PHME and HPM Training
Technical Guidance for National Level Program and Data Quality Assurance Activities
Technical Review of Budgets and Workplans

12 January 2017
Geneva
Two main components to HFA/DQR activities and budgets:

1. The implementation → the local implementer
2. The quality assurance → the QA Service provider (and often WHO)
Quality Control
Independent external quality control

Implementation of HFA/DQR
internal control of service provision
(including LoE, per diems, fuel, printing, etc.)
Two main components to HFA activities and budgets:

1. The implementation → the local implementer

2. The quality assurance → the QA Service provider (and often WHO)
Technical Review of the Implementation Budget

General tasks that the survey implementation joint work plan & budget should clearly explain the plans, timelines, line item budgets, & responsibilities for are:

- Survey planning and preparation
- Data collection in the field
- Data entry, analysis and interpretation
- Results dissemination

Only a few key technical items for the implementation budget and work plan are highlighted in this slide deck as:

- The WHO SARA Implementation Guide provides full technical guidance on implementing an HFA
- The SP should review and raise any technical concerns over the implementation budget to the CT during Phase One.
Data Collection Team Composition

The team composition will vary depending on the components of the survey (e.g. HFA, QoC, DQR). In general, the team should comprise of:

• One staff with medical training (usually nurse)
• One with pharmaceutical or supply chain management background
• Two more junior staff familiar with M&E and data

This proposed structure is a general guidance – not binding

Also require a supervision structure in place to ensure teams are collecting complete and accurate data
Fieldwork

Generally HFA/DQR should be completed within 6-8 months, including 4-8 weeks of fieldwork for data capture

• The data capture timeframe and budget will depend on the sample size

• General rule: 1 site per day by four data capturers. Some sites (large hospitals) may take 2 days

• Supervisors generally have their own transportation to move across teams
Tablets / Data Capture and other equipment

- Most health facility surveys now rely on direct data capture onto tablets rather than paper (more accurate & saves time)
- Tablets should be basic, but need to meet certain specifications (e.g. GPS, be able to work with the CSPro software); guidelines have been given to the QA Service Providers
- Ideally the country will use tablets either:
  - existing from previous surveys and/or
  - WHO will be able to share tablets for use in the country
- Teams expected to need at least one phone per team & some airtime – safety & coordination and supervision
- **OPEX budgets can not be used to purchase durable assets including tablets or phones**
Dissemination and Data Use

Most of the implementation effort and funding will be focused on data collection, analysis and reporting. However:

• GF wants to emphasize the importance of **disseminating & facilitating the data use** → Should be discussed & planned from the beginning.

• Dissemination should be owned by the local implementer/government.

• Dissemination of results should involve all relevant stakeholders: the different programs & the different levels – national, sub-regional and local.

• The CT & the QA service provider should discuss & clearly define the expectations/protocols for dissemination of results & feedback.
Additional considerations for Data Quality Review (DQR)\(^{(1)}\)

- DQR usually should be done as part of HFA, but if done independently, should be country-owned & involving all relevant stakeholders

- Led by Government (usually the Ministry of Health, but could also be the Bureau of Census/Statistics) and WHO, along with a multi-stakeholder working group that includes disease program representatives and all relevant donors

- Working group should determine the priority indicators & assist in making operational decisions around implementation

- SP will work closely with MOH (or other local implementer) & the working group to develop a comprehensive work plan, required as part of Phase 1
Additional considerations for Data Quality Review (DQR) 

• Standalone DQR should be completed within 3-5 months, including 3-6 weeks of field work for data capture.

• The DQR alone will generally not take a full day, so teams could potentially may cover more than one facility/day. Although logistics of moving from one facility to another will often dictate planning for only one facility per day.

• Team Structure: two data collectors that have good understanding of the indicators & the M&E system

• Supervision structure should be in place to ensure teams are collecting complete & accurate data
Two main components to HFA/DQR activities and budgets:

1. The implementation → the local implementer
2. The quality assurance → the QA Service provider (and often WHO)
Technical review of QA Service Provider Phase One budgets

• Phase One budgets generally include:
  • initial orientation/planning days,
  • 1 – 2 in country meetings (CTL and Statistician) to coordinate and work on budgets/workplans with local implementer
  • Some days to finalize outputs
  • Staff usually include: Project manager (limited), finance manager (limited), CTL, and Statistician.
Technical Review of QA Service Provider Phase Two budgets

1. Staff
   - Project Manager
   - Finance Officer
   - Country Team Lead
   - Statistician
   - Quality Improvement Advisor
   - Other Staff

2. Other direct costs
   - Travel
   - Tablets/Equipment (not allowed to purchase through OPEX)
   - Conference/Meeting space

3. Services
   - Communication and Coordination
   - Completion of the survey
   - Quality Assurance
Technical Review of QA Service Provider Phase Two budgets (2)

Staff

**Project Manager**
- Provides overall leadership for HFA/DQR surveys being implemented by the SP
- Focal Point for overall official communication to relevant parties in the GF (such as CT, MECA, Sourcing or LFA Coordination Team)
- Generally not involved in fieldwork; does not have large overall LOE for the survey, but
- Needs sufficient LOE for management of overall IQC, communications & coordination

**Finance Officer:**
- Overall responsibility for the monitoring & management of financial oversight of work orders
- Not large LOE for survey; however, when the funds for the implementation flow through the QA SP, sufficient financial oversight (and therefore LOE) to manage the disbursement and accounting of funds to the local government is important.
Technical Review of QA Service Provider Phase Two budgets (3)

Staff

Country Team Lead (CTL):
- Provides country level oversight for HFA/DQR survey
- Serves as main contact with in-country counterparts, as well as GF & other key stakeholders
- Regular communications with GF CT for HFA/DQR status update & discuss any issues
- LOE across all services - on the ground coordinating with stakeholders, as well as completing much of the QA services for the survey
- Some providers also include key experts (e.g. DQR expert) which also partly fill the same role as the CTL. Alternate structures are OK, but need to be sure the staff don’t unnecessarily duplicate each other
- CTL ideally should be based in or near the country of the survey to cut travel costs as the CTL will need to be in country frequently
Technical Review of QA Service Provider Phase Two budgets (4)

Staff

Statistician:
- Provides QA & TA for the sampling, data analysis, reporting, and other related items
- Often in the field with CTL, although some items can be done remotely
- Ideally should be based in or near the country to cut travel costs
- Expected to have potentially have LOE for the following services:
  - Phase One development of work plan and budget since determining the sampling framework is critical to budgeting;
  - Assessing the sampling methodology for accuracy & appropriateness;
  - Contributing to sampling and/or analysis to Re-assess ~5% of facilities
  - Review analysis of data for core indicators to ensure data quality;
  - Ensure core indicators are included in final report in a user-friendly format
Technical Review of QA Service Provider Phase Two budgets

Staff

Quality Improvement Advisor:

• Provides guidance on questionnaire finalization, reporting, & facilitating data use
• Not expected to have high overall LOE for survey, but expected to be involved in results dissemination & action planning for improvement
• Potentially may be involved in the following services:
  - Technical assistance to modify existing survey questionnaires/tools & associated data entry and analysis tools while ensuring that core standard indicators are included
  - Ensure core indicators are included in final report in a user-friendly format
  - Assist in dissemination & publication of results to ensure key messages reach relevant stakeholders at national, district and local levels
  - Assist to coordinate a national stakeholder meeting to discuss results & develop action plan for quality improvement
Technical Review of QA Service Provider Phase Two budgets (6)

Other Direct Costs

Travel:
- CTL & Statistician are expected to be in country for key aspects of the survey, including planning (Phase One), survey adaptation session, %5 Reassessment, & dissemination
- To minimize travel costs, ideal for the CTL at least, if not the Statistician as well, to be based near or in the country of the survey
- Travel for other staff should be scrutinized to determine if necessary
Technical Review of QA Service Provider Phase Two budgets (7)

Other Direct Costs

Conference/meeting spaces:
• It is common for several workshops to be held as part of an HFA/DQR survey: e.g. workshop for training data collectors & supervisors; workshop to coordinate the data analysis; results dissemination workshop
• Usually these workshop costs will be covered on the implementation budget, but some costs may be part of the QA SP budget
• For smaller meetings, local implementer should arrange for the necessary meeting spaces. May be some need for the QA SP to provisionally budget for meeting space in Phase One, when the QA SP has not yet established full relationships with the local implementer & stakeholders on the ground.
Technical Review of QA Service Provider Phase Two budgets

Other Direct Costs

Tablets/Electronic equipment:
- Several tablets needed per team
- Tablets should be basic but meet requirements needed to run the survey
- Mobile phones & airtime for each team for safety & supervision coordination
- The tools & software used for the HFA/DQR survey are generally freeware or common (CSPro, Excel) & do not require special computing requirements.
- Therefore, new computers are not required for the service provider from a technical standpoint.

- OPEX budget may not be used to fund durable assets including tablets, computers, or phones
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<thead>
<tr>
<th>Services</th>
<th>example LoE (days)</th>
<th>Main QA/TA SP Staff</th>
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<tbody>
<tr>
<td><strong>Timely completion of the survey</strong></td>
<td></td>
<td>PM &amp; CTL</td>
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<tr>
<td>Communications &amp; coordination</td>
<td>8 - 12</td>
<td>PM &amp; CTL</td>
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<td>Finance management</td>
<td>2 - 15</td>
<td>Finance Officer</td>
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<td>Quality assurance minimum package</td>
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<tr>
<td>• Assess sampling methodology for accuracy &amp; appropriateness</td>
<td>2 - 6</td>
<td>CTL &amp; statistician</td>
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<tr>
<td>• Assess questionnaire to ensure core standard indicators/questions are included</td>
<td>5 - 15</td>
<td>CTL, Statistician &amp; QIA</td>
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<td>• Re-assess ~5% of facilities to verify quality of results</td>
<td>30 - 40</td>
<td>CTL, Statistician &amp; QIA</td>
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<tr>
<td>• Review analysis of data for core indicators to ensure data quality</td>
<td>5 - 15</td>
<td>CTL, Statistician &amp; QIA</td>
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<td>• Ensure core standard indicators are included in the final report in user-friendly format</td>
<td>2 - 6</td>
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<td>• Assist in dissemination &amp; publication of results</td>
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