unmet needs. Starting in March of 2004 we'll have a satellite clinic operating out of the community health center in the largest suburban area of Hyderabad. Our costs will increase of course because we will have expanded our operations, but we project that our unit costs will go down a little. Rents are lower in the suburbs and we have to pay less travel allowance to our staff since many of them live in the area. Once the new clinic is up and running we expect that it will serve about half as many clients as our main site, so the overall quantity of services we deliver will increase by about 50%. We don't expect that this expansion will have any effect on quality. Our most experienced counselor will manage the new site and I have confidence in her commitment to maintaining high-quality.”

OR:
“Yes. The response to our VCT services has been overwhelmingly positive. As you have seen our caseload has sky-rocketed and we need more physical space if we are going to serve more people. We hope to move into a new facility with 1,600 square feet by November, but we are not sure we can find a suitable space in the downtown neighborhood that would provide easiest access for our clients. We think that opening a new site will slightly lower our costs per client tested because we can share a lot of our vehicles and administrative functions between the two sites. Quality will increase because the new space will make it possible to increase the privacy
during both pre-and especially post-test counseling.” Notice that this response covers all of the probes. As indicated by the probes, one of the purposes of this question is to find out whether the same level of efficiency is expected at the new site as was attained at the original site. It is very important in determining how costs change as expansion occurs. Problems may occur in understanding what is meant by quality. It is therefore best if you ask the respondents to explain what they mean by “quality” and how it is affected by the opening of a new site.

Unreasonable answer: “We plan to open up new sites for VCT training as demand requires it. We will use the same model of service provision that we have used here at our original site, so I don’t expect any change in costs or output levels.” This is too vague. How likely is it that demand will actually require a new site? When? Also – just because they plan to use the same service delivery model does not mean that costs or outputs will remain the same. Rents might be higher at the new facility. Because of its location, the new site might attract a different type of caseload which is easier or harder to serve; they may need to hire new staff who initially are less productive than the staff at the original site, etc.

Final Thoughts
(Questions 57 - 59)

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<th>Purpose</th>
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<tr>
<td>To get any other information and wisdom that our respondents may have that we didn’t ask about specifically.</td>
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<tr>
<th>Data Collection Approach</th>
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<tr>
<td>Highly conversational and open-ended. Be sure to thank them for the time they have spent helping us.</td>
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<tr>
<th>Other considerations</th>
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| This is the last opportunity to obtain information the respondent may have hesitated to tell us earlier, or may have thought was unimportant. By this time we should have established a high level of trust. As appropriate, press a little to follow up on interesting points that may have been touched on earlier, but not fully explored. Most people enjoy this type of question, as it acknowledges their experience and expertise. However some people hesitate to generalize and feel “put on the spot” by questions like these. Make sure the respondents understand that there is no “right” answer here (or anywhere in the questionnaire).

57. If you could give advice to another HIV prevention intervention that provides the same services that you provide, on how to offer high quality services at a reasonable cost, what would you say to them?

- **Format:** Open-ended text

- **Purpose:** To obtain any other perspectives or information that the rest of HIPPI failed to gather.

Reasonable answer: “Don’t underestimate how long it may take to gained community acceptance. Rather then hiring staff based on the level of services you eventually hope to
achieve, start more modestly. It will probably take longer than you think before people will come for service at the level that you planned. That was our experience, and we had a lot of excess capacity (and therefore wasted money) while we waited for demand to catch up with us.”

Unreasonable answer: “Each program is so different I really don't think it's possible to generalize. I can't think of anything that we learned that would necessarily apply anywhere else.” It's true that programs are different and it is not always possible to generalize. Nevertheless, the interviewer might suggest some topics that have arisen during their previous conversations that he or she believes might lend themselves to general lessons. This could serve as a kind of “ice-breaker” to help the respondent start thinking about other possibilities.

58. Are there any questions I did not ask you that you think I should have?

- **Format:** Yes / No

- **Purpose:** To obtain any other perspectives or information that the rest of HIPPI failed to gather.

Reasonable answer: “Yes”

Unreasonable answer: Anything other than "yes" or "no".

59. Please explain.

- **Format:** Open-ended text

- **Purpose:** To obtain any other perspectives or information that the rest of HIPPI failed to gather

Reasonable answer: “No. I think we've dealt with all of the major issues at one time or another during this conversation.”

OR: “I didn't get a chance to go into as much detail about the causes of the big drop in clientele we experienced in the spring of 1999. What I forgot to mention is that a lot of the problem came from a rumor that circulated throughout this part of the country that nevirapine was causing a lot of adverse reactions and, in fact, many deaths. I don't know how this rumor got started but lots of people believed it and stayed away from our project. We had to spend a lot of time and effort fighting this misinformation.”

Unreasonable answer: “Well, of course there are a lot of topics that we haven't covered, but you can only do so much in an afternoon.” We hope, that there are not in fact a lot of important issues left out the previous conversations. The interviewer should follow this up with a question such as, “Could you please tell me what one or two of the most important of those topics are?”