

**Study of the Organization and Management
of Communicable Disease Prevention**

**Phase I
KARNATAKA, INDIA**

2001-2002

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Introduction and Instructions

This “District Civil Service Assessment” questionnaire is designed to elicit information from selected key informants about the administration and organization of public health services in their district. Several key informants should be chosen for each district, and should preferably be **individuals from the District Medical and Health Office** who have **substantial experience and knowledge** about:

- (i) The health department
- (ii) Other organizations and agencies with which the health department frequently interacts.

The key informant should also have a **good knowledge of autonomous agencies in the district** (such as the District Rural Development Agency (the DRDA), District TB or AIDS societies, user-fees committees, *etc.*).

The questionnaire is divided into seven modules, each of which examines a particular area of administrative or organizational functioning. These include:

- (A) Structure of agencies associated with preventive health service delivery;
- (B) Credibility of policy making and planning;
- (C) Funding;
- (D) Organizational flexibility and responsiveness in service delivery;
- (E) Regulatory enforcement and accountability;
- (F) Personnel rules; and
- (G) Autonomous agencies in the district.

All the questions are quantitative in nature – either yes/no responses to a specific question, or responses on a scale—except for the first question, **A1**. (“Please draw an organizational chart of each agency associated with preventive health service delivery”). The response to this question may be included as Appendix 1. Occasionally, explanations to the questions are included in the footnote of the same page for your help and understanding.

Information about the respondent

Staff Title:

First Name:																				
Last Name:																				

District Name:																				
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<i>Date of survey:</i>			/			/				
	D	D		M	M		Y	Y	Y	Y

Notes:

Comments/ feedback about the survey:

A. Structure of agencies associated with preventive health service delivery

A.1. Please draw an organizational chart of each agency associated with preventive health service delivery (submit it as *Appendix 1* to the completed instrument)

- ⊕ Health departments and their staff
- ⊕ Reproductive and child health (including ICDS)
- ⊕ Indian system of medicine (Ayurvedha, Unani, Homeopathy)
- ⊕ Water treatment and distribution
- ⊕ Sanitation
- ⊕ Solid waste removal and disposal
- ⊕ Drainage
- ⊕ Vector control
- ⊕ Inspection and regulation of food processing and retail

A.2. For each unit on the chart above, please indicate the number of permanent and temporary staff and the unit's operating budget in following format.

Organization Name	Number of permanent staff	Number of temporary staff	Unit's operating budget

A.3. For each category of staff, please indicate the % contribution of various funding agencies to their salary.

Staff category	Central government budget		State government budget		Local government budgets		User fees or local taxes over which local bodies have control		Autonomous agencies' budget/ foreign funding/ Others	
<i>Example</i>	0	%	40	%	60	%	0	%	0	%
		%		%		%		%		%
		%		%		%		%		%
		%		%		%		%		%
		%		%		%		%		%
		%		%		%		%		%
		%		%		%		%		%

A.4. Please indicate all significant modes of coordination between these agencies. Tick all that apply:

<ul style="list-style-type: none"> ➤ <input type="checkbox"/> Coordinating committees ➤ <input type="checkbox"/> Coordinating official (e.g. District Collector, CEO of Zilla Parishad, etc.) ➤ <input type="checkbox"/> Coordinating public representative (e.g. Mayor, Zilla Pramukh, In-charge District Minister, etc.) ➤ <input type="checkbox"/> Others (please specify) _____ 	<ul style="list-style-type: none"> ➤ <input type="checkbox"/> Regular meetings ➤ <input type="checkbox"/> Autonomous bodies/agencies—DRDAs, District TB Societies, etc. ➤ <input type="checkbox"/> The health department has statutory authority to coordinate the health-related functions of other agencies and departments and uses this to coordinate.
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DISTRICT-LEVEL GOVERNANCE INSTRUMENT

A.5. Please indicate the extent to which the health department is authorized to monitor the work of other, non-health agencies that are involved in health issues:

➤ <input type="checkbox"/> The health department has substantial authority over other departments dealing with public health issues	➤ <input type="checkbox"/> The health department has moderate authority over other departments dealing with public health issues
➤ <input type="checkbox"/> The health department has an advisory role, which the other departments normally follow	➤ <input type="checkbox"/> The health department has an advisory role, but other departments seldom follow it
➤ <input type="checkbox"/> The health department coordinates other departments through other institutions like the District Collector or the CEO of the Zilla Parishad	➤ <input type="checkbox"/> There is absolutely no coordination, and departments work independently

Please indicate your **agreement/disagreement with the following statements:**

A.6. The coordination between various departments—such as the health department, the public health engineering department, ICDS, local bodies (both Zilla Parishad and Municipalities) etc.—is effective in addressing the challenges of public health in my area.

Strongly Disagree <input type="checkbox"/>	Disagree <input type="checkbox"/>	Neutral <input type="checkbox"/>	Agree <input type="checkbox"/>	Strongly Agree <input type="checkbox"/>
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A.7. Departments involved in health-related activities seek technical guidance from the health department, and generally adhere to the guidance and advice it provides

Strongly Disagree <input type="checkbox"/>	Disagree <input type="checkbox"/>	Neutral <input type="checkbox"/>	Agree <input type="checkbox"/>	Strongly Agree <input type="checkbox"/>
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A.8. Departments involved in health-related activities respect and follow the suggestions or directions given by the health department. (For example, if the health department asks a Municipality to clean a stagnant pool of water that has become a breeding ground for mosquitoes, the Municipality promptly agrees and drains the stagnant water.)

Strongly Disagree <input type="checkbox"/>	Disagree <input type="checkbox"/>	Neutral <input type="checkbox"/>	Agree <input type="checkbox"/>	Strongly Agree <input type="checkbox"/>
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A.9. The health department has no statutory authority or advisory role toward other departments that are involved in health-related activities.

Strongly Disagree <input type="checkbox"/>	Disagree <input type="checkbox"/>	Neutral <input type="checkbox"/>	Agree <input type="checkbox"/>	Strongly Agree <input type="checkbox"/>
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A.10. Although the health department does have a statutory role, and other departments with health-related responsibilities are supposed to follow its directions and advice, this seldom happens in practice.

Strongly Disagree <input type="checkbox"/>	Disagree <input type="checkbox"/>	Neutral <input type="checkbox"/>	Agree <input type="checkbox"/>	Strongly Agree <input type="checkbox"/>
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A.11. The health department is not able to exercise influence on other departments because it lacks sufficient “power” or influence vis-à-vis these other departments.

Strongly Disagree <input type="checkbox"/>	Disagree <input type="checkbox"/>	Neutral <input type="checkbox"/>	Agree <input type="checkbox"/>	Strongly Agree <input type="checkbox"/>
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A.12. Other departments only try to coordinate with the health department in times of crisis—and then only due to public pressure.

DISTRICT-LEVEL GOVERNANCE INSTRUMENT

Strongly Disagree <input type="checkbox"/>	Disagree <input type="checkbox"/>	Neutral <input type="checkbox"/>	Agree <input type="checkbox"/>	Strongly Agree <input type="checkbox"/>
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A.13. Under usual circumstances, institutions like the District Collector or the CEO of the Zilla Parishad provide the usual forum for inter-departmental coordination on public health issues:

Strongly Disagree <input type="checkbox"/>	Disagree <input type="checkbox"/>	Neutral <input type="checkbox"/>	Agree <input type="checkbox"/>	Strongly Agree <input type="checkbox"/>
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A.14. In times of public health crisis, institutions like the District Collector or the CEO of the Zilla Parishad provide the forum for inter-departmental coordination on public health issues:

Strongly Disagree <input type="checkbox"/>	Disagree <input type="checkbox"/>	Neutral <input type="checkbox"/>	Agree <input type="checkbox"/>	Strongly Agree <input type="checkbox"/>
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A.15. Departments that deal with public health issues—the health department, Municipalities, Zilla Parishad etc.—come together on a periodic basis to discuss their plans and budgets and make sure that their health-related efforts are complementary and do not duplicate each other.

Strongly Disagree <input type="checkbox"/>	Disagree <input type="checkbox"/>	Neutral <input type="checkbox"/>	Agree <input type="checkbox"/>	Strongly Agree <input type="checkbox"/>
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A.16. Autonomous bodies and societies—such as District Rural Development Agencies, District TB Societies etc.—include members who represent the various government departments involved in public health: and in so doing, they provide a helpful forum for inter-departmental coordination on public health issues.

Strongly Disagree <input type="checkbox"/>	Disagree <input type="checkbox"/>	Neutral <input type="checkbox"/>	Agree <input type="checkbox"/>	Strongly Agree <input type="checkbox"/>
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A.17. Local bodies—Municipalities and Zilla Parishads—provide helpful forums for achieving inter-departmental coordination on public health issues.

Strongly Disagree <input type="checkbox"/>	Disagree <input type="checkbox"/>	Neutral <input type="checkbox"/>	Agree <input type="checkbox"/>	Strongly Agree <input type="checkbox"/>
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A.18. Autonomous bodies and societies—such as District Rural Development Agencies, District TB Societies etc.—include members who represent non-governmental organizations and private providers involved in public health: and in so doing, they provide a helpful forum for coordination with these groups on public health issues.

Strongly Disagree <input type="checkbox"/>	Disagree <input type="checkbox"/>	Neutral <input type="checkbox"/>	Agree <input type="checkbox"/>	Strongly Agree <input type="checkbox"/>
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A.19. There are so many autonomous societies (e.g. DRDA, TB Society etc.) that coordination between agencies and programmes becomes more difficult as a result.

Strongly Disagree <input type="checkbox"/>	Disagree <input type="checkbox"/>	Neutral <input type="checkbox"/>	Agree <input type="checkbox"/>	Strongly Agree <input type="checkbox"/>
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B. Credibility of policymaking and planning

B.1. Policy directives from above

B.1.1 What aspects of health-related policy are formulated by levels of government above the district? At which level are they formulated? Please tick all that apply:

➤ System-wide goals:

Central Govt.	State Govt.	District
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

➤ Content standards:

Central Govt.	State Govt.	District
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

➤ Performance standards and targets:

Central Govt.	State Govt.	District
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

➤ Types of goods and services to be provided:

Central Govt.	State Govt.	District
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

➤ Role of the private sector:

Central Govt.	State Govt.	District
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

B.1.2. To what extent are various policy directives from higher levels of government inconsistent with each other (e.g. do directives contradict each other to a significant or practically-relevant extent)? Would you say that they are:

Completely inconsistent	Inconsistent	Half-half	Mostly consistent	Highly consistent
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

B.1.3. To what extent are policy directives from higher levels of government inconsistent over time (e.g. policy directives at one time are contradicted by other directives that come later, etc.)? Would you say they are:

Highly fragmented	Fragmented	Half-half	Mostly complementary	Highly complementary
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

B.1.4. What types of inconsistencies are there in policy directives? Please specify:

➤ <input type="checkbox"/> Not consistent over period of time (keep changing frequently)	➤ <input type="checkbox"/> Policy directives are not supported with adequate financial allocation
➤ <input type="checkbox"/> Policy directives of different departments are not consistent – and sometimes contradictory	➤ <input type="checkbox"/> Policy directives are not supported by adequate legal and administrative authority
➤ <input type="checkbox"/> Policy directives are inconsistent with existing	➤ <input type="checkbox"/> Policy directives are not consistent with

DISTRICT-LEVEL GOVERNANCE INSTRUMENT

institutional arrangements	cultural, social, and religious acceptability of the community
<input type="checkbox"/> Others (specify): _____	

B.1.5. In general, what is the magnitude of the change in policy directives over the past 3 to 5 years?

Extensive	Significant	Marginal	Negligible
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

B.1.6. How are changes in policy usually communicated to you? (Please specify)

<input type="checkbox"/> Changes are expected and already known as we participate in the deliberations that lead to change in policy changes	<input type="checkbox"/> Policy changes and other guidance are communicated through special meetings at the state level or during routine meetings
<input type="checkbox"/> Special workshops are held, where the policy changes are communicated and written documents that outline these changes are provided	<input type="checkbox"/> Changes are communicated through routine written orders
<input type="checkbox"/> Changes are communicated through personal contact (in person or via telephone)	<input type="checkbox"/> Changes are <i>not</i> communicated: we come to know through media or other interested parties
<input type="checkbox"/> Changes are communicated through newsletters	<input type="checkbox"/> Other (Please specify) _____

B.1.7. How often do you disagree with the policies that your district is asked to implement?

Always disagree	Frequently disagree	Sometimes disagree	Rarely disagree	Never disagree
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

B.1.8. What do you do when you disagree with a policy? (Specify)

<input type="checkbox"/> Communicate to seniors/supervisors about the specific problems with the policy	<input type="checkbox"/> Inform local politicians who lobby for change in policy
<input type="checkbox"/> Reluctantly accept the new policy	<input type="checkbox"/> Discuss with stakeholders and inform the public about the policy so that pressure is built to change it
<input type="checkbox"/> Discuss within your association/union and try to communicate your disagreement through unions	<input type="checkbox"/> Complain to the District Collector
<input type="checkbox"/> Inform the media and build opinion against the policy	<input type="checkbox"/> Reject the policy, and try not to follow the policy if possible
<input type="checkbox"/> Others (Please specify) _____	

B.1.9. How typical is it for external political pressure to change district-level priorities?

Very typical	Typical	Half-half	A little typical	Atypical
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

B.1.10. Are policies from “autonomous societies” (such as DRDAs or District TB Societies) more or less consistent than those from programmes managed directly by the health department?

Much more consistent	More consistent	About the same	Less consistent	Much less consistent
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

B.1.11. Are there any other organizations that could provide public health services? Tick all that apply:

<input type="checkbox"/> Higher levels of government	<input type="checkbox"/> Donors/NGOs	<input type="checkbox"/> Private sector
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DISTRICT-LEVEL GOVERNANCE INSTRUMENT

B.2. Policy and planning within the district

B.2.1. Which policy and planning activities do you have the legal authority to undertake in your district? Tick all that apply:

➤ <input type="checkbox"/> Deciding what services to provide	➤ <input type="checkbox"/> Deciding HOW to provide these services
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B.2.2. Which policy and planning activities do you currently undertake in your district? Tick all that apply:

➤ <input type="checkbox"/> Deciding what services to provide	➤ <input type="checkbox"/> Deciding HOW to provide these services
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B.2.3. Is your district invited by higher levels of government to participate in defining any of the following aspects of provincial or national policy? Tick all that apply:

➤ <input type="checkbox"/> System-wide goals	➤ <input type="checkbox"/> Performance standards including targets
➤ <input type="checkbox"/> Types of goods and services to be provided	➤ <input type="checkbox"/> Role of private and civic actors
➤ <input type="checkbox"/> Other (specify) _____	

B.2.4. Which institutional arrangements are used for policy and planning purposes at the district level?

➤ <input type="checkbox"/> District-level elected bodies	➤ <input type="checkbox"/> District-level committees
➤ <input type="checkbox"/> Intermediate-level bodies, e.g. tehsil panchayats	➤ <input type="checkbox"/> Neighborhood-level bodies, e.g. gram panchayats
➤ <input type="checkbox"/> Other civic form _____	

B.2.5. How representative are these policy and planning bodies of the demographics of the district?

Not at all representative	Marginally representative	Moderately representative	Mostly Representative	Highly representative
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

B.2.6. Along which lines are planning bodies exclusionary—and how exclusionary are they? Please use the following scale: 0=not exclusionary to 5=highly exclusionary.

Basis for and degree of exclusion

Type of body (specify)	Gender	Caste	Income-level	Other (e.g. religion, race/ ethnicity)

B.2.7. If at least some members of these bodies are representatives of excluded groups (SC/ST, OBC etc.), how often do these members articulate their views?

Never	Rarely	Sometimes	Frequently	Always
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

B.2.8. How typical is it for District-level ELECTED bodies to be dominated by narrow, special interests?

Very typical	Typical	Half-half	A little typical	Atypical
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

B.2.9. How typical is it for District-level ELECTED bodies to be dominated by narrow, special interests?

Very typical	Typical	Half-half	A little typical	Atypical
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DISTRICT-LEVEL GOVERNANCE INSTRUMENT

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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B.2.10. Which groups within the district typically apply pressure to these bodies? Tick all that apply:

➤ <input type="checkbox"/> NGOs	➤ <input type="checkbox"/> Private sector
➤ <input type="checkbox"/> Users associations	➤ <input type="checkbox"/> Indigenous authorities

B.3. Overall judgment

B.3.1. Make an overall judgment about the credibility of policy directives from higher levels of government:

Not credible at all	A little credible	Halfway credible	Mostly credible	Highly credible
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

B.3.2. Make an overall judgment about the credibility of planning activities within the district-level:

Not credible at all	A little credible	Halfway credible	Mostly credible	Highly credible
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

C. Funding

C.1. Adequacy and predictability of funding

C.1.1. How adequate is the district’s budget for providing an appropriate level of service?

Less than 25%	Less than 50%	More than 50%	More than 75%	100% adequate
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

C.1.2. How typical is it for higher levels of government to announce new schemes or programmes without providing adequate funding for them?

Very typical	Typical	Half-half	A little typical	Atypical
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

C.1.3. Which level of government typically does this (viz. C.1.2.)? If both, tick both.

▶ <input type="checkbox"/> Center	▶ <input type="checkbox"/> State
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C.1.4. How typical is it for actual funds flowing into the district to differ from budgeted funds?

Very typical	Typical	Half-half	A little typical	Atypical
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

C.1.5. Is the flow of funds into the district typically predicable—i.e. do the disbursed amounts vary substantially from disbursement to disbursement, or are they generally predictable?

Very typical	Typical	Half-half	A little typical	Atypical
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

C.1.6. How typical is it for funds to be disbursed late—i.e. delays in the disbursement or receipt of funds relative to the projected schedule?

Very typical	Typical	Half-half	A little typical	Atypical
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

C.1.7. On what percent of occasions have your staff received their salaries late, in the past 12 months?

100%	75%	50%	25%	0%
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

C.1.8. Have uncertainties about the budget caused problems in any of the following service delivery areas? Tick all that apply:

<ul style="list-style-type: none"> ▶ <input type="checkbox"/> Problems hiring and keeping qualified personnel ▶ <input type="checkbox"/> Problems meeting demand for services ▶ <input type="checkbox"/> Wage arrears ▶ <input type="checkbox"/> Cancellation of procurement contract ▶ <input type="checkbox"/> Shortage of needed supplies (paper, drugs, etc.) 	<ul style="list-style-type: none"> ▶ <input type="checkbox"/> Arrears to procurement suppliers ▶ <input type="checkbox"/> Problems securing contracts with suppliers ▶ <input type="checkbox"/> Other problems (Please specify): _____
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C.1.9. If you were more certain about the levels of funding in your budget, would your district have allocated expenditures differently?

▶ <input type="checkbox"/> Yes	▶ <input type="checkbox"/> No	▶ <input type="checkbox"/> Don't Know
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DISTRICT-LEVEL GOVERNANCE INSTRUMENT

C.1.10. If yes, would the allocations to any of the following have been increased? Tick all that apply:

➤ <input type="checkbox"/> Non-wage recurrent	➤ <input type="checkbox"/> Wages	➤ <input type="checkbox"/> Capital	➤ <input type="checkbox"/> New services
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C.2. Reliability of alternative resource flows within the district

C.2.1. Within the last three years, has your district solicited counterpart or matching funds from the following sources in order to supplement budgeted resources? Tick all that apply:

➤ <input type="checkbox"/> NGOs	➤ <input type="checkbox"/> Users' associations
➤ <input type="checkbox"/> Private sector	➤ <input type="checkbox"/> Other

C.2.2. Approximately what percentage of capital and recurrent expenditures is based on funding from the above sources?

Less than 5%	10%	20%	40%	50% or more
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

C.2.3. In general, do you feel that funds from autonomous bodies (such as DRDAs, District TB Societies etc.) are more or less adequate—in other words, of sufficient amount to meet the tasks at hand—than those coming directly from the health department?

Much more adequate	More adequate	About the same	Less adequate	Much less adequate
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

C.2.4. In general, do you feel that funds from autonomous bodies (such as DRDAs, District TB Societies etc.) are more or less predictable or reliable—in other words, less likely to differ from budgeted amounts—than those coming directly from the health department?

Much more predictable	More predictable	About the same	Less predictable	Much less predictable
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

C.3. Overall judgment

C.3.1. Make an overall judgment about the predictability of resource flows into the district:

Not at all predictable	A little predictable	Halfway predictable	Mostly predictable	Highly predictable
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

D. Organizational flexibility and responsiveness in service delivery

D.1. *Autonomy over the use of inputs*

D.1.1. How much discretion does your district have in deciding where its budget is cut?

No discretion	A little discretion	Some discretion	Significant discretion	A great deal of discretion
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

D.1.2. Which of the following best describes the degree of autonomy your district enjoys in allocating financial resources? Tick all that apply:

<ul style="list-style-type: none"> ➤ <input type="checkbox"/> Loose input controls or autonomy ➤ <input type="checkbox"/> Districts have significant flexibility to move money between line expenditure items—but within a hard budget constraint overall ➤ <input type="checkbox"/> Districts can raise their own revenue ➤ <input type="checkbox"/> Districts can create positions 	<ul style="list-style-type: none"> ➤ <input type="checkbox"/> Tight input controls or little autonomy ➤ <input type="checkbox"/> Districts are constrained by narrowly-defined line-item budgets ➤ <input type="checkbox"/> Transfers from the State are the sole funding source ➤ <input type="checkbox"/> Positions are created at higher levels of government
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D.1.3. Does your district have the authority to set its own policy on pay and personnel?

➤ <input type="checkbox"/> Yes	➤ <input type="checkbox"/> No	➤ <input type="checkbox"/> Don't Know
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D.1.4. In practice, which of the following describes the degree of autonomy your district exercises in pay and personnel management?

<ul style="list-style-type: none"> ➤ <input type="checkbox"/> Loose input controls or autonomy ➤ <input type="checkbox"/> The district permits and facilitates mobility of public servants ➤ <input type="checkbox"/> Internal competition is encouraged for all vacant positions ➤ <input type="checkbox"/> Public servants are placed on individually-determined contracts with relevant local bodies 	<ul style="list-style-type: none"> ➤ <input type="checkbox"/> Tight input controls or little autonomy ➤ <input type="checkbox"/> Careers have predetermined vertical progression ➤ <input type="checkbox"/> Candidates are chosen based upon seniority ➤ <input type="checkbox"/> Service terms and conditions are set by higher levels of government ➤ <input type="checkbox"/> There is little room for promoting staff based on merit or performance
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D.1.5. What role does your district have in the following decisions on human resources?

	No role	Some role	Full role
Staff recruitment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Staff retention	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Staff evaluation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Rewarding staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Disciplining staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

D.1.6. What are the likely consequences of experimenting with new approaches to budget preparation, financial management, and personnel management in order to improve performance?

D.1.6.a. Peers and colleagues would disapprove:

Very Little	Little	Moderate	Considerable	Extreme
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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D.1.6.b. Neighbors/local community would disapprove:

Very Little	Little	Moderate	Considerable	Extreme
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

D.1.6.c. Risk of poor evaluation or formal disciplinary action:

Very Little	Little	Moderate	Considerable	Extreme
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

D.1.7. In general, do programmes administered by “autonomous agencies” (DRDAs, District TB Societies etc.) have more or less flexibility over inputs than those administered directly by the health department?

Much more flexibility	More flexibility	About the same	Less flexibility	Much less flexibility
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

D.2. Organizational responsiveness

The following questions ask about the district’s responsiveness to factors such as innovation, new information, community preferences and the like. This is assessed by looking at organizational practices that are conducive to better responsiveness—such as program monitoring and evaluation, decentralized decision-making, flexibility in managing resources, and investments in staff training and development, among others.

D.2.1. Is there a coherent program in place for reviewing service delivery mechanisms?

D.2.1.a. Do district health authorities regularly rethink their “line of business” and make program changes to better achieve their department’s goals—e.g. by reducing expenditures on services that are of low priority or unaffordable, and identifying opportunities to reallocate resources to higher priority programmes?

<input type="checkbox"/> Not at all	<input type="checkbox"/> A little	<input type="checkbox"/> Somewhat	<input type="checkbox"/> Considerably	<input type="checkbox"/> Extensively
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D.2.1.b. Are programmes evaluated and redesigned for improving their efficiency—for example, by comparing the cost of in-house delivery with the cost of contracting out to a special operating agency within a departmental framework or to the private sector?

<input type="checkbox"/> Not at all	<input type="checkbox"/> A little	<input type="checkbox"/> Somewhat	<input type="checkbox"/> Considerably	<input type="checkbox"/> Extensively
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D.2.1.c. Are programmes and activities devolved to ensure that decision-making is placed at the lowest possible level to ensure effective management and service delivery?

<input type="checkbox"/> Not at all	<input type="checkbox"/> A little	<input type="checkbox"/> Somewhat	<input type="checkbox"/> Considerably	<input type="checkbox"/> Extensively
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D.2.1.d. Is the budgeting process devolved to decision-makers or “handed down from above”?

<input type="checkbox"/> Not at all	<input type="checkbox"/> A little	<input type="checkbox"/> Somewhat	<input type="checkbox"/> Considerably	<input type="checkbox"/> Extensively
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D.2.2. Do district health authorities have adequate flexibility to deliver programmes and manage human resources?

D.2.2.a. Is there a strong sense of continuous learning and innovation?

<input type="checkbox"/> Not at all	<input type="checkbox"/> A little	<input type="checkbox"/> Somewhat	<input type="checkbox"/> Considerably	<input type="checkbox"/> Extensively
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D.2.2.b. Is there significant investment in staff training and development?

<input type="checkbox"/> Not at all	<input type="checkbox"/> A little	<input type="checkbox"/> Somewhat	<input type="checkbox"/> Considerably	<input type="checkbox"/> Extensively
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D.2.2.c. Does the organization encourage innovation, commitment and productivity on the part of its employees?

<input type="checkbox"/> Not at all	<input type="checkbox"/> A little	<input type="checkbox"/> Somewhat	<input type="checkbox"/> Considerably	<input type="checkbox"/> Extensively
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D.2.2.d. Does the overall governance framework balance the department’s core priorities and fiscal requirements with the flexibility that it’s managers and staff need to manage their work efficiently?

<input type="checkbox"/> Not at all	<input type="checkbox"/> A little	<input type="checkbox"/> Somewhat	<input type="checkbox"/> Considerably	<input type="checkbox"/> Extensively
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D.2.2.e. Is there flexibility and innovation in *delivering programmes*, including organizational structures—either within the government (such as special operating agencies, inter-departmental alliances, “single window” service delivery structures) or through collaboration with agencies *outside* the government (such as community groups and the private sector)—that can respond quickly and effectively to changes in client needs or the broader environment?

<input type="checkbox"/> Not at all	<input type="checkbox"/> A little	<input type="checkbox"/> Somewhat	<input type="checkbox"/> Considerably	<input type="checkbox"/> Extensively
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D.2.2.f. Is there responsive regulation, including the promotion of alternative means of regulation where this will help ensure that goals are met at manageable costs?

<input type="checkbox"/> Not at all	<input type="checkbox"/> A little	<input type="checkbox"/> Somewhat	<input type="checkbox"/> Considerably	<input type="checkbox"/> Extensively
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D.2.3. Are autonomous agencies more or less responsive than the health department?

D.2.3.a In general, do programmes administered by autonomous agencies (such as DRDAs or District TB Societies) have more or less *flexibility in methods of service delivery* than those administered directly by the health department?

Much more flexible	More flexible	About the same	Less flexible	Much less flexible
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

D.2.3.b In general, are programmes administered by autonomous agencies (such as DRDAs or District TB Societies) more or less *innovative* than those administered directly by the health department?

Much more flexible	More flexible	About the same	Less flexible	Much less flexible
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

D.3. Improving performance

D.3.1. What would be the three most effective measures for improving your organization’s performance?

	Most effective	Second most effective	Third most effective
a. More budgetary resources	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. More staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. Better trained or more competent staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d. Higher salaries	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e. Greater managerial autonomy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
f. Immunity from political influence	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
g. Tighter connection between performance and reward/discipline	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
h. More and better equipment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
i. Better communication between departments	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
j. Better legal framework	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
k. Smaller operational mandate	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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l. Better capacity to detect and punish corruption	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
m. Other: please specify _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

D.3.2. Please evaluate the process of taking action on corruption cases—tick all that apply:

➤ <input type="checkbox"/> The process is effective at preventing corruption	➤ <input type="checkbox"/> The process is very quick
➤ <input type="checkbox"/> The process is very simple	➤ <input type="checkbox"/> The reporter is protected from reprisals
➤ <input type="checkbox"/> The process is ineffective because: _____	

D.3.3. To what extent does corruption—whether in the form of financial misappropriation (taking public money), patronage (offering jobs on the basis of personal connection) or any other form—have an impact on the effective functioning of your department?

No impact at all	Some impact, but relatively minor or infrequent	Moderate impact, occurs from time to time	Moderate impact, but occurs on a fairly regular basis	High impact
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

D.4. Overall judgment

D.4.1. Make an overall judgment about the degree of flexibility allowed in choosing the means of delivering public health services in your district:

Not flexible at all	A little flexible	Halfway flexible	Mostly flexible	Highly flexible
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

D.4.2. Make an overall judgment about the degree of organizational responsiveness in your district/department:

Not flexible at all	A little flexible	Halfway flexible	Mostly flexible	Highly flexible
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

E. Regulatory enforcement and accountability

E.1. Budget preparation

E.1.1. Participation in budget formulation encourages District officials to keep to the rules?

<input type="checkbox"/> Strongly Agree	<input type="checkbox"/> Agree	<input type="checkbox"/> Neutral	<input type="checkbox"/> Disagree	<input type="checkbox"/> Strongly Disagree	<input type="checkbox"/> Don't Know
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E.1.2. To what extent does the process of formulating the State budget involve consultation between State authorities and the districts?

No consultation	Limited consultation	Some consultation	Close consultation	Very close consultation
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

E.1.3. How typical is it for this process to be prefaced by consultation with the heads of subcommittees, providers and users?

Very typical	Typical	Half-half	A little typical	Atypical
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

E.1.4. How are districts consulted in the budget preparation process? Please specify:

<ul style="list-style-type: none"> ➤ <input type="checkbox"/> Budget proposals are routinely sought from the district—but these proposals are rarely reflected in the final approved budget. ➤ <input type="checkbox"/> Before final budgets are approved, our district-level comments are sought and incorporated.. ➤ <input type="checkbox"/> Budgets are prepared and approved in close coordination with us (district-level authorities). 	<ul style="list-style-type: none"> ➤ <input type="checkbox"/> Non-plan budgets are approved as proposed by us (i.e. district-level authorities), but we have no say in the plan budgets. ➤ <input type="checkbox"/> Budgets are routinely approved after accounting for inflationary adjustments—we have no role at all. ➤ <input type="checkbox"/> Other: (specify) _____
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E.2. Budget execution

E.2.1. Has there been an audit report on the district's budget execution?

➤ <input type="checkbox"/> Yes	➤ <input type="checkbox"/> No	➤ <input type="checkbox"/> Don't Know
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E.2.2. How long ago was the last audit report on the district's budget execution?

➤ <input type="checkbox"/> Within the last one year	➤ <input type="checkbox"/> Between one and two years ago
➤ <input type="checkbox"/> More than two years	➤ <input type="checkbox"/> Never
➤ <input type="checkbox"/> Don't Know	

E.2.3. Who conducted the audit?

➤ <input type="checkbox"/> Central Government	➤ <input type="checkbox"/> State Government
➤ <input type="checkbox"/> Other (specify): _____	

E.2.4. Was the most recent report:

➤ <input type="checkbox"/> Discussed in the state legislature	➤ <input type="checkbox"/> Made available to gram panchayats
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> <input type="checkbox"/> Made available to the central government > <input type="checkbox"/> Made available to other districts / departments	> <input type="checkbox"/> Made available to the public
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E.2.5. Was the district required to provide written answers to questions on budget execution arising from the report?

> <input type="checkbox"/> Yes	> <input type="checkbox"/> No	> <input type="checkbox"/> Don't Know
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E.3. Accountability for service delivery

E.3.1. Do you have clear performance standards for your organization (e.g. objective, measurable criteria of success, such as “all reported disease outbreaks are investigated within three days of first notice”)?

> <input type="checkbox"/> Yes	> <input type="checkbox"/> No	> <input type="checkbox"/> Don't Know
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E.3.2. If yes, roughly to what degree are these performance standards met?

Never met	Almost never met	Occasionally met	Frequently met	Always met
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

E.3.3. Is there “freedom of information” legislation?

> <input type="checkbox"/> Yes	> <input type="checkbox"/> No	> <input type="checkbox"/> Don't Know
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E.3.4. Are service standards for public agencies: (tick all that apply)

> <input type="checkbox"/> Specified and published (for example, in a “Citizens’ Charter”)?	> <input type="checkbox"/> Based on prior public consultation?	> <input type="checkbox"/> Periodically reviewed to ensure continued responsiveness to public needs?
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E.3.5. Are records of service delivery performance relative to targets kept and published?

> <input type="checkbox"/> Yes	> <input type="checkbox"/> No	> <input type="checkbox"/> Don't Know
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E.3.6. Are departments annually audited for compliance and performance?

> <input type="checkbox"/> Yes	> <input type="checkbox"/> No	> <input type="checkbox"/> Don't Know
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If YES:

E.3.6.1. Are these findings linked to identifiable prizes or sanctions for the head of the audited department?

<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Don't Know
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E.3.6.2. Are audit reports and other “control” findings available to the legislature and the public?

<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Don't Know
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E.3.7. In practice, are there reasonable provisions for public grievances concerning mal-administration?

> <input type="checkbox"/> Yes	> <input type="checkbox"/> No	> <input type="checkbox"/> Don't Know
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E.3.7.a. Is there an ombudsman’s post?

> <input type="checkbox"/> Yes	> <input type="checkbox"/> No	> <input type="checkbox"/> Don't Know
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E.3.7.b. Is there evidence that the public voices its grievances concerning mal-administration?

> <input type="checkbox"/> Yes	> <input type="checkbox"/> No	> <input type="checkbox"/> Don't Know
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E.3.7.c. Is action taken when grievances are filed?

▶ <input type="checkbox"/> Yes	▶ <input type="checkbox"/> No	▶ <input type="checkbox"/> Don't Know
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E.4. Enforceability of rule-based sanctions within districts

E.4.1. In the past year, have any of your district staff been disciplined for the following reasons? Tick all that apply:

	Senior staff	Junior staff	Field staff
a. Poor work performance			
b. Letting a second job interfere with their work			
c. Embezzlement			
d. Accepting bribes			
e. Insubordination			
f. Discipline			
g. Poor records management			

E.4.2. Consider the employees who were disciplined for poor performance or poor conduct. Do you believe that those employees did, in fact, behave or perform their jobs poorly?

Never poor	Almost never poor	Occasionally poor	Frequently poor	Always poor
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

E.4.3. How typical is it for district-level public servants to face pressure to misuse public funds?

Very typical	Typical	Half-half	A little typical	Atypical
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

E.4.4. When suspected of corrupt practices, how typical is it for them to face social pressure to resign?

Very typical	Typical	Half-half	A little typical	Atypical
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

E.5. Public expectations of providers

E.5.1. How knowledgeable are district residents of standards governing service delivery activities?

Not at all knowledgeable	Somewhat	Half-half	Fairly	Very Knowledgeable
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

E.5.2. How often do complaints from the public lead to discipline—or reward—for the responsible staff?

Never	Rarely	Half-half	Mostly	Always
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

E.5.3. What would be the consequences of providers failing to meet either standards or public expectations?

E.5.3. a. Peers and colleagues would disapprove:

Very Little	Little	Moderate	Considerable	Extreme
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

E.5.3. b. Neighbors/local community would disapprove:

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Very Little	Little	Moderate	Considerable	Extreme
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

E.5.3.c. Risk of dismissal or a reduction in earnings:

Very Little	Little	Moderate	Considerable	Extreme
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

E.5.4. Which stakeholders are most readily mobilized to demand better services? Complete all boxes:

Stakeholders	Readiness to mobilize (scale 0-5; 0 = not ready)	Capacity to mobilize (scale 0-5; 0 = incapable)
Direct beneficiaries		
Indirect beneficiaries		
Women		
Sub-committee members		
District officials		
NGOs		
Other		

E.5.5. How are users likely to respond when their expectations have not been met? Tick all that apply:

<ul style="list-style-type: none"> ➤ <input type="checkbox"/> Organize politically ➤ <input type="checkbox"/> Formally register a complaint with the relevant authorities or officials ➤ <input type="checkbox"/> Verbalize complaints in neighborhood meetings or civic forums 	<ul style="list-style-type: none"> ➤ <input type="checkbox"/> Withhold user fees ➤ <input type="checkbox"/> Write editorials in local papers ➤ <input type="checkbox"/> Express their concerns through a district committee ➤ <input type="checkbox"/> Not respond at all
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E.6. Community participation

Please indicate your agreement/disagreement with the following statements, based on experiences within your own district:

E.6.1. Panchayati Raj institutions make efforts to hold public officials accountable to the people in their area:

Never	Rarely	Sometimes	Often	Always
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

E.6.2. These efforts (via PRIs) are effective at improving the performance of public officials and making public health services more responsive to the needs of the people:

Never	Rarely	Sometimes	Often	Always
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

E.6.3. Community members approach their representatives on Panchayati Raj Institutions to express their opinions and concerns about public officials and public health services:

Never	Rarely	Sometimes	Often	Always
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

E.6.4. Community organizations and other non-governmental organizations (e.g. Women's Committees, other community groups) make efforts to hold public officials accountable to the people in their area.

Never	Rarely	Sometimes	Often	Always
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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E.6.5. These efforts (via community organizations and NGOs) are effective at improving the performance of public officials and making public health services more responsive to peoples’ needs:

Never	Rarely	Sometimes	Often	Always
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

E.6.6. Community members frequently approach NGOs and community organizations to express their opinions and concerns about public officials and public health services:

Never	Rarely	Sometimes	Often	Always
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

E.7. Information on the output performance of providers

E.7.1. Which evaluations of service performance have been made available to users in the last 3-5 years?

Tick all that apply:

<ul style="list-style-type: none"> ➤ <input type="checkbox"/> No evaluations of the output performance of providers have been carried out ➤ <input type="checkbox"/> Internal evaluations of district-level performance have been carried out ➤ <input type="checkbox"/> Participatory evaluations—evaluations in which community groups and citizens are invited to participate—have been carried out 	<ul style="list-style-type: none"> ➤ <input type="checkbox"/> Performance benchmarks—such as immunization rates, number of cases of TB, or similar performance indicators—have been compared with <i>previous figures from the same community</i> ➤ <input type="checkbox"/> Performance benchmarks have been compared with <i>figures from other districts</i> ➤ <input type="checkbox"/> Donor-conducted evaluations have been carried out
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E.7.2. Which sources of voice-feedback are currently in use in your district? (tick all that apply)

<ul style="list-style-type: none"> ➤ <input type="checkbox"/> Client surveys (i.e. direct surveys of service users) ➤ <input type="checkbox"/> Report cards (i.e. periodic summaries of the system’s performance, usually prepared by community groups or non-governmental organizations and compared with similar assessments in other areas) ➤ <input type="checkbox"/> Civic forums (i.e. periodic opportunities for citizens/community groups to publicly express thoughts/concerns about the department)—please specify _____ ➤ <input type="checkbox"/> Other forums—please specify: _____
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E.8. Overall judgment

E.8.1. Make an overall judgment about the enforceability of standard and regulations in this district:

Not at all enforceable	A little	Halfway	Mostly	Highly enforceable
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

E.8.2. Make an overall judgment on the credibility of the mechanisms for ensuring accountability from the providers within this district:

Not at all enforceable	A little	Halfway	Mostly	Highly enforceable
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

F. Personnel Rules

F.1. Personnel Rules—General

F.1.1. During the last 3 years, what has been the average annual percentage of personnel turnover in your district/department?

Please indicate the source of this information and specify the precise turnover ratio, if available: _____

➤ <input type="checkbox"/> 0%	➤ <input type="checkbox"/> 0-10%	➤ <input type="checkbox"/> 11-30%
➤ <input type="checkbox"/> 31-50%	➤ <input type="checkbox"/> More than 50%	➤ <input type="checkbox"/> Don't know

F.2. Personnel Rules—Pay Scales

F.2.1. In your district, are public sector salaries significantly lower or higher than private sector salaries at comparable qualification levels (discounting for security of tenure, pensions, etc.)?

➤ Senior Staff	<input type="checkbox"/> Higher	<input type="checkbox"/> Equal	<input type="checkbox"/> Lower
➤ Mid-level staff	<input type="checkbox"/> Higher	<input type="checkbox"/> Equal	<input type="checkbox"/> Lower
➤ Junior office staff	<input type="checkbox"/> Higher	<input type="checkbox"/> Equal	<input type="checkbox"/> Lower
➤ Field outreach staff	<input type="checkbox"/> Higher	<input type="checkbox"/> Equal	<input type="checkbox"/> Lower

F.2.2. How compressed are wages, from top to bottom, in the civil service? In other words, what is the ratio of the salary at the midpoint of the highest civil service pay scale to the salary at the midpoint of the lowest civil service pay scale (also known as the vertical compression ratio)?

➤ <input type="checkbox"/> Very high	➤ <input type="checkbox"/> High
➤ <input type="checkbox"/> Reasonable	➤ <input type="checkbox"/> Low

F.2.3. How important are discretionary allowances? Is there often a large difference between the remuneration of two public employees with the same job classification and seniority (also known as the horizontal compression ratio)?

➤ <input type="checkbox"/> Very important	➤ <input type="checkbox"/> Important
➤ <input type="checkbox"/> Neutral	➤ <input type="checkbox"/> Not Important

F.3. Personnel Rules—Training

F.3.1. Does your district's budget identify specific funds for employee training?

➤ <input type="checkbox"/> Yes	➤ <input type="checkbox"/> No	➤ <input type="checkbox"/> Don't Know
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F.3.2. Does your district have sufficient institutional capacity to conduct training or assure that all employees receive training on a periodic basis?

➤ <input type="checkbox"/> Yes	➤ <input type="checkbox"/> No	➤ <input type="checkbox"/> Don't Know
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F.3.3. Do a wide range of public and private providers compete for training contracts?

➤ <input type="checkbox"/> Yes	➤ <input type="checkbox"/> No	➤ <input type="checkbox"/> Don't Know
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F.3.4. Are there defined procedures for evaluating training courses, including their relevance and cost-effectiveness?

➤ <input type="checkbox"/> Yes	➤ <input type="checkbox"/> No	➤ <input type="checkbox"/> Don't Know
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F.3.5. Does the ability of trainees, as demonstrated in training courses, affect their job placement in the civil service?

➤ <input type="checkbox"/> Yes	➤ <input type="checkbox"/> No	➤ <input type="checkbox"/> Don't Know
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F.3.6. Is there evidence that the training strategy enhances the performance of:

➤ Senior Staff	<input type="checkbox"/> Strongly Agree	<input type="checkbox"/> Agree	<input type="checkbox"/> Neutral	<input type="checkbox"/> Disagree	<input type="checkbox"/> Strongly Disagree	<input type="checkbox"/> Don't Know
➤ Mid-level Staff	<input type="checkbox"/> Strongly Agree	<input type="checkbox"/> Agree	<input type="checkbox"/> Neutral	<input type="checkbox"/> Disagree	<input type="checkbox"/> Strongly Disagree	<input type="checkbox"/> Don't Know
➤ Junior Office Staff	<input type="checkbox"/> Strongly Agree	<input type="checkbox"/> Agree	<input type="checkbox"/> Neutral	<input type="checkbox"/> Disagree	<input type="checkbox"/> Strongly Disagree	<input type="checkbox"/> Don't Know
➤ Field Outreach Staff	<input type="checkbox"/> Strongly Agree	<input type="checkbox"/> Agree	<input type="checkbox"/> Neutral	<input type="checkbox"/> Disagree	<input type="checkbox"/> Strongly Disagree	<input type="checkbox"/> Don't Know

F.4. Personnel Rules—Recruitment

F.4.1. Is there a competitive, objective recruitment process (such as a public recruitment exam) for mid-level and senior staff?

➤ <input type="checkbox"/> Yes	➤ <input type="checkbox"/> No	➤ <input type="checkbox"/> Don't Know
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F.4.2. Are all posts advertised publicly to ensure fair and open competition?

➤ <input type="checkbox"/> Yes	➤ <input type="checkbox"/> No	➤ <input type="checkbox"/> Don't Know
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F.4.3. Do job descriptions list specific qualifications that reflect the necessary skills and competencies for a given position?

➤ <input type="checkbox"/> Yes	➤ <input type="checkbox"/> No	➤ <input type="checkbox"/> Don't Know
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F.4.4. Are there formal appeal and grievance procedures for recruitment and promotion decisions?

➤ <input type="checkbox"/> Yes	➤ <input type="checkbox"/> No	➤ <input type="checkbox"/> Don't Know
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F.4.5. Is there an oversight body to review hiring decisions and ensure the fairness and professionalism of the recruitment process?

➤ <input type="checkbox"/> Yes	➤ <input type="checkbox"/> No	➤ <input type="checkbox"/> Don't Know
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F.4.6. If so, are the activities and findings of the oversight body made publicly available?

➤ <input type="checkbox"/> Yes	➤ <input type="checkbox"/> No	➤ <input type="checkbox"/> Don't Know
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F.5. Personnel Rules—Performance evaluation

F.5.1. Do jobs in your department have up-to-date descriptions of their duties/expectations (also known as “job descriptions”)?

➤ <input type="checkbox"/> Yes	➤ <input type="checkbox"/> No	➤ <input type="checkbox"/> Don't Know
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F.5.1.a. If so, do they clearly define:

Performance goals	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Don't Know
Performance appraisal management	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Don't Know

F.5.2. Are procedures to terminate or otherwise discipline poor performers regularly used?

➤ <input type="checkbox"/> Yes	➤ <input type="checkbox"/> No	➤ <input type="checkbox"/> Don't Know
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F.5.3. Is performance evaluation objective, uniform, and focused on performance improvement and career development?

▶ <input type="checkbox"/> Yes	▶ <input type="checkbox"/> No	▶ <input type="checkbox"/> Don't Know
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F.5.3.a. Are performance appraisals conducted regularly for all staff?

▶ <input type="checkbox"/> Yes	▶ <input type="checkbox"/> No	▶ <input type="checkbox"/> Don't Know
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F.5.3.b. Are there clear mechanisms to delegate decisions and hold individuals accountable for their performance (in terms of outputs or outcomes)?

▶ <input type="checkbox"/> Yes	▶ <input type="checkbox"/> No	▶ <input type="checkbox"/> Don't Know
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F.5.3.c. Is the performance appraisal process taken into account in promotion decisions?

▶ <input type="checkbox"/> Yes	▶ <input type="checkbox"/> No	▶ <input type="checkbox"/> Don't Know
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F.5.4. Do civil servants have open access to their performance appraisals?

▶ <input type="checkbox"/> Yes	▶ <input type="checkbox"/> No	▶ <input type="checkbox"/> Don't Know
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F.5.5. Are there formal mechanisms for appealing grievances in performance appraisal?

▶ <input type="checkbox"/> Yes	▶ <input type="checkbox"/> No	▶ <input type="checkbox"/> Don't Know
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F.6. Personnel Rules—Promotion and other rewards/recognition

F.6.1. Is there a uniform and transparent process for making promotion decisions?

▶ <input type="checkbox"/> Yes	▶ <input type="checkbox"/> No	▶ <input type="checkbox"/> Don't Know
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F.6.2. Does a central agency have responsibility for assuring the quality of promotion procedures?

▶ <input type="checkbox"/> Yes	▶ <input type="checkbox"/> No	▶ <input type="checkbox"/> Don't Know
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F.6.3. Are staff views about the fairness of promotion processes known?

▶ <input type="checkbox"/> Yes	▶ <input type="checkbox"/> No	▶ <input type="checkbox"/> Don't Know
--------------------------------	-------------------------------	---------------------------------------

F.6.4. If so, do staff opinions have an impact on promotion procedures?

▶ <input type="checkbox"/> Yes	▶ <input type="checkbox"/> No	▶ <input type="checkbox"/> Don't Know
--------------------------------	-------------------------------	---------------------------------------

F.6.5. Are there formal procedures for appealing promotion grievances?

▶ <input type="checkbox"/> Yes	▶ <input type="checkbox"/> No	▶ <input type="checkbox"/> Don't Know
--------------------------------	-------------------------------	---------------------------------------

F.6.6. How often do complaints from the public lead to discipline/recognition of responsible staff?

▶ <input type="checkbox"/> Always	▶ <input type="checkbox"/> Sometimes	▶ <input type="checkbox"/> Rarely	▶ <input type="checkbox"/> Never	▶ <input type="checkbox"/> Don't Know
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F.7. Personnel Rules—Assignment and Transfer

F.7.1. Is information on job vacancies made publicly available to ensure that anyone can apply?

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➤ <input type="checkbox"/> Yes	➤ <input type="checkbox"/> No	➤ <input type="checkbox"/> Don't Know
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F.7.2. Are there clear written guidelines for making decisions on assignments and transfers?

➤ <input type="checkbox"/> Yes	➤ <input type="checkbox"/> No	➤ <input type="checkbox"/> Don't Know
--------------------------------	-------------------------------	---------------------------------------

F.7.3. Are there formal appeal and grievance procedures for assignment and transfer decisions?

➤ <input type="checkbox"/> Yes	➤ <input type="checkbox"/> No	➤ <input type="checkbox"/> Don't Know
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F.7.4. Is there an oversight body to review the fairness of the assignment and transfer process?

➤ <input type="checkbox"/> Yes	➤ <input type="checkbox"/> No	➤ <input type="checkbox"/> Don't Know
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F.7.5. If so, are the activities and findings of the oversight body made publicly available?

➤ <input type="checkbox"/> Yes	➤ <input type="checkbox"/> No	➤ <input type="checkbox"/> Don't Know
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F.7.6. Do senior staff use the threat of transfer to control or limit the behavior of junior staff?

➤ <input type="checkbox"/> Yes, often	➤ <input type="checkbox"/> Yes, sometimes	➤ <input type="checkbox"/> Yes, but rarely	➤ <input type="checkbox"/> No, never	➤ <input type="checkbox"/> Don't Know
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F.8. Personnel Rules—Enforcement and Disciplinary Issues

F.8.1. How consistently do civil servants follow legislation, regulations, and codes of conduct?

➤ <input type="checkbox"/> Always	➤ <input type="checkbox"/> Sometimes	➤ <input type="checkbox"/> Rarely	➤ <input type="checkbox"/> Never	➤ <input type="checkbox"/> Don't Know
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F.8.2. What are public perceptions of the degree of corruption in the civil service?

Please indicate the source of this information: _____

➤ <input type="checkbox"/> All are corrupt and nothing is done without bribes	➤ <input type="checkbox"/> Most are corrupt
➤ <input type="checkbox"/> Some are corrupt, and the rest are honest	➤ <input type="checkbox"/> Very few are corrupt
➤ <input type="checkbox"/> There is no significant corruption	

F.8.3. What are YOUR perceptions of the degree of corruption in the civil service?

➤ <input type="checkbox"/> All are corrupt and nothing is done without bribes	➤ <input type="checkbox"/> Most are corrupt
➤ <input type="checkbox"/> Some are corrupt, and the rest are honest	➤ <input type="checkbox"/> Very few are corrupt
➤ <input type="checkbox"/> There is no significant corruption	

F.8.4. Are there common objective criteria for imposing disciplinary measures?

➤ <input type="checkbox"/> Yes	➤ <input type="checkbox"/> No	➤ <input type="checkbox"/> Don't Know
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F.8.5. Is there a formal written procedure for conducting disciplinary hearings?

➤ <input type="checkbox"/> Yes	➤ <input type="checkbox"/> No	➤ <input type="checkbox"/> Don't Know
--------------------------------	-------------------------------	---------------------------------------

F.8.6. How many disciplinary cases were initiated during the last three years? On what % of them was action taken? And what was the average length of time for completing this action, once initiated?

	1998-1999	1999-2000	2000-2001
Number of cases initiated			
Percent of cases on which action taken			

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Average length of time for completing action once initiated			
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F.8.7. Please tell me how you think the following procedures work, IN PRACTICE:

(Ratings: 0= never 1= rarely 2 =sometimes 3= half the time 4= most of the time 5 = always)

	Recruitment	Evaluation	Promotion	Other rewards	Transfers	Disciplinary action
a. Are they open and transparent?						
b. Are they fair?						
c. Are they based on the candidate's merit?						
d. Are they based on the quality of his/her relationship with supervisors?						
e. Are political connections important?						
f. Are social connections important? (e.g. family, ethnicity, religion)						
g. Do people provide gifts or unofficial payments?						
h. Is there effective recourse for grievances?						

G. Autonomous agencies

Please answer the following questions about “autonomous agencies”—groups such as DRDAs and District TB Societies—according to the experiences of your district.

G.1. Which health-related “autonomous agencies” are active in your district? Please list:

1.
2.
3.
4.
5.
6.

Continue in the margin if necessary

G.2. Do autonomous agencies have more or less flexibility in staff recruitment and salary-setting than the government sector?

Much more	More	About the same	Less	Much less
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

G.3. Do autonomous agencies have more or less budgetary flexibility than the government sector?

Much more	More	About the same	Less	Much less
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

G.4. In which other areas are these agencies allowed significant freedoms in comparison to the government sector? Please specify:

1.
2.
3.
4.

G.5. When an autonomous agency performs poorly, are the consequences for the agency more or less severe than for comparable circumstances in the government sector?

Much more severe	More severe	About the same	Less severe	Much less severe
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

G.6. Do you feel that autonomous agencies are undermining policy objectives by creating constituencies that may compel the government to maintain existing policies—e.g. for TB, blindness, or other areas—even when the originating conditions are no longer a significant threat?

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	Don't Know

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G.7. Are autonomous agencies undermining the coherence of the budget¹?

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	Don't Know

G.8. Are autonomous agencies facilitating patronage or other forms of corruption?

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	Don't Know

If yes, please explain: _____

¹ Unchecked agency creation can destabilize the budget in three ways. First, it can create an argument for earmarked funding which will undermine the strategic ability of government to shift funds to emerging priorities, thereby leading to budgetary rigidities and over-stretched funding. Second, it can create scenarios (also known as “bleeding stump” arguments) in which the government must provide additional resources or face the unthinkable—teachers on strike, nurses without jobs, etc. The arms-length nature of agencies makes bleeding stump arguments more likely since the imminent problem is less easily identified by the central agencies. Third, unchecked agency creation can create contingent liabilities for government by borrowing against assets or making other commitments.