

**National-Level Qualitative Instrument**

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

**Phase I  
INDIA**

**NATIONAL-LEVEL QUALITATIVE INSTRUMENT**

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## A. ORGANIZATIONAL ISSUES

### I. Institutional Context

	Indicator	Primary Question	Secondary Questions
1	Staff incentives and sanctions	What incentive mechanisms are used to ensure that staff act in accordance with the organization's objectives? Detail both positive incentives <i>and</i> negative ones (sanctions).	<ul style="list-style-type: none"> <li>• How are the following used to provide incentives or sanctions for staff?                             <ul style="list-style-type: none"> <li>○ Annual confidential Reports (ACRs)</li> <li>○ Promotions</li> <li>○ Transfers</li> <li>○ Disciplinary actions</li> <li>○ Pay and bonuses</li> <li>○ In-service training</li> <li>○ Tenure</li> <li>○ Vacancies and work load</li> <li>○ Merit-based awards and recognition or other measures</li> </ul> </li> </ul>
2	Staff morale	What methods are used to maintain and improve staff morale?	<ul style="list-style-type: none"> <li>• Are staff widely involved in policy and planning activities?</li> <li>• Are staff widely involved in program evaluation and performance monitoring activities?</li> <li>• Do lower-level staff have the opportunity to make their concerns and grievances known? How? Does this work in practice?</li> <li>• Do lower-level staff have the opportunity to provide feedback on managers' performance? How? Is confidentiality maintained? Does this work in practice?</li> <li>• Are staff provided with the opportunity to receive in-service training in areas of interest?</li> <li>• What other mechanisms are used to maintain and improve staff morale?</li> </ul>
3	Organization of public health	How are public health services organized?	<ul style="list-style-type: none"> <li>• How do the various agencies involved in public health interact and coordinate?</li> <li>• Is private sector involved in delivery of public health services? If yes, then</li> </ul>

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	Indicator	Primary Question	Secondary Questions
			<p>how is this organized?</p> <ul style="list-style-type: none"> <li>• How do center, state, and local bodies share responsibilities for delivery of public health?</li> <li>• How are public health agencies held accountable to the communities they serve?</li> </ul>
4	Evidence-based planning and evaluation of public health activities	What capacities exist within the Central government to conduct evidence-based planning and evaluation activities?	<ul style="list-style-type: none"> <li>• Does the Center have the capacity and resources necessary to collect, analyze, and evaluate the kinds of information required for effective planning, policy-making, monitoring and evaluation (<i>e.g. community demographics, cost analysis, service utilization, service quality, etc.</i>)?</li> <li>• Does the Center have staff with sufficient expertise to make evidence-based decisions using this information?</li> <li>• Does the Center make this information available to individuals/agencies outside itself (<i>e.g. the public, academic institutions, other government departments, etc.</i>)?</li> <li>• Is operational research conducted on a regular and systematic basis? If not, are <i>ad hoc</i> projects undertaken—or is there no OR at all?</li> <li>• Is monitoring and evaluation an integral part of all activities?</li> <li>• Are other, non-health agencies—such as municipal corporations or other government departments—involved in policy-making, planning, monitoring and evaluation of health-related activities in which they are involved?</li> </ul>
5	Management of human and financial resources	What strategies are employed vis-à-vis human resources and financial management?	<ul style="list-style-type: none"> <li>• Does the Center have staff dedicated to human resource management (HRM) and financial management (FM)?</li> <li>• Is there a systematic process for matching/adjusting human and financial resources to current policies and plans? How often are these revised?</li> <li>• To what extent is the allocation of human and financial resources flexible, say in response to changes in priorities or plans?</li> </ul>
6	Procurement	What procurement strategies are used, and how are these designed to maintain transparency and integrity?	<ul style="list-style-type: none"> <li>• How common is it for the Center—or its suppliers—to adjust or relax the terms of a supply contract in response to unforeseen circumstances?</li> <li>• How long does it take to complete all steps necessary for the supplier to be paid once an invoice is submitted?</li> <li>• Is external audit a standard part of all transactions? What fraction of all</li> </ul>

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	<b>Indicator</b>	<b>Primary Question</b>	<b>Secondary Questions</b>
			contract payments are examined by external auditing bodies? How often does this take place?
7	Management of international cooperation	How does the Center manage its relationship with international agencies involved in the health sector?	<ul style="list-style-type: none"> <li>• Does the Center have the capacity and experience necessary to negotiate with international agencies involved in public health issues?</li> <li>• Does it solicit the involvement of international agencies based on its own plans—or does it respond to priorities expressed by them? Which pattern predominates?</li> <li>• Is international assistance ever refused? Why, and how often?</li> <li>• Is it in a position to develop cooperative programs within or outside the region?</li> </ul>
8	Technical assistance for public health management at the State level	What technical assistance and support is provided to improve States’ management of public health activities?	<ul style="list-style-type: none"> <li>• Does the Center periodically monitor State-level management of public health activities?</li> <li>• Does it identify problems and provide States with the necessary technical assistance to solve them?</li> <li>• Does it disseminate information on “best practices” in management to State-level agencies?</li> <li>• Does it establish ties with universities and institutions that conduct management training in order to improve the competence and skills of State-level human resources?</li> </ul>

**II. Community Participation**

	<b>Indicator</b>	<b>Primary Question</b>	<b>Secondary Questions</b>
1	Community participation in public health activities	What measures are taken to ensure community participation in public health activities?	<ul style="list-style-type: none"> <li>• Is there a formal process for involving community organizations (NGOs and PRIs in particular) in policy-making, planning and implementation of public health activities at all levels—Center, State, District and Local?</li> <li>• Is the opinion of “service users” (e.g. individuals, community groups etc.) solicited and used to improve the planning and implementation of public health activities? Is it done systematically? How?</li> <li>• Are community groups (NGOs, PRIs, households etc.) kept informed about the performance of public health agencies (e.g. immunization rates, new cases</li> </ul>

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	Indicator	Primary Question	Secondary Questions
			<p>of TB etc.)? How is this done? Is it systematic/regular?</p> <ul style="list-style-type: none"> <li>• What <i>specific</i> measures are taken to involve communities through the Panchayati Raj system? Did any changes take place after the 73<sup>rd</sup> and 74<sup>th</sup> Constitutional Amendments?</li> <li>• What <i>specific</i> measures are taken to involve communities through local bodies and NGOs?</li> </ul>
2	Expertise and capacity to facilitate the building of partnerships	Does the Center have the expertise and capacities required for partnership-building?	<ul style="list-style-type: none"> <li>• Is partnership-building an explicit part of any staff member’s terms of reference? Does this staff member (or members) have experience or expertise in conflict management, advocacy, coalition-building or other areas relevant this task?</li> <li>• Does the Center maintain an accessible information system that includes a directory of NGOs and community organizations active in health-related issues? If so, how often is this updated?</li> <li>• Is there a formal process to learn from the experience of NGOs and community organizations and make their “best practices” known to policy-makers, planners and implementers in the public health system?</li> </ul>
3	Support and coordination of State- and local-level health agencies’ partnership-building efforts.	Does the Center encourage and coordinate State- and local-level health agencies in partnership-building activities with NGOs and community groups?	<ul style="list-style-type: none"> <li>• Does the Center systematically encourage State- and local-level agencies to build partnerships with NGOs and other community groups? What specific advice is offered?</li> <li>• Does it provide any technical support for this process?</li> <li>• Does it provide specific encouragement for partnership-building with Panchayati Raj institutions? What specific advice is offered (e.g. PRIs should participate in planning, in implementation, in monitoring etc.)?</li> <li>• Does it provide any technical support for this process?</li> <li>• Does the Center promote the <i>establishment</i> of community groups at the local level?</li> <li>• Does it provide any technical support for this process?</li> </ul>

### III. Task Networking

	Indicator	Primary Question	Secondary Questions
1	Horizontal integration of government departments involved in health-related activities	What mechanisms exist to ensure coordination between the health department and other government departments involved in health-related activities—in other words, <i>horizontal integration</i> ?	<ul style="list-style-type: none"> <li>• Are there high-level (inter-ministerial, secretaries’) coordination committees or other forums for horizontal communication among the various departments involved in public health? If so, how often do they meet—and what is the extent of coordination that takes place (information-sharing, sharing of resources, joint decision-making, etc.)?</li> <li>• Is the health department systematically involved in monitoring and influencing the health-related policies, plans and programs of other departments whose activities impact on public health? (In other words, does the health department take an advocacy role?)</li> <li>• What measures are taken to pool resources (e.g. technical, personnel, financial etc.) with other departments to achieve public health goals?</li> <li>• What mechanisms exist to coordinate inter-departmental efforts for the <i>enforcement</i> of health-related regulations?</li> </ul>
2	Vertical integration of various levels within the health department	How well-integrated are the various <i>vertical</i> levels in the health department (e.g. Central, State, District etc.)—and what mechanisms exist to promote vertical integration?	<ul style="list-style-type: none"> <li>• To what extent are the “lower” levels of a given department included or consulted in <i>policy-making and planning processes</i>—if at all?</li> <li>• To what extent are the “lower” levels of a given department included or consulted in <i>monitoring and evaluation processes</i>—if at all?</li> <li>• What strategies exist to communicate the department’s <i>mission, goals and objectives</i> to staff at “lower” levels?</li> <li>• How are decisions on policy, planning and program management communicated from “higher” levels to “lower” ones?</li> <li>• What mechanisms exist for “lower” levels to express their concerns (about policy, planning, program management etc.) to “higher” ones? How well do these mechanisms function—if at all?</li> </ul>
3	Private and Non-government participation and networking	How are NGOs and private sector organizations involved in policy, planning, delivery and/or monitoring	<ul style="list-style-type: none"> <li>• Is there a systematic effort to promote participation of NGOs and private sector organizations (PSOs) in policy or planning processes? If not, do these processes explicitly consider their actual—or potential—roles?</li> <li>• Are NGOs/PSOs actively recruited to assist with (or completely take on) program implementation activities? If so, are they paid from government sources or do they rely on their own funds for these activities? Which</li> </ul>

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	<b>Indicator</b>	<b>Primary Question</b>	<b>Secondary Questions</b>
		of public health services?	pattern predominates? What services are they most involved in?

## B. PROGRAMMATIC ISSUES

### I. Assessment

#### 1. Health Situation Monitoring and Analysis

	Indicator	Primary Question	Secondary Questions
1	Guidelines and process for monitoring population health status	<p>Is there a systematic process for collecting data on the population's health status*? If so, what is this process?</p> <p>* e.g. risk factor surveillance, health surveys, examination surveys, etc.</p>	<ul style="list-style-type: none"> <li>• What are the roles of national, state, district and block levels in data collection and analysis in this process?</li> <li>• Do explicit guidelines exist, or is it done on an ad hoc basis—if at all?</li> <li>• Do the guidelines/process allow for citizens, NGOs, Panchayati Raj etc. to gain access to this information? While protecting people's privacy?</li> <li>• Do the guidelines/process examine <i>inequities</i> in health status? Are data disaggregated by income group, geographic area, gender, scheduled castes, scheduled tribes, other vulnerable populations, etc.)?</li> <li>• Do the guidelines (or the process) include provisions and procedures for sharing this information with the media and the public?</li> </ul>
2	Evaluation of the quality of these data	What measures does the Central government take to ensure the quality of data collected to assess and monitor the population's health status?	<ul style="list-style-type: none"> <li>• Does the Central government take any such measures, or are data accepted at face value?</li> <li>• Is there an independent agency to evaluate the quality of data? If so, how does it operate?</li> <li>• Does the Central government have protocols and standards on data collection, storage and analysis?</li> <li>• Is there a formal mechanism for coordination between the Central Ministry of Health and other institutions responsible for production of national statistics?</li> </ul>
3	Expert support for health status monitoring	Does the Central government maintain individuals with expertise in health status monitoring? How are these	<ul style="list-style-type: none"> <li>• Are there personnel with epidemiological and statistical skills to collect, evaluate, manage, translate, interpret, disseminate, and communicate health status data within the Central government?</li> <li>• How are experts deployed in various government institutions? How do</li> </ul>

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	<b>Indicator</b>	<b>Primary Question</b>	<b>Secondary Questions</b>
		individuals deployed?	they interact and coordinate? Is there any coordination with similar experts in the private sector?
4	Technological support for States for health status monitoring	What technological support does the Central government provide to State governments vis-à-vis health status monitoring?	<ul style="list-style-type: none"> <li>• Are there standard guidelines for data formats, computer software etc. between the Central government and all States?</li> <li>• Does the Central government provide computer resources?</li> <li>• Are computers at various levels networked to easily share data?</li> <li>• Do computer personnel at the State level receive training from similar officers of the Central government to ensure consistency/knowledge-sharing between the two?</li> </ul>
5	Technical assistance for States for health status monitoring	What technical assistance does the Central government and its various institutions provide to States for health situation monitoring and analysis?	<ul style="list-style-type: none"> <li>• Does the Central government offer States technical assistance in the design of data collection instruments, analysis of data, dissemination of information and publication of the analysis?</li> <li>• Does the Central government provide financial, training, and practical support for States in their interpretation and use of these data?</li> </ul>

**2. Epidemiological Surveillance/Disease Prevention and Control**

	<b>Indicator</b>	<b>Primary Question</b>	<b>Secondary Questions</b>
1	Surveillance system to identify and respond to public health threats	Is there a public health surveillance system to identify, analyze and respond to public health threats? How does it operate, and what are its capabilities?	<ul style="list-style-type: none"> <li>• Are active case detection procedures in place for any diseases? <ul style="list-style-type: none"> <li>○ <i>How do these procedures work?</i></li> <li>○ <i>Have sentinel sites been established?</i></li> </ul> </li> <li>• Is there vertical integration to ensure the cooperation of the Center, States, districts and local bodies? How does this work? How <i>well</i> does this work?</li> <li>• Is there collaboration between Central-level surveillance authorities and other Central-level agencies with an interest/role in disease prevention/control or in responding to public health threats? Which agencies? How is this organized?</li> <li>• Does the Center provide leadership in defining the roles and responsibilities of key players in the surveillance system at all levels?</li> <li>• Does the Center monitor the effectiveness of State-level surveillance and epidemiologic response systems?</li> </ul>

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	Indicator	Primary Question	Secondary Questions
			<ul style="list-style-type: none"> <li>• Does the Center ensure that State-level response systems include key players outside the health system (e.g. water and sanitation, municipal authorities)?</li> <li>• Does the Center ensure that State-level systems provide feedback and corrective advice to local communities as part of their functions?</li> <li>• Does the Central government have sufficient capabilities and experience in epidemiology (e.g. data analysis, rapid screening, rapid environmental sampling, development of written protocols, preparation of reports, etc.) to identify threats to public health?</li> </ul>
2	Capacity of public health laboratories	Does the Central government have a laboratory network capable of (a) meeting the needs of routine epidemiologic surveillance and (b) supporting research on adverse health events? How does this system operate, and what are its particulars?	<ul style="list-style-type: none"> <li>• Are these laboratories in a position to identify the causative agents of all reportable diseases in the country?</li> <li>• Does the Center keep a list of all laboratories capable of performing specialized analyses?</li> <li>• What is the relationship between the national public health laboratory network and other laboratories—in the private sector or academic institutions, for example—in the country?</li> <li>• Does the Center have protocols for handling, transportation, and storage of samples collected by public or private laboratories?</li> <li>• Does the Center have standardized procedures for receiving information from other private and public laboratories (i.e. outside the reference laboratory system) in order to monitor specific diseases?</li> <li>• Does the Center formally coordinate and reference the national public health laboratory network with one or more international laboratories of recognized excellence?</li> <li>• Does the Center periodically evaluate the quality of diagnoses from the network’s laboratories? How is this evaluation conducted? Is it done with reference to international laboratories of recognized excellence?</li> </ul>
3	Readiness to respond to public health threats	What is the system’s readiness to respond to public health threats?	<ul style="list-style-type: none"> <li>• Is the Center capable of responding promptly and efficiently to public health threats at various levels (e.g. state, district etc.)? What are the bottlenecks?</li> <li>• Does the Center periodically assess and support States’ levels of skilled human resources and infrastructure necessary for this response?</li> <li>• Does the Center periodically evaluate the organization and effectiveness of</li> </ul>

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	<b>Indicator</b>	<b>Primary Question</b>	<b>Secondary Questions</b>
			<p>States' response systems? How? How often?</p> <ul style="list-style-type: none"> <li>• Does the Center evaluate the intersectoral links necessary for such a response at all levels?</li> <li>• Does it ensure that communication among the various levels are always active and that there are clear responsibilities in their support and supervision?</li> <li>• Does it ensure that the response of levels closest to the threat is automatic and does not rely on a national response or instructions for activation?</li> </ul>
4	Technical assistance and support for States viz. surveillance	What technical assistance is provided by the Central level to the States?	<ul style="list-style-type: none"> <li>• Does the Center keep an inventory of personnel, training, equipment, maintenance and other needs for States to use in designing/upgrading their surveillance systems?</li> <li>• Does it provide information to the States about how to access laboratory networks and about the availability of various experts?</li> <li>• Does it provide training assistance to the States?</li> <li>• Does it advise the States on any query regarding procedures for confronting public health emergencies? Is this done promptly? Do States request this advice appropriately/often?</li> <li>• Does it define simple and effective standards for communication between different levels of the surveillance system and receive periodic and regular reports from the State levels?</li> <li>• Does it disseminate information to the States concerning: the current status of diseases under permanent surveillance, good practices in disease control, guidelines to deal with public health emergencies?</li> </ul>

**3. Research, Development, and Implementation Of Innovative Public Health Solutions**

	<b>Indicator</b>	<b>Primary Question</b>	<b>Secondary Questions</b>
1	Development of a public health research agenda	Is there a national public health research agenda?	<ul style="list-style-type: none"> <li>• Does the Center develop a public health research agenda and identify sources of financing for it?</li> <li>• Does this agenda take into account deficiencies perceived by communities and other sectoral and non-sectoral actors involved in health?</li> <li>• Does it encourage schools of public health, independent research centers, and</li> </ul>

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	<b>Indicator</b>	<b>Primary Question</b>	<b>Secondary Questions</b>
			other entities devoted to health to study the problems contained in the agenda?
2	Development of internal research capacities	Does the Center make efforts to develop its internal research capabilities?	<ul style="list-style-type: none"> <li>• Does it collaborate with researchers—from within and outside the country—working on public health topics?</li> <li>• Are research grants provided to support research priorities set by the center?</li> <li>• Does it ensure that there are adequate analytical tools, up-to-date databases, computer technology, and general facilities for research and collaboration?</li> <li>• Are research findings used to improve public health practices?</li> </ul>
3	Support for innovation and research in public health at the State level	What measures are taken to support innovation and research in public health at the State level?	<ul style="list-style-type: none"> <li>• Is there an established way of disseminating research findings, innovations, and new public health practices to the State and district level?</li> <li>• Does the Center provide States and local bodies with technical support for State- and local-level operational research and analysis?</li> <li>• Does this support extend to the operationalizing of research findings?</li> </ul>

## II. Policy Development

### 4. Policy and Planning

	<b>Indicator</b>	<b>Primary Question</b>	<b>Secondary Questions</b>
1	Basic aspects of program management	How does the Center set priorities and program objectives, and how does it monitor the implementation of these?	<ul style="list-style-type: none"> <li>• Are specific program objectives set by State-level departments? If so: <ul style="list-style-type: none"> <li>○ How does this process take place?</li> <li>○ Who is involved?</li> <li>○ For which programs are objectives set?</li> <li>○ Are objectives disseminated and understood?</li> <li>○ How are they disseminated?</li> <li>○ What is the evidence that they are understood?</li> </ul> </li> </ul>
2	National plans and	Is there an established strategy and process for	<ul style="list-style-type: none"> <li>• Does the Center have a strategy/process to improve the health of the entire population? Does this strategy include specific goals and objectives for a</li> </ul>

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	Indicator	Primary Question	Secondary Questions
	strategies for improving population health	health improvement in the country?	<p>defined period? Does it use the current health profile as its starting point?</p> <ul style="list-style-type: none"> <li>• Does this strategy form the basis of similar plans at the State level, or are the two processes independent/de-linked?</li> <li>• Does it include guidelines for implementation or just goals/objectives?</li> <li>• Do the implementation guidelines include provisions for vertical integration between Central, State and district levels?</li> <li>• Do the implementation guidelines include provisions for collaboration with the private sector and government sectors other than health? Is the role of these actors specified clearly?</li> <li>• Does the strategy/process include indicators of success? Is the measurement of these indicators carried out regularly? Are the results used to refine implementation of the strategy?</li> </ul>
3	Experience and ability to plan and develop national health programs	What is the past experience and capabilities to plan and develop national health programs?	<ul style="list-style-type: none"> <li>• Does the Center have experience in strategic planning?</li> <li>• Are there clear and time-based guidelines for the execution and evaluation of strategic plans?</li> <li>• Does the Center have experience in drafting public health policies and laws, in managing public demands, and implementing ongoing activities to improve health?</li> <li>• Does the Center have adequate facilities, equipment, and personnel inputs necessary to carry out all these activities in collaboration with the State and local institutions, community organizations and the private sector?</li> </ul>
4	Policy development	What activities are included in national-level policy development?	<ul style="list-style-type: none"> <li>• Does the Center have a process to collaborate with executive and legislative branches and other national leaders (<i>including labor leaders</i>) and organizations for development of health policy?</li> <li>• Does it have a comprehensive set of legislative proposals and regulations that guide or influence public health issues at all levels and are used in the process of generating/influencing government policy?</li> <li>• Does it evaluate the potential impact of government policy decisions that affect the population’s health—including those that lie principally outside the health sector (e.g. environmental regulations, trade agreements, etc.)?</li> </ul>
5	Technical	What technical assistance	<ul style="list-style-type: none"> <li>• Does the Center provide support and technical assistance to State, district and</li> </ul>

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	<b>Indicator</b>	<b>Primary Question</b>	<b>Secondary Questions</b>
	assistance and support to the States in planning and policy development	and support does the Center provide to State and local levels in planning and policy development?	<p>local bodies in planning and policy development activities?</p> <ul style="list-style-type: none"> <li>• Does it support States to develop State-level health profiles and implement effective strategies to deal with the health priorities thus identified?</li> <li>• Does it encourage the integration of NGOs, community groups, Panchayati Raj and the private sector in State- and local-level health planning processes?</li> </ul>
6	Credibility of policy making and planning	What internal and external influences affect the planning and policy making process?	<ul style="list-style-type: none"> <li>• Are Central-level policies accepted and adopted by State, district and local governments or are they frequently opposed?</li> <li>• Is the planning process at various levels participatory and inclusive? Are the State and districts consulted in the budget?</li> <li>• Is the policy and planning process regularly subjected to micro-management or political interference?</li> <li>• How are policies and plans discussed and communicated within the vertical chain (e.g. Central, State, district, local)?</li> <li>• How are policies and plans discussed and communicated with other key departments within the government (i.e. horizontal chain)?</li> </ul>
7	Adequacy and predictability of funding	How adequate and predictable is the funding flow?	<ul style="list-style-type: none"> <li>• Are under-funded mandates typically passed to lower levels?</li> <li>• Do budgeted and disbursed amounts usually match? If not, by what factor are they different, and what explains these differences?</li> <li>• When budget cuts are done, what areas are most likely to be cut first?</li> <li>• What problems do uncertainty about budget cause?</li> <li>• What are the main reasons for unpredictability of funding flows?</li> </ul>
8	Flexibility over the means of delivering services	Do State and lower levels have flexibility over the means of delivery of services?	<ul style="list-style-type: none"> <li>• Does the Center promulgate minimum standards for service delivery?</li> <li>• Do States and localities have any flexibility in the way services are delivered?</li> <li>• Is this flexibility explicit and inbuilt to the system/guidelines?</li> <li>• Is there a regulatory framework to allow flexibility in service delivery?</li> <li>• What is the degree of autonomy for the lower levels?</li> </ul>
9	Regulatory enforcement and accountability	What regulations govern inputs, processes, and output expectations for subnational authorities	<ul style="list-style-type: none"> <li>• How realistic are the demands that these standards place on State and district-level service providers?</li> <li>• What arrangements exist to hold States/districts accountable to these standards?</li> </ul>

	Indicator	Primary Question	Secondary Questions
		involved in health?	<ul style="list-style-type: none"> <li>• What is the audit process in place to ensure compliance?</li> </ul>

**5. Budgeting and Financial Management**

	Indicator	Primary Question	Secondary Questions
1	Adequacy and predictability of funding	How adequate and predictable is the funding flow?	<ul style="list-style-type: none"> <li>• How are budget requests initiated?</li> <li>• How are these requests determined and justified?</li> <li>• What agencies have authority to modify and/or approve budget requests?</li> <li>• Are budgets prepared in line-item, program, or performance format?</li> <li>• Is final budget authorization accomplished in a timely manner?</li> <li>• Are all authorized funds actually appropriated? If not, by what factor are they different, and what explains these differences?</li> <li>• Are appropriations accomplished in a timely manner?</li> <li>• Typically, what is the proportion of budgeted funds actually expended?</li> <li>• What are the main reasons for failure to fully utilize budgeted funds?</li> <li>• What happens to unexpended funds?</li> <li>• When budget cuts are made, what areas are most likely to be cut first?</li> <li>• What problems does uncertainty about budgets cause?</li> <li>• What are the main reasons for unpredictability of funding flows?</li> </ul>

**III. Assurance**

**6. Health Education and Promotion**

	Indicator	Primary Question	Secondary Questions
1	Facilitation of partnerships for health promotion	What efforts are being made to facilitate partnerships for	<ul style="list-style-type: none"> <li>• Does the Center form partnerships with governmental and nongovernmental organizations to benefit public health activities?</li> <li>• Does the Center encourage States and localities to do likewise?</li> <li>• Does it ensure that such activities strengthen the operations of government</li> </ul>

NATIONAL-LEVEL QUALITATIVE INSTRUMENT

	Indicator	Primary Question	Secondary Questions
		health promotion?	institutions and correspond to the health priorities defined at Central and State levels?
2	National planning and coordination of health information, education and promotion strategies	What is the planning process—and what plans exist—for IEC and health promotion activities at the Central level?	<ul style="list-style-type: none"> <li>• Does the Center have a systematic process to inform and educate the public about health problems and how to overcome them?</li> <li>• How are these plans made? Is there reference to national health plans and priority health conditions?</li> <li>• Do communities and private bodies have a role in this planning process?</li> <li>• Is the participation of communities and the private sector included as an explicit part of the <i>implementation</i> process? Is this true at the Central, State or lower levels, or none/all?</li> <li>• Does the Center evaluate the effectiveness of State-level policies and programs for IEC and health promotion?</li> <li>• Are community groups, NGOs and individuals surveyed as part of the evaluation and monitoring process for IEC/HP activities?</li> <li>• Do the results from this monitoring process lead to changes in IEC/HP policies and programs at the Central level? The State level?</li> </ul>
3	Support for community health promotion activities	What type of support does the Central government provide for community health promotion activities?	<ul style="list-style-type: none"> <li>• Does the Center advise States to encourage and promote community-based health promotion activities? How? Is it done systematically?</li> <li>• Does the Center inform States of "good practices" in community-based health promotion activities and encourage them to follow these models?</li> <li>• Does the Center hold periodic conferences or other events for sharing information and experiences with community-based health promotion?</li> </ul>
4	Information, Education and Communication (IEC)	How is IEC organized and implemented?	<ul style="list-style-type: none"> <li>• What kind of IEC programs are provided?</li> <li>• What IEC programs are the highest priority? How are IEC programs prioritized? Does health information play a role in this?</li> <li>• Are community surveys and field testing used to refine IEC materials?</li> <li>• Is the private sector involved in the development of IEC materials? If not, who develops materials? Are NGOs involved?</li> <li>• Is IEC provided to elected and appointed officials as well as the community?</li> <li>• Are IEC programs monitored and evaluated? Are the results of these</li> </ul>

NATIONAL-LEVEL QUALITATIVE INSTRUMENT

	Indicator	Primary Question	Secondary Questions
			<p>evaluations used to improve programs or change policies?</p> <ul style="list-style-type: none"> <li>• Is there a mechanism to coordinate IEC activities between various programs (immunization, TB, MCH etc.)? Do these programs have separate IEC units, or is there some level of integration?</li> <li>• Does the Center track private health sector organizations' IEC and advertising activities? Is there any coordination between the public and private sectors—do they duplicate or complement? Does the Government ever take action to prevent inaccurate/misleading health information?</li> <li>• How are IEC activities funded? What has been the trend in recent years?</li> <li>• Does the Center maintain active links with the mass media? Are strong partnerships forged with the mass media, including commercial media?</li> <li>• Does the community perceive health authorities as a credible source of reliable health information? If not, why?</li> </ul>
5	Technical assistance to States	What technical assistance does the Center provide to States and local governments to support IEC and health promotion activities?	<ul style="list-style-type: none"> <li>• What resources and assistance does the Center provide to State and local health agencies to develop and implement health education activities?</li> <li>• Does the Center provide States with materials and information? Which?</li> <li>• Do States develop their own materials, or do they adapt Central-level materials? Does this adaptation go beyond translation—or are materials adapted for local circumstances in other ways as well?</li> <li>• Does the Center provide expert assistance for States to develop IEC materials?</li> <li>• Does the Center monitor the scientific accuracy of State-developed materials?</li> <li>• Does the Center monitor the material development process of States (e.g. their use of focus groups, pre-testing, revision of materials etc.)?</li> <li>• Does the Center provide training to State-level officers responsible for IEC?</li> <li>• Does the Center provide States with standardized guidelines for IEC?</li> <li>• Do these guidelines make provision for targeting IEC materials to the neediest groups?</li> <li>• Do these guidelines make provision for engaging NGOs and the private sector in the development/implementation of IEC efforts?</li> </ul>

**7. Reducing The Impact of Outbreaks, Emergencies and Disasters on Health**

	Indicator	Primary Question	Secondary Questions
1	Emergency preparedness and disaster management	What are the measures taken to ensure emergency preparedness and disaster management by the Central government?	<ul style="list-style-type: none"> <li>• Does the Central government promote understanding of benefits of preparedness for emergencies and disasters with other sectors, including the private sector?</li> <li>• Can Central authorities ensure <i>intersectoral</i> coordination (e.g. military, police, municipal bodies, etc.) in such circumstances?</li> <li>• Can Central authorities ensure <i>intrasectoral</i> coordination (e.g. between the Center, State and lower levels) in such circumstances?</li> <li>• Does the Central government facilitate training of health and non-health personnel for such circumstances?</li> <li>• Does the Central government take various measures to protect against various threats to physical infrastructure—drinking water, sewerage etc.?</li> <li>• Does the Central government educate and inform the public about emergency preparedness through mass media campaigns and health education activities?</li> </ul>
2	Development of standards and guidelines that support emergency preparedness and disaster management	Has the Central government developed standards and guidelines that support emergency preparedness and disaster management?	<ul style="list-style-type: none"> <li>• Are there standards for construction and maintenance of health infrastructure with an emphasis on disaster preparedness?</li> <li>• Has the Central government prepared a list of essential drugs and inputs necessary for outbreaks, emergencies and disasters?</li> <li>• Does the Central government provide guidance for States in their development of emergency preparedness and disaster management plans, especially vis-à-vis outbreaks of communicable disease?</li> </ul>
3	Coordination and partnership with other agencies and/or	What measures are taken by the Central government to ensure coordination and partnerships with other agencies and/or	<ul style="list-style-type: none"> <li>• What agencies are coordinated for emergency preparedness?</li> <li>• Does the Center establish and maintain partnerships with national and international organizations that deal with emergencies?</li> <li>• Does the Central government work with other agencies—academia, private bodies etc.—to develop protocols for disaster and outbreak management?</li> </ul>

**NATIONAL-LEVEL QUALITATIVE INSTRUMENT**

	<b>Indicator</b>	<b>Primary Question</b>	<b>Secondary Questions</b>
	institutions	institutions?	
4	Technical assistance at state level to support emergency preparedness and disaster management in health	What technical assistance is provided by the Central government to support emergency preparedness and disaster management by States?	<ul style="list-style-type: none"> <li>• Does the Center provide assistance to States to build their capacities in mobilizing and coordinating a health response to emergencies?</li> <li>• Does this assistance include forging horizontal links (intersectoral, NGOs, private sector) at the State level?</li> <li>• Does the Center identify leaders who will promote emergency preparedness at State and local levels?</li> <li>• Does the Center provide technical assistance to carry out needs assessment of States' emergency preparedness capability?</li> <li>• Does the Center ever evaluate States' disaster preparedness and emergency management plans? Does it provide feedback to States regarding these plans?</li> </ul>

**8. Regulation and Enforcement in Public Health**

	<b>Indicator</b>	<b>Primary Question</b>	<b>Secondary Questions</b>
1	Legislation, regulation and enforcement	Describe the development of public health laws and regulations and their enforcement?	<ul style="list-style-type: none"> <li>• Is enforcement integrated with other public health functions? Are they vested in health agencies at all?</li> <li>• Is information from enforcement incorporated into health planning and monitoring activities?</li> <li>• How does the health department interact with law enforcement and public safety agencies to ensure compliance with public health codes?</li> <li>• How do regulated organizations (such as food vendors) inform and influence the regulatory process? Are they involved at all?</li> <li>• What are educational components of regulation?</li> <li>• What are the consequences of non-compliance?</li> <li>• Are any enforcement activities delegated to the private sector (such as vendors, trade associations, etc.)?</li> </ul>
2	Monitoring, evaluation and modification of legislation	What measures are in place to periodically monitor, evaluate and modify legislation?	<ul style="list-style-type: none"> <li>• Is any mechanism in place to periodically review existing laws and regulations designed to protect public health and to update these laws and regulations to reflect current scientific knowledge?</li> <li>• When legislation is under review, are there specific provisions to obtain</li> </ul>

NATIONAL-LEVEL QUALITATIVE INSTRUMENT

	Indicator	Primary Question	Secondary Questions
			<p>information from lawmakers, legal experts, and the general public?</p> <ul style="list-style-type: none"> <li>• Does the Center monitor current legislative proposals—including those <i>outside</i> the health sector—vis-à-vis their impact on health?</li> <li>• Does the Center advise lawmakers with respect to those proposals?</li> </ul>
3	Knowledge, abilities, and skills to review, strengthen, and enforce laws and regulations	What are the knowledge, abilities, and skills to review, strengthen, and enforce laws and regulations?	<ul style="list-style-type: none"> <li>• Does the Center have the capacity and experience to review, improve, and enforce laws and regulations that protect public health through a competent advisory team? What is the composition of this team?</li> <li>• Does it use the advisory services of international agencies that specialize in health to update legislation, taking international experiences into account?</li> <li>• Does it continually evaluate and advise State, district and local body authorities in enforcement areas in order to improve their skills and operations?</li> </ul>
4	Enforcement of laws and regulations	How is the quality of enforcement of laws and regulations ensured?	<ul style="list-style-type: none"> <li>• Which department is primarily concerned with enactment of laws and enforcement of regulations relating to the following subjects: <ul style="list-style-type: none"> <li>○ Food handling and storage</li> <li>○ Water treatment</li> <li>○ Recreation facilities, restaurants</li> <li>○ Housing units</li> <li>○ Public lodging</li> <li>○ Control of animals, rodents and other vectors</li> <li>○ Solid waste disposal</li> <li>○ Immunization</li> </ul> </li> <li>• Does it have clear written guidelines on enforcement procedures?</li> <li>• Does it monitor enforcement procedures to correct abuses of authority or the failure to exercise authority?</li> <li>• Does it collaborate with States to promote compliance with health-related laws and regulations through IEC activities?</li> <li>• Does it collaborate with States to promotes compliance with health related laws and regulations through integration with other public health programs?</li> <li>• Does it act at all levels with clear and strong principles consistent with defined policy priorities when faced with pressure from influential groups and actors?</li> </ul>

**NATIONAL-LEVEL QUALITATIVE INSTRUMENT**

	<b>Indicator</b>	<b>Primary Question</b>	<b>Secondary Questions</b>
5	Support and technical assistance for States	What types of technical assistance does the Central government provide to States?	<ul style="list-style-type: none"> <li>• Does the Center provide States with model laws and regulations?</li> <li>• Does the Center provide training for States on these issues?</li> <li>• Does the Center provide States with guidelines on enforcement issues and “best practices” in this area?</li> </ul>

**9. Monitoring and Evaluation of Equitable Access to Services**

	<b>Indicator</b>	<b>Primary Question</b>	<b>Secondary Questions</b>
1	Evaluating access to services	What processes are in place to evaluate the population’s access to health services?	<ul style="list-style-type: none"> <li>• What processes—if any—are used to evaluate the population’s access to health services?</li> <li>• What sub-populations are examined specifically vis-à-vis equity of access? Income groups, gender, SC/ST, rural/urban, and/or others?</li> <li>• When barriers to access are found, is there any attempt to gather information from those affected by them? Is this a systematic, regular process? What information is collected, and how is it used?</li> <li>• How often do these evaluations lead to policy or program changes designed to improve access and equity?</li> <li>• Does the Center cooperate with other agencies—both within government and outside it (e.g. academic institutions, NGOs, community groups etc.) in monitoring the population’s access to health services?</li> </ul>
2	Advocacy and action to improve access	What measures are taken for advocacy and action to improve access?	<ul style="list-style-type: none"> <li>• Does the Center systematically inform key decision makers and the general public about important access barriers and how these can be overcome?</li> <li>• Does it build working relations with <i>other</i> organizations involved in linking people—disadvantaged groups in particular—with social and health services?</li> <li>• Does it systematically advocate for laws and regulations designed to reduce barriers to access—especially among disadvantaged groups?</li> </ul>
3	Technical assistance to States to promote	What type of technical assistance does the Center provide States for promoting equitable	<ul style="list-style-type: none"> <li>• Does the Center provide technical assistance to help States identify population groups who face barriers to access?</li> <li>• Does it provide technical assistance in finding out what these barriers are?</li> <li>• Does it provide advice and share “good practices” on how these barriers can</li> </ul>

NATIONAL-LEVEL QUALITATIVE INSTRUMENT

	Indicator	Primary Question	Secondary Questions
	equitable access to health services	access to health services?	<p>be overcome?</p> <ul style="list-style-type: none"> <li>• Does it prescribe a minimum level of personnel and services available for all individuals irrespective of gender, caste, class or income group?</li> <li>• Does it create and disseminate information materials with which States can inform the population about the availability of essential health services?</li> </ul>

**10. Assuring a Competent Public Health and Personal Health Care Workforce**

	Indicator	Primary Question	Secondary Questions
1	Description of public health work force	What are the efforts made to ensure an adequate work force?	<ul style="list-style-type: none"> <li>• Does the Center maintain an up-to-date inventory of filled and vacant positions at all levels?</li> <li>• Does the Center record the number, type, geographical distribution, wage structure, minimum education requirements, accreditation, etc. of <i>specialized</i> public health personnel?</li> <li>• Does the Center project future needs of the work force in terms of quantity and quality? Does it make arrangements to ensure an adequate work force for future demands?</li> <li>• What steps are taken to improve the career paths of current employees?</li> <li>• What proportion of budgeted positions remain unfilled? Why?</li> <li>• What are the transfer/posting, promotion, disciplinary, reward/bonus and retirement policies? How are these set? Do workers play any part in setting and revising these policies? How often are they revised?</li> <li>• What are the levels of entry into government service?</li> <li>• Among the following, what are the various steps taken to ensure an adequate and competent workforce at State and local levels? <ul style="list-style-type: none"> <li>○ Minimum educational qualifications</li> <li>○ Performance appraisals</li> <li>○ Formal performance criteria</li> <li>○ Collaboration with schools of public health to influence curriculum</li> <li>○ Continuing education program</li> <li>○ Professional development activities</li> </ul> </li> </ul>

NATIONAL-LEVEL QUALITATIVE INSTRUMENT

	Indicator	Primary Question	Secondary Questions
			<ul style="list-style-type: none"> <li>○ Licensure</li> <li>○ Review boards</li> <li>○ Disciplinary action</li> <li>○ Advocacy activities to ensure adequate resources are devoted to train health professionals and influence curriculum development?</li> </ul>
2	Improve quality of work force	What efforts are made to improve the quality of work force?	<ul style="list-style-type: none"> <li>● Does the Center ensure that public health workers and managers meet minimum educational levels required by law?</li> <li>● Does it coordinate and cooperate with educational institutions to develop public health curricula for training and degree programs?</li> <li>● Does it encourage workers and managers to participate in formal continuing education programs? Does it make provisions for them to do so?</li> <li>● Which of the following areas need improvement in staff skills or competencies:               <ul style="list-style-type: none"> <li>○ Program management</li> <li>○ Personnel management</li> <li>○ Budgeting</li> <li>○ Planning</li> <li>○ Communication skills</li> <li>○ Computer operation skills</li> <li>○ Computer network/ systems development skills</li> <li>○ Statistics / data management skills</li> <li>○ Scientific skills</li> <li>○ Clinical skills</li> <li>○ Epidemiology</li> <li>○ Other</li> </ul> </li> </ul>
3	Continuing education and graduate training in public health	Is there arrangement for continuing education and graduate training?	<ul style="list-style-type: none"> <li>● Does the Center have formal ties with academic institutions with graduate programs in public health? Does it use these ties to facilitate access to continuing education for its staff?</li> <li>● Does it credential/certify these facilities and monitor the quality of their programs on a periodic basis?</li> <li>● Does it encourage these institutions to interact with professional bodies, government institutions and the private sector to develop tailored programs</li> </ul>

**NATIONAL-LEVEL QUALITATIVE INSTRUMENT**

	<b>Indicator</b>	<b>Primary Question</b>	<b>Secondary Questions</b>
			for continuing education in public health?
4	Support for States in human resource development	What support does the Central government provide to the States?	<ul style="list-style-type: none"> <li>• Does the Center help States to prepare a comprehensive inventory of current—and required—human resources at the local level?</li> <li>• Does the Center provide States with personnel management guidelines?</li> <li>• Does it ensure availability of continuing education programs? What programs in particular?</li> <li>• Does it provide manpower development grants to the states?</li> </ul>

**11. Ensuring the Quality of Personal and Population-Based Health Services**

	<b>Indicator</b>	<b>Primary Question</b>	<b>Secondary Questions</b>
1	Defining standards and methods for evaluating the quality of services	What measures are taken by the Center to define standards and methods of evaluating service quality?	<ul style="list-style-type: none"> <li>• Does the Center define standards to evaluate the quality of health services and develop evaluation models?</li> <li>• Does it use standards and scientific instruments to measure service quality?</li> <li>• Does it periodically evaluate States’ performance using these criteria, or is this left entirely to the States themselves?</li> <li>• Are these evaluations used to improve performance?</li> <li>• Are the activities of private providers also evaluated?</li> </ul>
2	Improving user satisfaction viz. health system performance	What measures are taken to improve user satisfaction viz. health system performance?	<ul style="list-style-type: none"> <li>• Does the Center periodically conduct user satisfaction surveys? Are results from these surveys used to improve services?</li> <li>• Does the Center conduct evaluations to identify gaps between community needs/preferences and services provided?</li> </ul>
3	Technical assistance to States to ensure the quality of health services	What technical assistance and support does the Center provide to States to ensure the quality of health services?	<ul style="list-style-type: none"> <li>• Does the Center help in the evaluation of health systems performance at the State level or below?</li> <li>• Does it help in evaluation of user satisfaction with programs and services delivered locally?</li> </ul>

## 12. Environmental Health and Sanitation

	Indicator	Primary Question	Secondary Questions
1	Ensuring potable drinking water	What role does the public health department play in ensuring potable drinking water?	<ul style="list-style-type: none"> <li>• Does the public health department influence policy, planning, and implementation of drinking water schemes in urban as well as rural areas?</li> <li>• Does the public health department have a role in inspecting the quality of water and making recommendations for its improvement?</li> <li>• Are there established mechanisms for public health officials to meet and influence those involved in water supply?</li> </ul>
2	Ensuring sewerage and drainage	Does the public health department have an advisory role in sewerage and drainage activities?	<ul style="list-style-type: none"> <li>• Does the public health department influence policy, planning, and implementation of sewerage and drainage schemes in urban as well as rural areas?</li> <li>• Does the public health department have a role in inspecting the sewerage and drainage systems and making recommendations for their improvement?</li> <li>• Are there established mechanisms for public health officials to meet and influence those involved in sewerage and drainage?</li> </ul>
3	Ensuring adequate solid waste collection and disposal	Does the public health department have powers to oversee/assess the solid waste disposal activities of local bodies?	<ul style="list-style-type: none"> <li>• Does the public health department influence policy, planning, and implementation of solid waste disposal in urban as well as rural areas?</li> <li>• Does the public health department have a role in inspecting the quality of solid waste collection and disposal and making recommendations for their improvement?</li> </ul>
4	Enacting and enforcing laws that protect environmental health and sanitation	Does the health department advocate for and get involved in law-making to protect environmental health and sanitation with other departments of the government	<ul style="list-style-type: none"> <li>• How does the public health department influence other departments involved in environmental health and sanitation vis-à-vis legislation and regulation?</li> <li>• What interdepartmental forums are available for the coordination of such efforts?</li> </ul>

**NATIONAL-LEVEL QUALITATIVE INSTRUMENT**

	<b>Indicator</b>	<b>Primary Question</b>	<b>Secondary Questions</b>
5	Educating communities about environmental health and sanitation	Is the public health department involved in educating citizens about environment health and sanitation?	<ul style="list-style-type: none"> <li>• What educational efforts exist to inform the public about environmental health and sanitation issues?</li> <li>• Are these within the purview of the health department?</li> <li>• Are other departments involved; and if so, how does the health department coordinate with other departments to pool resources and reach a larger audience?</li> </ul>