Date

Name of Program Director
Address

Re: Invitation to participate in a research project

Dear [Program Director]:

The University of California San Francisco (UCSF) in partnership with several international collaborators is undertaking a cost effectiveness study, PANCEA (Prevent AIDS Network for Cost-Effectiveness Analysis), of HIV prevention programs in India, Mexico, Russia, South Africa and Uganda. We have identified your institution as a strong candidate for collaboration in this major research project and would like to discuss the possibility of your future participation.

This study, funded by the National Institutes of Health (USA), is a multi-site, multi-country study that will generate new information on the efficiency of HIV prevention programs in developing countries. The goal is to provide new data on costs and services that can be used with HIV epidemiological data to describe the most efficient use of HIV prevention resources.

The Study Collaborators and Investigators include Jim G. Kahn, Stef Bertozzi, Elliot Marseille and Nancy Padian of the University of California, San Francisco; Lalit Dandona of the Administrative Staff College of India; Joseph Saba of Axios International; Geoff Garnett of the Imperial College Edwin Zvartau of Pavlov State Medical University; and Mead Over and Mattias Lundberg of the World Bank.

We would also like to interview you and perhaps 1-2 other senior staff members to understand how your organization has developed and the opportunities and challenges you see for the future. The purpose of these interviews is to obtain information and opinions on issues related to program cost and efficiency, and past and planned future program expansion.

Confidentiality is often a concern in the context of the type of in-depth data collection we are planning. In this research project, your organization will not be identified without your explicit written consent, and the personal identity of none of the interview respondents will be revealed at all. We also think it is very important to remark that this work is not an evaluation, but research. Our aim is not to assess what is good or bad, but simply to understand the realities faced by HIV prevention programs, and how they have attempted to respond to those realities.

We are respectful of your primary mission, delivering HIV services, and believe that participating projects should be compensated for their time while working with us during the data collection. We
propose to provide a contribution of USD 75 per day of data collection to your project's general fund.

We will plan to contact you in 2-3 weeks time to discuss the project in more detail and the possibility of your program's participation in PANCEA.

Do not hesitate to contact us in case you need further information.

Looking forward to a future collaboration.

Sincerely,

Elliot Marseille, PhD
Project Director, UCSF

James G. Kahn, MD
Principle Investigator, UCSF
CONTACTING FACILITIES: The initial conversation

The following is a conversation template when first contacting a prospective facility. It is formatted so that you can take notes directly on these pages when you speak to each facility.

There are three goals for this initial contact, whether in person or over the telephone:

I. To introduce a prospective facility to the PANCEA project.
   
   Is our primary contact interested in participating in our study?

II. To define the prospective “facility”.
   
   Will we be interested in collecting information on all personnel, recurrent expenses, etc., or can we focus on a subunit of the larger, physical facility?

III. To determine whether the prospective facility is a reasonable site for a PANCEA data collection.
   
   Is it possible to collect all necessary information in ~2-3 days for an abbreviated site or ~5 days for a full site?

Send the PANCEA introduction letter (above) to your primary contact, typically ~3 weeks prior to initiating your first direct contact—whether that is a telephone call or a person-to-person meeting. This will prepare your contact for your first conversation so that it feels less like a “cold contact”, and more like a collaborative effort. The PANCEA introduction letter is provided on the previous pages, so if you have this manual chapter in MS Word you can start with the template and insert the correct date and program information in the heading of each letter.

NOTE:

Please keep a record of all the programs that you contact regarding participation in the PANCEA project.

In the Excel workbook “PAN_Tracking ...”, the worksheet “Record of Site Contacts” is provided for this purpose. This worksheet has space to record the name of the facility, name(s) and type(s) of intervention(s), name of a primary contact person, and complete contact information (address, telephone and email address if available.) This worksheet also allows you to record whether the program is interested in participating in the PANCEA project or not, and if the project is an appropriate site for PANCEA data collection. If the project is not an appropriate site, briefly indicate the reasons. Finally, if the site agrees to participate and is appropriate, the last columns provide a space to record key “Respondents and Data Sources” to help plan your PANCEA visit.

Please periodically send this updated file to the PANCEA coordinator for your country.
I. PANCEA Introduction.

1. Introduce yourself with reference to the PANCEA letter s/he should have already received, and then re-introduce the goals of PANCEA. Your introduction should include the following points:

   a. **Refer to the introduction letter**, sent several weeks prior.

   b. **Legitimize yourself and the project**: give your name, title, and affiliation, and the names of other organizations involved in the project.

   c. **Describe project goals.**
      i. The purpose of the PANCEA project is to understand the costs and efficiency of 8 different HIV prevention interventions in 5 developing countries (Mexico, Uganda, South Africa, Russia, India).
      ii. Within this general goal, we will examine how interventions’ costs and outputs vary over time as HIV prevention interventions become larger/smaller or offer more/less intensive services.
      iii. We plan to do this by visiting about 40 sites in each country and collecting information on costs and outputs from each.
      iv. We will present our research results to policy makers so that we can help them determine the better ways of spending limited HIV prevention budgets.
      v. We believe that if we spend existing resources for HIV prevention more efficiently, we can decrease the HIV incidence rate and therefore help slow the HIV/AIDS epidemic.

   d. **Describe why you contacted that facility.**
      i. We contacted you because we read / were told that you provide HIV prevention services of interest to our project – specifically [type of intervention(s)].
      ii. Does your facility provide this service?
         □ Yes  □ No
         If no, please explain (e.g., no longer provides, provides something different).

   e. **Describe the parameters of data collection.**
      i. If we collect data at your facility, we will need to spend ~ 3 days at the facility to talk to key staff and to gather cost and output information from your records, and to interview a few clients if possible.
      [For sites that are definitely “full” data collection sites, you should say you will require 5 days. Although you will request a return visit for “full” data collection from a few “abbreviated” sites you will not request this for most “abbreviated” sites. For this reason, we suggest that you wait until later to broach this topic for these sites.]

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¹ The 8 interventions are as follows, in case your contact asks: HIV VCT (voluntary counseling and testing), STI care, MTCT prevention, SW programs, IDU risk reduction programs, condom social marketing, IEC (information education communication), and schools-based education.
ii. You will remain completely anonymous. At no time will we associate your name with the data we collect.

iii. Our work is not an evaluation of your site; we will incorporate the information you provide with information from many other HIV prevention interventions. We are doing academic research.

iv. For each day we spend at your site, you will be given compensation for your time.

2. Discussion
a. Do you have any questions about the PANCEA study?

3. Would you consider participating in our study?
   □ Yes □ No

   If “no”:
   Thank your contact for his/her time.

   If “yes”:
   May I ask a few more questions so that I can understand your organization a bit better?

   If “yes”:
   Proceed with the questions below.

   If “no”:
   Schedule an appointment for a 15-minute conversation.

II. Facility Description.

1. I would like to get an idea of the work your facility does. Please briefly describe the services you offer at your facility, including HIV prevention activities and other services as well.

2. Approximately how many people work at your facility?
WORKING WITH A FACILITY:

Preparing to Go On-site

1. (Ask this question if the facility offers more services than the PANCEA intervention we are interested in studying.) Is the intervention we’re interested in -- [specify] --located in a subunit of your facility? By “subunit”, I mean part of the facility that is operationally distinct from the whole facility.

□ Yes □ No

b. If yes: Which subunit?

c. If yes: Approximately how many people work in that subunit?

3. How long has your facility been in existence?

a. (Ask only if relevant:) The subunit?

4. Do you have an organizational chart?

□ Yes □ No

If “yes”:

a. If interview is conducted in person, try to obtain this during the interview.

b. If the interview is via the telephone, ask if they can mail/fax the chart or whether you can obtain it when on-site.)

If “no”

a. Obtain a brief description of the facility’s organization/supervision.

[NOTE to interviewer: Depending on the nature of your contact, you may want to ask the following questions about costs and outputs now, or you may want to wait until later. At this point, do what feels comfortable. If it feels like too much to delve into the details below immediately, plan to ask these questions in your subsequent contact, perhaps as you begin setting up a tentative schedule.]

If you decide to participate in PANCEA, we will want to work with some of your records so that we can study the services you provide and the associated costs of running your facility.

OUTPUTS

5. Do you maintain records of the number of services provided? For example … [provide examples of “outputs” from ARQ intervention sheets. Focus on “essential outputs”]

□ Yes □ No
a. If “yes”: Please describe these records. How are they kept? (e.g., paper files, computer, by subunit, etc.)

6. Who can provide us information about these services?

PERSONNEL

7. Do you maintain personnel records?
   □ Yes    □ No

   a. If “yes”: Please describe these records. How are they kept? (e.g., paper files, computer, by subunit, etc.)

8. Who can provide us information about these services?

RECURRENT EXPENSES

9. Do you maintain records of your recurrent expenses – both goods and services?
   □ Yes    □ No

   a. If “yes”: Please describe these records. How are they kept? (e.g., paper files, computer, by subunit, etc.)

10. Who can provide us information about these services?
CAPITAL GOODS

11. Do you maintain records of expenditures on capital goods?

☐ Yes ☐ No

a. If “yes”: Please describe these records. How are they kept? (e.g., paper files, computer, by subunit, etc.)

12. Who can provide us information about these services?

END OF CONVERSATION #1
III. Sample Confirmation.

Thumbs up or thumbs down: Is this facility a reasonable PANCEA site?

After your initial contact, it is your job to determine whether the facility should be included or excluded from the PANCEA sample. Record this information in the “Tracking Tool, Record of Site Contacts”. Your determination should be based on several factors:

1. **Willingness to participate.** Is the site excited about working with us? The more key staff want to participate, the smoother the data collection process will be.

2. **Sample diversity.** If included, would this site provide new information? There are several ways to answer this question:
   i. Is the facility located in a different community than some of the other sites? (e.g., rural vs. urban)
   ii. Is the site on a different scale? (e.g. large vs. small)
   iii. Is the organizational style different than other sites in the sample?
   iv. Does the site have a longer or shorter history than other prospective sites?
   v. Does the site reach a different population than some of the others?

3. **Practical considerations.** How easy or difficult will it be to collect data from this site? There are several factors to consider:
   i. Does the site keep detailed records? (This is desirable but not essential.)
   ii. Will it be necessary to visit multiple locations in order to collect complete expenditure data?
   iii. Will it be possible to talk to staff who know a lot about the facility/intervention expenditures and outputs? Even when extensive records are available, we rely on staff who are knowledgeable and who have been with the facility - ideally for a good portion of the facility’s history, but at least for a year or two.
   iv. If the facility is large, will it be possible to collect data on a smaller subunit of the facility in which our intervention is located? (If “no”, how much effort is required to collect data on the entire facility?)
   v. 
CONTACTING FACILITIES: Scheduling the initial on-site visit

The following is a conversation template to use when scheduling the initial on-site visit.

NOTE: There may be a second round of data collection if the facility is chosen as a “long” site, involving the administration of Tier-II instruments: the ADC and HIPPI – II.

The “PANCEA On-site Schedule” on the following pages is formatted so that you can take notes directly as you establish a schedule.

NOTE: We have learned through past experiences that spending adequate, up-front scheduling time results in time-efficient on-site data collections. While your planning strategy may depart from the template below, it is important to be explicit and detailed in your scheduling so that you a) interview the correct personnel, b) accurately assess the schedule and time availability of key respondents, and c) gain access to all needed records.

i. Review the overall schedule of the planned on-site visit to familiarize your primary contact with our data collection procedures. (You can refer to the figure that indicates the general timeline of PANCEA data collections.)

ii. Create a detailed, tentative schedule: work with your primary contact to determine each of the following. Use the “PANCEA Guide to Tier I Instruments” as the basis for your instrument descriptions. In addition, you can take notes on the “PANCEA On-site Schedule (Tier I)” on the next page as you establish your tentative schedule.
   1. Who is the best respondent for each data collection unit? Ask whether it may be possible to obtain an organizational chart for the facility. This can help establish who may know what.
   2. When do these respondents have time available for us? (estimated)
   3. When will records be available? Ask whether asset registers are available. This can help.
      (estimated)
   4. Where should each interview be conducted, considering the location of appropriate respondents and records?

iii. Determine possible appointment times with each respondent. (Continue using the “PANCEA Guide to Tier I Instruments” and the “PANCEA On-site Schedule (Tier I)”, if you like.)
   1. This may involve introducing yourself and the PANCEA project to each respondent, if your primary contact hasn’t done this for you yet.
   2. It is important to let your respondent know what kind of questions you will be asking him/her. To facilitate this conversation, you may want to show your respondent the relevant instrument section(s). At the very least, discuss some of the specific questions you will be asking, and stress the importance of records availability, if necessary.

iv. Schedule a convenient week for the on-site visit, based on respondent(s) and records availability.

v. Confirm all appointments with your primary contact and each individual respondent.

vi. Contact the site to remind respondents of your appointment 1-2 days prior to going on-site.
PANCEA Guide to Tier-I (Abbreviated) Instruments

NOTE: In addition to these summarizes, site specific questions from each instrument to provide a complete description.

HIPPI – I

Purpose: To gain an early understanding of the intervention’s most basic features—its objectives, activities, and the intended target clientele.

Respondents: Have broad experience of the facility and intervention(s) over the entire course of intervention(s), if possible. This will typically be the director or a senior manager.

Time Required: ~1 hour.

Records: Unnecessary.

ARQni, facility characteristics

Purpose: To collect information about facility characteristics (e.g., types of services provided, hours of services, and target populations), governance and organizational structure, and financing.

Respondents: Have broad knowledge of the facility’s organizational structure, governance and financing. This will typically be the director or a senior manager.

Time Required: ~2 hours.

Records: Could be used for target population descriptors (e.g., How many in your target population are HIV-infected today? One year ago?), and for financing questions (e.g., We want to generate a list of all organizations that assisted the facility in the previous fiscal year, and then estimate what % of your budget each of these organizations provided.)

ARQni, inputs

Purpose: To assemble facility expenditures for the “last month” and “previous fiscal year”. These expenditures include costs for rents or mortgages, staffing (e.g., salary for each staff member), capital goods (e.g., comprehensive list: automobiles, laboratory equipment, etc.), and recurrent purchases (e.g., comprehensive list: test kits, printing costs, trainings, etc.)

Respondents: Have knowledge about the costs of running the facility and the specific intervention(s) of interest. Can walk our team through all relevant records. This may be a senior manager or accountant.

Time Required: 4-6 hours.
Records: Essential to generate comprehensive lists of staff, capital goods and recurrent expenses, and to determine financial cost of each item for the “last month” and “previous fiscal year”.

**ARQ intervention sheets (8)**

**Purpose:** To assemble intervention-level outputs for the “last month” and “previous fiscal year”. These instruments may focus on the entire facility (in the case of a stand-alone intervention) or a subunit of the facility (in the case of a facility that offers both STI and VCT services); and one or two intervention sheets may be administered at a facility. Questions vary depending on the type of intervention under investigation, but some examples include outreach (e.g., Did you do any outreach last month?), services (e.g., How many clients received services last month and for each month of the previous fiscal year? How many were male? Female? Couples? Pregnant? etc.), and client fees (e.g., How much did you charge for x in the last month?).

**Respondents:** Have knowledge of intervention outputs for the last month and the previous fiscal year, and have access to all statistics collected by the facility.

**Time Required:** 2-3 hours.

**Records:** Very useful in assembling all outputs information, although some estimates are expected to be used when records are unavailable or nonexistent.

**Exit Interviews**

**Purpose:** To gain more information about the people who use intervention services.

**Respondents:** Are 10-20 people who have used intervention services.

**Time Required:** 10-15 minutes.

**Records:** Not applicable.
**PANCEA On-site Schedule (Tier I)**

**HIPPI - I**

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<th>Time(s)</th>
<th>Contact Info</th>
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**ARQni, facility characteristics**

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<th>Date(s)</th>
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<th>Contact Info</th>
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<td>Facility Characteristics</td>
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<td>Governance</td>
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<td>Financing</td>
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**ARQni, inputs**

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<td>Staffing</td>
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<td>Capital Goods</td>
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PANCEA Facility Data Collection Report

Please complete this summary report for each HIV prevention facility visited for data collection. The purpose is to document what worked well during data collection, and also important challenges that arose and how they were addressed. This will help us understand the data for that facility, and help the San Francisco PANCEA team suggest clarifications. It will also help us improve data collection instruments and instructions.

The report takes about 1 hour to complete. The first version should be completed by the data collection supervisor at the end of the visit, and emailed back to PANCEA promptly, along with the completed data instruments. The final version should reflect effort in the clarification phase (q10). See footnote regarding file naming. Email to byr@itsa.ucsf.edu, coline@itsa.ucsf.edu, and nellm@itsa.ucsf.edu

Thanks!

If more space needed than provided, please continue at the end.

1. Name of person completing this report:

2. Date(s) report completed / updated:

3. Country:

4. Prevention facility name and type of program:

5. Please check one: □ Full (accounting) data collection  □ Short (econometric) data collection

6. Dates of visit:

7. Data collection team (please list each person’s name):

8. Supervisor name (if different from #1)

9. Facility and program respondents (please list each person’s name and job title):

2 File naming: First version = Pan_facil_rep_IntID_d1. Later versions change d1 to d2, etc.
10. How long did it take for you to complete each of the following?

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<tr>
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<th>Total # Person Hours to Complete</th>
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<td>Initial data collection/entry</td>
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<td>Data Collection</td>
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<td>Data Entry/Clean-up</td>
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<td>Collection and entry</td>
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<td>HIPPI, part I</td>
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<td>ARQ ni</td>
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<td>ARQ intervention(s)</td>
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<td>Exit interviews</td>
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<td>ADC</td>
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<td>HIPPI, part II</td>
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<td>Travel to/from site</td>
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<td>Waiting time on site</td>
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<td>Other specify</td>
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Note: Instrument data collection includes interviews and written record review. Waiting time, if any, is time not used for data collection or entry/clean-up. Follow-up clarifications occur later, after initial full data set was sent to UCSF for review.

11. What data sources did you use to collect information for each questionnaire?

   *E.g.*, ARQ: Director recall mainly; personnel records for staff sheet.

   ARQ

   ADC (if done)

   HIPPI (whatever part done)

12. What worked well in the data collection, both overall and for each instrument used?

   *E.g.*, Overall: Staff available and attentive in general. ADC: had great financial records.

   Overall

   ARQ
13. What problems came up during data collection? For each problem mentioned, how were the problems dealt with? Was there an improved outcome?

*E.g., HIPPI: Former Director unavailable, so significant gaps. We talked with senior staff who filled in most gaps. ADC: Output records not found, so output estimated from annual reports which are too concise, and one was missing. Have requested the missing report from the funder.*

Overall:

ARQ

ADC (if done)

HIPPI (whatever part done)

Exit Interviews
14. What problem areas or issues still need to be resolved? How can the UCSF PANCEA team assist in the process? e.g., See comment on output records. Also, could not find prices for supplies donated from overseas – can UCSF team track this down?

15. Overall how would you rate the data collection experience at this site? Please circle one.

| not successful | 1 | moderately successful | 3 | very successful | 5 |

What are the main reasons for this rating?
E.g., 1 – Key data missing on costs in mid- and early periods of program history, and outputs based entirely on questionable recall (no records). Don’t trust efficiency measure.
E.g., 3 – Available staff helpful. Major cost and output data captured reliably. However, poor recall of supplies costs and of some types of outputs.
E.g., 5 – Director and staff very knowledgeable and helpful, written records for most data, data solid and essentially complete with < 5% missing or low quality for all periods.

16. Are there any other issues that you think are important for us to know? You may also use this section as a place to add additional comments and thoughts on the data collection process.
E.g., Pancea data collection forms are a pleasure to work with; Bravo! Or, the graphs didn’t print right, we had to do them manually.