

Assessment of human resources for health

Survey instruments and guide to administration



Evidence and Information for Policy
Department of Health Service Provision
World Health Organization
Geneva
2002

Assessment of human resources for health

I. Purpose

The link between health care resources and population health is not well understood. Data on resource profiles and investments in health systems are inadequate in many countries, despite the importance of such data for policy decisions. It is important for countries to understand their health systems workforce, especially the different elements of planning, production, recruitment and retention of health personnel.

This document is intended to help countries to identify appropriate human resource interventions, by making it possible to see how the current health workforce is distributed within and between public and private sectors, areas of specialization and level of care. It is proposed that a common approach be used to collect data in a number of areas, including workforce demographics and planning, staffing distribution, remuneration of health workers and skill mix. Data will be collected at the national and institutional levels, as well as from individual health care providers. This document offers guidelines for collecting quantitative and qualitative information, using similar tools and a suitable sampling frame.

II. Measurement strategies

The assessment of human resources for health involves collecting data at the national and institutional levels, as well as from health care providers. Four areas are included in this assessment:

- Regulation of health occupations
- Training institutions
- Health care facilities
- Health care providers.

Four general survey instruments are included that can be adapted to collect more in-depth information according to each country's needs. These questionnaires have been designed to collect mostly quantitative information, with multiple-choice answers for easy coding. In many areas space is also provided for collecting qualitative information.

The first instrument, regarding regulation of health occupations, is designed to compile national-level information from a variety of sources: national health and labour ministries, professional councils or associations, etc. It is expected that the questionnaire can be completed by means of one or more interviews, examination of relevant documents, or a combination of these.

The second instrument is designed to be administered in all health-related training institutions in the country. This includes schools or faculties of medicine, nursing, dentistry, pharmacy and other health professions. It is expected that the questionnaire can be completed by means of interviews and/or examination of relevant documents.

The third instrument is designed to be administered in a sample of health care facilities in the country. The sampling frame should be designed to ensure representation across various domains (facility type, urban/rural, public/private, etc.) and allow for cross-national comparability. It is expected that questionnaires be completed by means of interviews and/or examination of relevant documents in each facility.

The fourth instrument is designed to collect individual-level information from a sample of providers working in health care facilities. The sample should be designed to include representation across various domains (sex, age group, occupational category, etc.). It is expected that questionnaires be completed by means of interviews with a number of providers in each facility.

III. Sampling considerations for facility and providers surveys

a) Facilities

A primary measurement goal of the sample design for a facility survey is to be able to make an unbiased estimate of the total **number** of facilities in the country, as well as their **characteristics** and **services** provided (see Turner A et al., *Sampling manual for facility surveys*. MEASURE Evaluation Manual Series. Chapel Hill, University of North Carolina, July 2001). An essential feature of a sample design to meet monitoring and evaluation goals at a national level is to create a **list frame** for the selection of facilities. Any facility on this list will have its proper chance of inclusion in the survey sample. The total number of facilities chosen for interview, and thus the chance that a given facility will be included, will depend on a series of considerations (sector, level, district, etc.). Operationally, it will be necessary to supply to the field investigators the names, addresses and locations of the facilities selected from the list frame. So the list frame should be as complete and accurate as possible in order to assure that survey variances are acceptably low. It is important to recognise that when using a list frame, the facilities selected will be scattered geographically. This may require travel of considerable distance to each location to implement the questionnaires.

Required information to construct an unbiased sampling frame: Total number of health facilities – by sector (public/private), by level (primary, secondary, tertiary) and by geographical area (urban/rural, district/province, etc.)
--

In reality, the list frame might be missing a significant number of facilities, especially from the private sector. In order to ensure that the goals of the assessment are met, it will be necessary to create a complementary **area frame**, to capture the balance. The idea is to divide the entire country by small geographical areas (for example, census enumeration areas), and then canvass a certain number of areas for all facilities. Canvassing requires locating all facilities or service delivery points that are present in that small area unit (with the aid of maps and possibly interviews with local key informants). Again, the total number of areas chosen for canvassing will depend on a series of considerations. An advantage of using this methodology is that the area sampling frame is “clustered”, so the travel dimension will be less important (between sample areas rather than facilities).

Steps:

- Make a list of all the health care facilities: this is the list frame.
- Stratify the list appropriately—that is, put it in order by categories: public/private, urban/rural, district/province, etc.
- Draw a random selection of facilities from the list and conduct interviews in the selected facilities.
- For each selected facility, make a list of all the health care providers.
- Draw a random selection of providers from the list and conduct interviews.

- If a complete list of all the health care facilities cannot be made, a complementary sample should be drawn from an area frame. To do this, draw a list of all the geographically defined areas in the country divided into small units (e.g. census enumeration areas); stratify the list appropriately; select a sample of these areas and canvass them to identify all facilities.
- Conduct interviews in all the health care facilities within the selected areas (except those already identified in the list frame).
- Make a list of all the health care providers in those facilities.
- Draw a random selection of providers from the list and conduct interviews.

Determining the total sample size is complex, and will undoubtedly depend on budget and other constraints. One important consideration remains: the larger the sample size, the greater the precision of the results. As a rough guideline, a ***minimum sample of 205 facilities*** should be selected. With this size, the relative variance would be 15% if half of the facilities exhibited a particular attribute (and assuming clustering design effects). It may be wise to round up the number of facilities selected, say to 220 facilities, to adjust for non-response. Complete response is rarely attainable in the field.

Sample size considerations:
The minimum number of facilities sampled should be about 205. This number may be revised upward to obtain more precise estimates.

For example, suppose that the official number of health facilities in the country according to the Ministry of Health is 594, but it is known that the private sector is underrepresented in this list. A dual sampling strategy of list and area frames is thus recommended in order to better capture the range of health services being provided to the population. This procedure would involve, in a first stage, arranging the facilities in a separate list according to location/type/sector (urban public hospitals first, then other urban public facilities, then urban private hospitals, then other urban private facilities, then rural public hospitals, etc.). Next, go down the list and choose every fourth facility for inclusion in the survey. This would yield a subsample of 148 facilities.

Also suppose that, according to the Bureau of Statistics, at the time of the last census the entire country was geographically divided into 369 enumeration areas (247 rural villages and 122 urban blocks). These areas can be ordered in a list by administrative region. The characteristics of urban facilities can be very different from rural facilities, so it is suggested that the selection of areas be done separately by location. Since the average number of facilities is likely about two per enumeration area, go down the list of rural areas and choose one of every ten for canvassing; from the urban list choose one of every five. While it is impossible to know beforehand exactly how many facilities will eventually be included, the procedure is part of an overall sampling plan designed to include just over 200 facilities.

It should be noted that if a country desires more precise results, especially to better analyse rare events, it may choose to use a larger sample. For example, increasing the sample size to 461 facilities would reduce the relative variance to 10%. Greater precision is especially important to be able to disaggregate the estimates, such as for public versus private facilities.

b) Providers

The data collected from facilities will include a list of all health care staff working there. These data constitute a frame from which a sample of health care providers can be selected for interview. A minimum number of staff should be interviewed in each sampled facility. The number will depend on the size of the facility.

Sample selection:

- In small facilities—those containing 4 or fewer staff in health-related occupations—*all* providers should be interviewed.
- In medium-sized facilities—those with between 5 and 19 health workers—a *subsample of about 1 in 4* providers should be selected and interviewed.
- In larger facilities—those with 20 or more health workers—a *subsample of about 1 in 10* providers should be selected and interviewed.

Thus the total sample size of providers will be roughly three times bigger than the facility sample. For the sampling of providers working in medium and large facilities, it is recommended that the list of providers in each facility be stratified by health occupation (an ordered list of doctors, nurses, midwives, etc.) and then a systematic draw be taken in accordance with the selection rate. For example, for a facility with 30 staff working in health-related occupations, list the providers in sequence (all doctors, then all nurses, etc.), and then go down the list and choose every tenth person for interview.

It may also be preferred to consider a number of other demographic characteristics for stratification, such as in order to ensure a suitable sample of male and female providers, or of younger and older providers. For example, list first male doctors, then female doctors, then male nurses, then female nurses, etc., and then choose from the list in accordance with the selection rate.

IV. Guidelines for administering the questionnaires

The following questionnaires have been developed by the World Health Organization to compile comprehensive baseline information on human resources for health in different countries. It is important that the questionnaires be filled the same way with each respondent and in every setting, in order for the results to be comparable. Before going to the field, investigators must be familiar with the questionnaires and be thoroughly prepared as to how to administer them (extensive practice in conducting interviews will ensure that this is achieved).

The questionnaires have been written in a standard format. Anything written in standard print should be read to the respondent. Words that are underlined within questions are key words or phrases that need to be emphasized. Sometimes special instructions are written for the

interviewer that are not meant to be read aloud; these are printed in *italics*. Some questions include skip instructions; skip questions must be left blank.

Field investigators are responsible for asking questions and reviewing documentation as appropriate, recording answers and other data, and editing the questionnaires. When conducting an interview, it is important to establish a good rapport with the respondent by means of personal introduction and communicating the survey objectives. The interviewer should make sure the interview is not rushed, and that the atmosphere is comfortable and pleasant at all times. Interviews with individual providers or other informants should be conducted in private.

Different types of questions and response categories are used in the survey instruments. Many of the questions are *closed-ended questions*, that is respondents must choose among the options already provided to them. The investigator should neatly circle one number (or more if applicable). For *open-ended questions*, respondents must give the answer in their own words. In order to have reliable and unbiased data, all the respondents' answers must be noted down. The information should always be legible for others to read. It may be preferable to use a pencil for writing, so that mistakes can be easily corrected. Before leaving the site, the investigator should review each questionnaire to check that it is complete and that no questions have been omitted.

Contacts at World Health Organization Headquarters, Geneva, Switzerland

Dr Alexandre Goubarev: Fax: +41 22 791 4747; Email: goubareva@who.int

Dr Mario Dal Poz: Fax: +41 22 791 4747; Email: dalpoz@who.int

ASSESSMENT OF HUMAN RESOURCES FOR HEALTH

Regulation of health occupations



QUESTION-BY-QUESTION SPECIFICATIONS

World Health Organization 2002

Assessment of human resources for health

Guidelines for administering the questionnaire on regulation of health occupations: Question-by-question specifications

The purpose of this annex is to provide background information as to what is intended by each question in the survey on regulation of health occupations. A separate questionnaire should be filled for each health occupation (doctors, dentists, pharmacists, nurses, etc.). Questionnaires can be completed by means of one or more interviews, examination of relevant documents, or a combination of these.

Cover sheet: Identification

Health occupation:

One questionnaire should be completed for each health occupation. Definitions of the occupations may depend on the criteria or norms used in the country, though the same broad categories should be maintained. Record the name of the occupation under “other” only if an occupation does not fall within the given options.

Data sources:

Record all sources consulted in order to complete the questionnaire for this occupation. This may include personal interviews with key informants from various sectors, review of primary and secondary documents, or other sources as appropriate. Include a copy of all printed materials consulted.

Name and code of the field investigator:

The name of the investigator conducting the interview should be recorded. A pre-determined unique identifying number should be assigned to each investigator.

Total number of interviews conducted for this occupation:

Record the total number of personal interviews conducted in order to complete the questionnaire for this occupation.

Section 1: Regulatory mechanisms and bodies

This section and all subsequent sections should be completed by means of personal interviews and/or examination of relevant documents.

100. Is there a regulatory mechanism that controls requirements for working in this occupation?

We understand “regulation” as the act of controlling performance in accordance with law. Requirements for working in a health occupation can include licensing, credentialing, certification and registration; there may also be further prerequisites for engaging in the practice of the occupation in the country. If there is no regulatory mechanism for this occupation, the investigator should circle “2” for “No” and skip to question 106. If any regulatory mechanism exists, circle “1” for “Yes” and proceed to the next question.

100.a What type of body is responsible for regulating this occupation?

We would like to know whether the responsible body is governmental at any level: local, regional or national. Or is it a specific body that is separate from the government and independent of it? If it is some other type of body, please specify what type. Record all types of bodies that are responsible for regulating this occupation. If only one body administers the entire regulatory function for the occupation described by this questionnaire, please complete both questions 100.b and 100.c. If separate bodies administer parts of the regulatory function, complete as many parts of the questions as are appropriate.

100.b Description of the regulatory body

If only one body administers the regulatory function for this occupation, record the year of its creation (that is, the year when the body itself considers that it officially came into existence). Record the total number of members of the regulatory body (or bodies) and the estimated percentage of all health professionals that this membership represents (that is, the membership in the body in relation to the total number of persons actively practising the occupation in the country).

100.c What must occur in order to fulfil the regulatory requirements?

Please describe the whole process in as much detail as possible. Explain the conditions specified, such as the nature and jurisdiction of laws or regulations governing the practise of health personnel, composition and duties of regulatory boards and agencies, etc.

101. Is a license needed to practise this occupation?

We define a "license" as governmental authorisation of a person to engage in an occupation. If no license is required, the investigator should circle "2" and skip to question 102. If any licensing requirements exists, circle "1" and proceed to the next question.

101.a What type of body is responsible for licensing?

We would like to know whether the responsible body is governmental at any level: local, regional or national. Or is it a specific body that is separate from the government and independent of it? If it is some other type of body, please specify what type. Record all types of bodies that are responsible for licensing this occupation. If only one body is responsible for licensing, complete questions 101.b and 101.c. If separate bodies administer parts of the licensing function, complete as many parts of the questions as are appropriate.

101.b Description of the licensing body

If only one body administers the licensing function for this occupation, record the year of its creation (that is, the year when the body itself considers that it officially came into existence). Record the total number of persons currently licensed and the estimated percentage of all health professionals that this membership represents (that is, the number of persons licensed in relation to the total number of persons actively practising the occupation in the country).

101.c What must occur in order to obtain a license?

Please describe the whole process in as much detail as possible. Explain the conditions specified, such as requirements of periodic renewal of licensing, grounds on which licenses of health personnel can be revoked or suspended, etc.

102. Must educational or other qualifications be officially recognized in order to practise this occupation?

Here we are interested in credentialing, which means recognizing the qualifications of personnel and authorizing them to practise a health occupation. If no credentials are required, the investigator

should circle “2” and skip to question 103. If any qualification requirements exists, circle “1” and proceed to the next question.

102.a What type of body is responsible for credentialing?

We would like to know whether the responsible body is governmental at any level: local, state, regional or national. Or is it a specific body that is separate from the government and independent of it? If it is some other type of body, please specify what type. Record all types of bodies that are responsible for recognizing the credentials for this occupation. If only one body is responsible for credentialing, complete questions 102.b and 102.c. If separate bodies administer parts of the credentialing function, complete as many parts of the questions as are appropriate.

102.b Description of credentialing body

If only one body administers the credentialing function for this occupation, record the year of its creation (that is, the year when the body itself considers that it officially came into existence). Record the total number of persons currently recognized with the appropriate credentials and the estimated percentage of all health professionals that this membership represents (that is, the number of persons recognized in relation to the total number of persons actively practising the occupation in the country).

102.c What must occur in order for credentials to be recognized?

Please describe the whole process in as much detail as possible. Explain the conditions specified, such as requirements for passing examinations, continuing education, or the like.

103. Is certification needed in order to practise this occupation?

By "certification" we mean the process by which a nongovernmental agency grants recognition to an individual who has met certain requirements. If no certification is required, the investigator should circle “2” and skip to question 104. If any certification requirements exists, circle “1” and proceed to the next question.

103.a What type of body is responsible for certification?

We would like to know whether the responsible body is governmental at any level: local, regional or national. Or is it a specific body that is separate from the government and independent of it? If it is some other type of body, please specify what type. Record all types of bodies that are responsible for certification for this occupation. If only one body is responsible for certification, complete questions 103.b and 103.c. If separate bodies administer parts of the certification function, complete as many parts of the questions as are appropriate.

103.b Description of certifying body

If only one body administers the certification function for this occupation, record the year of its creation (that is, the year when the body itself considers that it officially came into existence). Record the total number of persons currently certified and the estimated percentage of all health professionals that this membership represents (that is, the number of persons certified in relation to the total number of persons actively practising the occupation in the country).

103.c What must occur in order to obtain a certificate to practise?

Please describe the whole process in as much detail as possible. Explain the conditions specified, such as requirements of periodic renewal of certification, grounds on which certifications of health personnel can be revoked or suspended, etc.

104. Must members of this occupation be officially registered in order to practise?

By "registration" we mean official recording of the names of persons who have certain qualifications to practise an occupation. If no registration is required, should circle "2" and skip to question 105. If any registration requirements exists, circle "1" and proceed to the next question.

104.a What type of body is responsible for registration?

We would like to know whether the responsible body is governmental at any level: local, state, regional or national. Or is it a specific body that is separate from the government and independent of it? If it is some other type of body, please specify what type. Record all types of bodies that are responsible for registration for this occupation. If only one body is responsible for registration, complete questions 104.b and 104.c. If separate bodies administer parts of the registration function, complete as many parts of the questions as are appropriate.

104.b Description of registering body

If only one body administers the registration function for this occupation, record the year of its creation (that is, the year when the body itself considers that it officially came into existence). Record the total number of persons currently registered and the estimated percentage of all health professionals that this membership represents (that is, the number of persons registered in relation to the total number of persons actively practising the occupation in the country).

104.c What must occur in order to be registered?

Please describe the whole process in as much detail as possible. Explain the conditions specified, such as requirements of periodic renewal of registration, grounds on which registrations of health personnel can be revoked or suspended, etc.

105. Must other requirements be fulfilled in order to practise this occupation?

These would be any requirements other than licensing, credentialing, certification or registration. For example, this could include regulatory mechanisms that govern the evaluation of performance of health personnel or periods of service to rural or underserved populations. If no other requirements are required, the investigator should circle "2" and skip to question 106. If any other requirements exist, circle "1" and proceed to the next question.

105.a What type of body is responsible for applying or maintaining other regulatory mechanisms?

We would like to know whether the responsible body is governmental at any level: local, regional or national. Or is it a specific body that is separate from the government and independent of it? If it is some other type of body, please specify what type. Record all types of bodies that are responsible for applying or maintaining other types of regulatory mechanisms for this occupation. If only one body is responsible, complete questions 105.b and 105.c. If separate bodies administer parts of the regulatory function, complete as many parts of the questions as are appropriate.

105.b Description of regulatory body

If only one body administers other parts of the regulatory function for this occupation, record the year of its creation (that is, the year when the body itself considers that it officially came into existence). Record the total number of members of the regulatory body (or bodies) and the estimated percentage of all health professionals that this membership represents (that is, the membership in the body in relation to the total number of persons actively practising the occupation in the country).

105.c What else must occur in order to be able to practise this occupation?

Please describe the whole process in as much detail as possible.

106. Are there any planned or proposed changes in legislation or regulation of this occupation?

The purpose of this question is to determine whether there are any planned changes in legislation or regulations governing the practice of health professionals. If no changes are currently being planned or proposed, circle “2” and skip to Section 2. If any such changes are being planned or proposed, circle “1” and proceed to the next question.

106.a What type of body is responsible for planning or implementing the proposed changes?

We would like to know whether the responsible body is governmental at any level: local, regional or national. Or is it a specific body that is separate from the government and independent of it? If it is some other type of body, please specify what type. Record all types of bodies that are responsible for planning and/or implementing changes in regulatory mechanisms for this occupation. If only one body is responsible, complete questions 106.b and 106.c. If separate bodies will be responsible for planning and/or implementing parts of the proposed changes, complete as many parts of the questions as are appropriate.

106.b Description of planned changes

If only one type of change is being planned or proposed to the regulatory function for this occupation, record the year of planned change (that is, the year when the responsible body considers that the change will officially come into effect). Record the total number of health professionals who will be affected by the changes as well as the estimated percentage of all health professionals that will be affected (that is, the proportion of affected personnel in relation to the total number of persons actively practising the occupation in the country).

106.c What will change in the regulation of this occupation?

Please describe the whole process in as much detail as possible. Enclose copies of any available material about planned legislation or regulatory changes.

Section 2: Professional organizations and associations

Here we are interested in organizations that bring together members of the occupation, or that represent their interests. This could include local, regional or national professional associations. We understand that there may be more than one such associative or representative organization for the occupation covered by this questionnaire; please tell us about all of them. Add more sheets if necessary.

201. Name of organization

For the first professional organization or association—and for each subsequent organization operating in the country at any level—record the organization’s full name.

201.a Type of organization

The type of organization or association should be recorded. We are interested in how the organization and its membership define the organization. For example, is it a labour union, or an occupational or professional association? If it is another type of organization, please specify what type.

201.b Description of organization

For each organization, record the year of its creation, that is, the year when the organization itself considers that it officially came into existence. Record the total number of members of the

organization and the estimated percentage of all health professionals that this membership represents (that is, the membership in the organization in relation to the total number of persons actively practising the occupation in the country).

201.c What are the functions/contributions of the organization?

Please describe the roles of the organization in as much detail as possible. Explain the nature of the role specified, such as function related to the performance of health personnel, contribution in determining ethical issues, and other.

Section 3: Labour relations

301. Do the personnel of this occupation have the right to strike?

In some countries, laws prevent some or all categories of health personnel—particularly those employed by the government—from going on strike (that is, organized refusal by employees to work until some grievance is remedied). Do those in the health occupation covered by this questionnaire have a legally protected right to strike? If this is a legal right, circle “1” and proceed to the next question. Circle “2” if there is no legally protected right and skip to question 303.

302.a Number of strike actions during the past 12 months

We are interested in labour-related actions such as strikes and other work stoppages. Please record the total number of strikes, regardless of duration, carried out by personnel working in the occupation in the last 12 months. Give the number of actions taken among public sector employees, among private sector employees, and the total number of actions taken anywhere in the country. If no strikes occurred in the last 12 months, record “0” and skip to question 303.

302.b Average strike duration (in days) in the past 12 months

Record the average number of days that were not worked per strike action among personnel in the occupation in the last 12 months. Give the estimated average strike duration among public sector employees, among private sector employees, and the overall average days per action taken anywhere in the country.

303. Number of non-strike, work-related actions during the past 12 months

Non-strike, work-related actions include "working to rule"—that is, minutely observing work-related procedures that are not normally observed and that have the effect of reducing productivity and efficiency. They also include protest marches and other demonstrations, whether within or outside the workplace. Please give the total number of such actions that happened among public sector employees, among private sector employees, and anywhere in the country in the last 12 months.

Contacts at World Health Organization Headquarters, Geneva, Switzerland

Dr Alexandre Goubarev: Fax: +41 22 791 4747; Email: goubareva@who.int

Dr Mario Dal Poz: Fax: +41 22 791 4747; Email: dalpoz@who.int

Assessment of human resources for health

SAMPLE QUESTIONNAIRE FOR REGULATION OF HEALTH OCCUPATIONS

IDENTIFICATION																																																															
Health occupation (only one per questionnaire): <table style="width: 100%; border: none;"> <tr><td>Medical doctors</td><td style="text-align: right;">1</td></tr> <tr><td>Dentists</td><td style="text-align: right;">2</td></tr> <tr><td>Pharmacists</td><td style="text-align: right;">3</td></tr> <tr><td>Nurses</td><td style="text-align: right;">4</td></tr> <tr><td>Midwives</td><td style="text-align: right;">5</td></tr> <tr><td>Optometrists and/or opticians</td><td style="text-align: right;">6</td></tr> <tr><td>Physiotherapists</td><td style="text-align: right;">7</td></tr> <tr><td>Medical assistants</td><td style="text-align: right;">8</td></tr> <tr><td>Dental assistants</td><td style="text-align: right;">9</td></tr> <tr><td>Pharmaceutical assistants</td><td style="text-align: right;">10</td></tr> <tr><td>Nursing associates and/or auxiliaries</td><td style="text-align: right;">11</td></tr> <tr><td>Midwife associates and/or auxiliaries</td><td style="text-align: right;">12</td></tr> <tr><td>Traditional and/or faith healers</td><td style="text-align: right;">13</td></tr> <tr><td>Other (specify): _____</td><td style="text-align: right;">14</td></tr> </table>	Medical doctors	1	Dentists	2	Pharmacists	3	Nurses	4	Midwives	5	Optometrists and/or opticians	6	Physiotherapists	7	Medical assistants	8	Dental assistants	9	Pharmaceutical assistants	10	Nursing associates and/or auxiliaries	11	Midwife associates and/or auxiliaries	12	Traditional and/or faith healers	13	Other (specify): _____	14	Data sources (record all sources consulted): <table style="width: 100%; border: none;"> <tr><td>Ministry of Health</td><td></td></tr> <tr><td>Personal interview(s)</td><td style="text-align: right;">1</td></tr> <tr><td>Official documentation/legislation</td><td style="text-align: right;">2</td></tr> <tr><td>Other (specify): _____</td><td style="text-align: right;">3</td></tr> <tr><td>Ministry of Labour</td><td></td></tr> <tr><td>Personal interview(s)</td><td style="text-align: right;">4</td></tr> <tr><td>Official documentation/legislation</td><td style="text-align: right;">5</td></tr> <tr><td>Other (specify): _____</td><td style="text-align: right;">6</td></tr> <tr><td>Information from other jurisdictions</td><td></td></tr> <tr><td>Provincial/state department of health</td><td style="text-align: right;">7</td></tr> <tr><td>Provincial/state department of labour</td><td style="text-align: right;">8</td></tr> <tr><td>Other (specify): _____</td><td style="text-align: right;">9</td></tr> <tr><td>Professional councils and/or associations</td><td></td></tr> <tr><td>Personal interview(s)</td><td style="text-align: right;">10</td></tr> <tr><td>Documentation/collective agreements</td><td style="text-align: right;">11</td></tr> <tr><td>Other (specify): _____</td><td style="text-align: right;">12</td></tr> <tr><td>Other (specify): _____</td><td style="text-align: right;">13</td></tr> </table>	Ministry of Health		Personal interview(s)	1	Official documentation/legislation	2	Other (specify): _____	3	Ministry of Labour		Personal interview(s)	4	Official documentation/legislation	5	Other (specify): _____	6	Information from other jurisdictions		Provincial/state department of health	7	Provincial/state department of labour	8	Other (specify): _____	9	Professional councils and/or associations		Personal interview(s)	10	Documentation/collective agreements	11	Other (specify): _____	12	Other (specify): _____	13
Medical doctors	1																																																														
Dentists	2																																																														
Pharmacists	3																																																														
Nurses	4																																																														
Midwives	5																																																														
Optometrists and/or opticians	6																																																														
Physiotherapists	7																																																														
Medical assistants	8																																																														
Dental assistants	9																																																														
Pharmaceutical assistants	10																																																														
Nursing associates and/or auxiliaries	11																																																														
Midwife associates and/or auxiliaries	12																																																														
Traditional and/or faith healers	13																																																														
Other (specify): _____	14																																																														
Ministry of Health																																																															
Personal interview(s)	1																																																														
Official documentation/legislation	2																																																														
Other (specify): _____	3																																																														
Ministry of Labour																																																															
Personal interview(s)	4																																																														
Official documentation/legislation	5																																																														
Other (specify): _____	6																																																														
Information from other jurisdictions																																																															
Provincial/state department of health	7																																																														
Provincial/state department of labour	8																																																														
Other (specify): _____	9																																																														
Professional councils and/or associations																																																															
Personal interview(s)	10																																																														
Documentation/collective agreements	11																																																														
Other (specify): _____	12																																																														
Other (specify): _____	13																																																														
Name and code of field investigator: <table style="display: inline-table; border: 1px solid black; width: 40px; height: 20px; vertical-align: middle;"></table>	Total number of interviews conducted: <table style="display: inline-table; border: 1px solid black; width: 60px; height: 20px; vertical-align: middle;"></table>																																																														

READ TO RESPONDENT(S):
 The World Health Organization and (*name of institution*) are conducting a survey on health and human resources. We would like to interview you on the practices regarding the regulation of (*health occupation*) in your country.

This survey is currently taking place in several countries around the world. I will ask you some questions about the processes for certification and other regulatory mechanisms governing (*health occupation*). The information you provide will be used to understand about the planning, training and organization of health professionals in different countries.

The information you provide is totally confidential and will not be disclosed to anyone. It will be used only for research purposes. Your participation is voluntary and you are free to refuse to answer any question or show any documents mentioned in the questionnaire. If you have any questions about this survey you may ask me or contact (*name of institution and contact details*).

Are you willing to participate in this survey?

Agreed [] Refused []

LIST ALL DATA SOURCES, attaching copies of the relevant documents (for example, statutes from labour legislation in the respective jurisdictions; collective agreements from professional councils, associations or corporations; primary or secondary documents on labour conflicts; etc.):

-

-

-

-

-

-

-

-

-

-

-

-

-

-

-

-

Sample questionnaire for regulation of health occupations

Record the following information by means of interview with one or more key informants for each occupation, examination of relevant documents, or a combination of these.

Section 1. Regulatory mechanisms and bodies

100	<p>Is there a <u>regulatory mechanism</u> that controls requirements for working in this occupation?</p> <p>Yes..... 1 <i>If "Yes", proceed to the next question.</i></p> <p>No..... 2 <i>If "No", skip to question 106.</i></p>	100.a	<p>What type of body is responsible for regulating this occupation?</p> <p>Federal government 1 Provincial/state government 2 Local government 3 Occupation-specific regulatory body 4 Other (specify): _____ 5</p>
100.b	<p>Description of regulatory body:</p> <p>i. Year of creation: _____ ii. Number of members: _____ iii. % membership in relation to total number of professionals: _____</p>	100.c	<p>What must occur in order to fulfil the regulatory requirements?</p>
101	<p>Is a <u>license</u> needed to practise this occupation?</p> <p>Yes..... 1 <i>If "Yes", proceed to the next question.</i></p> <p>No..... 2 <i>If "No", skip to question 102.</i></p>	101.a	<p>What type of body is responsible for licensing?</p> <p>Federal government 1 Provincial/state government 2 Local government 3 Occupation-specific licensing body 4 Other (specify): _____ 5</p>
101.b	<p>Description of licensing body:</p> <p>i. Year of creation: _____ ii. Number of members: _____ iii. % licensed in relation to total number of professionals: _____</p>	101.c	<p>What must occur in order to obtain a license?</p>
102	<p>Must educational or other qualifications be officially recognized in order to practise this occupation?</p> <p>Yes..... 1 <i>If "Yes", proceed to the next question.</i></p> <p>No..... 2 <i>If "No", skip to question 103.</i></p>	102.a	<p>What type of body is responsible for credentialing?</p> <p>Federal government 1 Provincial/state government 2 Local government 3 Occupation-specific credentialing body 4 Other (specify): _____ 5</p>
102.b	<p>Description of credentialing body:</p> <p>i. Year of creation: _____ ii. Number of members: _____ iii. % recognized in relation to total number of professionals: _____</p>	102.c	<p>What must occur in order for credentials to be recognized?</p>

<p>103 Is <u>certification</u> needed in order to practise this occupation?</p> <p>Yes..... 1 <i>If "Yes", proceed to the next question.</i></p> <p>No..... 2 <i>If "No", skip to question 104.</i></p>	<p>103.a What type of body is responsible for certification?</p> <p>Federal government 1 Provincial/state government 2 Local government 3 Occupation-specific certifying body 4 Other (specify): _____ 5</p>
<p>103.b Description of certifying body:</p> <p>i. Year of creation: _____ ii. Number of members: _____ iii. % certified in relation to total number of professionals: _____</p>	<p>103.c What must occur in order to obtain a certificate to practise?</p>
<p>104 Must members of this occupation be officially <u>registered</u> in order to practise?</p> <p>Yes..... 1 <i>If "Yes", proceed to the next question.</i></p> <p>No..... 2 <i>If "No", skip to question 105.</i></p>	<p>104.a What type of body is responsible for registration?</p> <p>Federal government 1 Provincial/state government 2 Local government 3 Occupation-specific registering body 4 Other (specify): _____ 5</p>
<p>104.b Description of registering body:</p> <p>i. Year of creation: _____ ii. Number of members: _____ iii. % registered in relation to total number of professionals: _____</p>	<p>104.c What must occur in order to be registered?</p>
<p>105 Must other <u>requirements</u> be fulfilled in order to practise this occupation?</p> <p>Yes..... 1 <i>If "Yes", proceed to the next question.</i></p> <p>No..... 2 <i>If "No", skip to question 106.</i></p>	<p>105.a What type of body is responsible for applying or maintaining other regulatory mechanisms?</p> <p>Federal government 1 Provincial/state government 2 Local government 3 Occupation-specific regulatory body 4 Other (specify): _____ 5</p>
<p>105.b Description of other regulatory body:</p> <p>i. Year of creation: _____ ii. Number of members: _____ iii. % membership in relation to total number of professionals: _____</p>	<p>105.c What else must occur in order to be able to practise this occupation?</p>
<p>106 Are there any planned or proposed <u>changes in legislation or regulation</u> of this occupation?</p> <p>Yes..... <i>If "Yes", proceed to the next question.</i></p> <p>No..... <i>If "No", skip to Section 2.</i></p>	<p>106.a What type of body is responsible for planning or implementing the proposed changes?</p> <p>Federal government 1 Provincial/state government 2 Local government 3 Occupation-specific regulatory body 4 Other (specify): _____ 5</p>
<p>106.b Description of planned changes:</p> <p>i. Year of proposed changes: _____ ii. Number of personnel affected: _____ iii. % personnel affected in relation to total number of professionals: _____</p>	<p>106.c What will change in the regulation of this occupation?</p>

Section 2. Professional organizations and associations	
First professional organization or association	
201 Name of organization: _____	201.a Type of organization: Labour union 1 Occupational/professional association 2 Other (specify) : _____ 3
201.b Description of organization: i. Year of creation: _____ ii. Number of members: _____ iii. % membership in relation to total number of professionals: _____	201.c What are the functions/contributions of the organization?
Second professional organization or association	
202 Name of organization: _____	202.a Type of organization: Labour union 1 Occupational/professional association 2 Other (specify) : _____ 3
202.b Description of organization: i. Year of creation: _____ ii. Number of members: _____ iii. % membership in relation to total number of professionals: _____	202.c What are the functions/contributions of the organization?
Third professional organization or association	
203 Name of organization: _____	203.a Type of organization: Labour union 1 Occupational/professional association 2 Other (specify) : _____ 3
203.b Description of organization: i. Year of creation: _____ ii. Number of members: _____ iii. % membership in relation to total number of professionals: _____	203.c What are the functions/contributions of the organization?
Fourth professional organization or association	
204 Name of organization: _____	204.a Type of organization: Labour union 1 Occupational/professional association 2 Other (specify) : _____ 3
204.b Description of organization: i. Year of creation: _____ ii. Number of members: _____ iii. % membership in relation to total number of professionals: _____	204.c What are the functions/contributions of the organization?
Fifth professional organization or association	
205 Name of organization: _____	205.a Type of organization: Labour union 1 Occupational/professional association 2 Other (specify) : _____ 3
205.b Description of organization: i. Year of creation: _____ ii. Number of members: _____ iii. % membership in relation to total number of professionals: _____	205.c What are the functions/contributions of the organization?

Section 3. Labour relations	
301	<p>Do the personnel of this occupation have the <u>right to strike</u>?</p> <p>Yes..... 1 → Proceed to the next question No..... 2 → Skip to question 303</p>
302.a	<p>Number of strike actions in the past 12 months:</p> <p>Public sector: _____ Private sector: _____ TOTAL: _____</p>
302.b	<p>Average strike duration (in days) in the past 12 months:</p> <p>Public sector: _____ Private sector: _____ TOTAL: _____</p>
303	<p>Number of non-strike, work-related actions in the past 12 months:</p> <p>Public sector: _____ Private sector: _____ TOTAL: _____</p>

Contacts at World Health Organization Headquarters, Geneva, Switzerland
Dr Alexandre Goubarev: Fax: +41 22 791 4747; Email: goubareva@who.int
Dr Mario Dal Poz: Fax: +41 22 791 4747; Email: dalpoz@who.int

ASSESSMENT OF HUMAN RESOURCES FOR HEALTH

Health training institutions



QUESTION-BY-QUESTION SPECIFICATIONS

World Health Organization 2002

Assessment of human resources for health

Guidelines for administering the questionnaire on training institutions: Question-by-question specifications

The purpose of this annex is to provide background information as to what is intended by each question in the survey on health training institutions. It is expected that the questionnaire can be completed by means of one or more interviews, examination of relevant documents, or a combination of these.

Cover sheet: Identification

The identification information on the cover sheet should be filled in as much as possible before starting the interview with the responsible person at the training institution.

Name of the school or faculty:

The full name of the school or faculty should be recorded.

School or faculty code:

A unique identifying number should be assigned to each school. This identifying number would have been pre-determined in accordance with the sampling frame.

Discipline:

Record the main discipline of the school or faculty surveyed. Write down the specific type of school under "other" if the answer does not fall within the given response options.

School operated by:

Record whether the school is operated by the government, privately (that is, by a for-profit entity), or by a religious or other non-profit organization. Write down the specific operator under "other" if the answer does not fall within the given response options.

Name of district/town:

Record the name of the district/town where the school is located.

District/town code:

A unique identifying number should be assigned to each district/town. This identifying number would have been pre-determined in accordance with the sampling frame.

Name of province/state:

Official province/state names should be used to indicate where the school is located.

Province/state code:

A unique identifying number should be assigned to each province/state. This identifying number would have been pre-determined in accordance with the sampling frame.

Name and code of the field investigator:

The name of the investigator conducting the interview should be recorded. A pre-determined unique identifying number should be assigned to each investigator.

Urban/rural:

This information is used in order to help identify the differences between urban and rural schools, and those between the capital city and the rest of the country.

Result of final interview:

Record the result of completing the training institution questionnaire at the end of the day of interview. Only one answer should be given. If the interview was partially or totally incomplete, write down the specific reason it was not completed.

Date of interview:

Record the date of interview with first the day in two digits, then the month in two digits. For example, 25 February would thus be written as "25" then "02".

Occupation of the main respondent to the training institutions questionnaire:

This refers to the occupation of the respondent at the training institution. If more than one person was interviewed to complete the questionnaire, record the occupation of the main respondent (that is, the person who provided the most information). Write down the specific occupation under "other" if the answer does not fall within the given response options.

Survey of training institutions

This section should be completed by means of one or more interviews, examination of relevant documents, or a combination of these.

101. What types of health/medical programmes are offered at this school, and how many years of full-time study are required to graduate from each programme?

This question asks about the types and duration of health/medical training programmes offered at the school. This information is important because programmes can differ greatly across disciplines as well as across countries. Include only formal training for students in a health-related field. The first degree refers to the minimum number of years of full-time schooling required in order to become a professional health care provider (physician, dentist, nurse, etc.). Record whether the school offers any programmes beyond the first degree (such as masters or doctorate level). For each programme offered, write the title of the degree (for example "medical doctor" or "registered nurse") and the number of years required for completing the programme.

102. Record the total number of students admitted to the first year of the course (first degree), for each of the last five years.

The question asks about numbers of entrants, or students admitted to the first year of the course, for each of the last five years. Record the total number of entrants by gender and nationality (that is, either national or foreign). The information should likely be compiled through documents from the school's admissions or records department. Note that questions 102 through 106 refer only to the programme leading to the obtaining of a first health/medical degree (minimum schooling required in order to become a professional health care provider).

103. Record the total number of students graduated from the first degree, for each of the last five years.

The question asks about numbers of graduates from the first degree for each of the last five years, by gender and nationality. The information should likely be compiled through documents from the

school's records department. The data collected in this and the previous question are essential in order to assess and project the supply of health workers.

104. Record the total number of students enrolled at the beginning of each year of study (first degree), and the number of students dropped out before the end of the same academic year, for each of the last five years.

This two-part question asks first about numbers of students enrolled at the beginning of the academic year for each year of study (except for the first year of study, which is the same as the number of entrants recorded in question 102). Record the numbers of students enrolled for as many years as the programme duration (that is, if the information in question 101 reveals that the programme takes four years to complete, record the number of students enrolled in each of the first four years, and leave the boxes under "fifth year" blank). If no students enrolled in a given year, write "0". Next, the question asks about the number of students who did not complete the given academic year for any reason. The information collected in this question can be used to calculate the attrition rate, or percentage of students lost during the course of studies. If no students failed to complete a given academic year, write "0".

105. What are the annual average tuition and fees for students (first degree)?

This question asks about the average annual tuition and fees for students enrolled in the first degree. Record the sum of both standard tuition and any additional fees normally charged, for the most recent academic year. Record separately the amounts for the different categories of students. Be sure to also specify the name of the currency in which the amounts are reported.

106. What is the percentage of students who receive tuition subsidies, or who do not pay at all for their tuition and fees?

This question refers to the issue of tuition subsidies for students. The aim is to know whether or not the school has a policy of tuition differentiation, and how many students benefit from subsidies. Record the percentage of students enrolled in the first degree who received at least some subsidy in the most recent academic year, and the percentage of students who paid no tuition at all. If the school does not offer any subsidies, record "0" in both spaces.

107. Does this school offer continuing education programmes for health workers who practise in the community?

This question asks whether or not the school offers continuing education programmes to physicians, nurses or other practising health care workers in the community. If this school reports offering such programmes, provide details on the nature of the programmes (for example, number of courses per year, whether the courses are offered in collaboration with other organizations, etc.).

108. Is this school subject to periodic accreditation by an external body?

This question asks whether or not the school is subject to periodic accreditation by an external body. Accreditation should be seen as a means to stimulate and guide the development of a health/medical school towards fulfilment of its social mandate through its different missions: educating physicians (or other health care personnel), supporting optimal practices, and contributing to improving the working environment in a health system. While universal values are advocated, emphasis is placed on seeing the accreditation process as a means to enhance the responsiveness and accountability of medical schools to better meet the specific needs of each society. If this school reports being subject to accreditation, provide details on the nature of this process.

Contacts at World Health Organization Headquarters, Geneva, Switzerland

Dr Alexandre Goubarev: Fax: +41 22 791 4747; Email: goubareva@who.int

Dr Mario Dal Poz: Fax: +41 22 791 4747; Email: dalpozm@who.int

Questionnaire for health training institutions

Record the following information by means of interview with one or more responsible persons at the training institution, examination of relevant documents, or a combination of these.

101 What types of health/medical programmes are offered at this school, and how many years of full-time study are required to graduate from each programme?

	<u>Offered</u>	<u>Title of degree</u>	<u>Years to complete</u>
a) First degree	█
b) Second degree	__Yes __No
c) Third degree	__Yes __No

102 Record the total number of students admitted to the first year of the course (first degree), for each of the last five years.

	Nationals			Foreigners			Total		
	Men	Women	Total	Men	Women	Total	Men	Women	Total
1997									
1998									
1999									
2000									
2001									

103 Record the total number of students graduated from the first degree, for each of the last five years.

	Nationals			Foreigners			Total		
	Men	Women	Total	Men	Women	Total	Men	Women	Total
1997									
1998									
1999									
2000									
2001									

104 Record the total number of students enrolled at the beginning of each year of study (first degree), and the number of students dropped out before the end of the same academic year, for each of the last five years.

	First	Second year		Third year		Fourth year		Fifth year	
	Dropped out	Enrolled	Dropped out	Enrolled	Dropped out	Enrolled	Dropped out	Enrolled	Dropped out
1997									
1998									
1999									
2000									
2001									

105	<p>What are the average annual <u>tuition and fees</u> for students (first degree)?</p> <p>a) For nationals who are local residents Specify currency:</p> <p>b) For nationals who are non-local residents _____</p> <p>c) For foreigners _____</p>
106	<p>What is the percentage of students who receive tuition <u>subsidies</u>, or who <u>do not pay</u> at all for their tuition and fees?</p> <p>a) % receiving some subsidy</p> <p>b) % not paying any tuition or fees</p>
107	<p>Does this school offer <u>continuing education</u> programmes for health workers who practise in the community?</p> <p><input type="checkbox"/> Yes If yes, provide details:</p> <p><input type="checkbox"/> No</p>
108	<p>Is this school subject to periodic <u>accreditation</u> by an external body?</p> <p><input type="checkbox"/> Yes If yes, provide details:</p> <p><input type="checkbox"/> No</p>

Contacts at World Health Organization Headquarters, Geneva, Switzerland
Dr Alexandre Goubarev: Fax: +41 22 791 4747; Email: goubareva@who.int
Dr Mario Dal Poz: Fax: +41 22 791 4747; Email: dalpozm@who.int

ASSESSMENT OF HUMAN RESOURCES FOR HEALTH

Health care facilities



QUESTION-BY-QUESTION SPECIFICATIONS

World Health Organization 2002

Assessment of human resources for health

Guidelines for administering the questionnaire on health care facilities: Question-by-question specifications

The purpose of this annex is to provide background information as to what is intended by each question in the facility survey. It is expected that the questionnaire be completed by means of one or more interviews with responsible person(s) in the facility, examination of relevant documents, or a combination of these.

Cover sheet: Identification

The identification information on the cover sheet should be filled in as much as possible before starting the interview with the responsible person at the health facility.

Name of the health facility:

The full name of the health facility should be recorded.

Facility code:

A unique identifying number should be assigned to each facility. This identifying number would have been pre-determined in accordance with the sampling frame.

Type of facility:

The type of health facility should be recorded. The health facility classification should rely on criteria or norms used in the country. Write down the specific type of facility under “other” if the answer does not fall within the given response options.

Facility operated by:

This question asks about the health facility operator. Identifying the type of operator is important because it can help explain features of the health care system. Record whether the facility is operated by the government, privately (that is, by a for-profit entity), by a nongovernmental organization (NGO), or by a religious or charitable organization.

Name of district/town:

The name of the district/town where the health facility is located should reflect official criteria.

District/town code:

A unique identifying number should be assigned to each district/town. This identifying number would have been pre-determined in accordance with the sampling frame.

Name of province/state:

Official province/state names should be used to indicate where the health facility is located.

Province/state code:

A unique identifying number should be assigned to each province/state. This identifying number would have been pre-determined in accordance with the sampling frame.

Name and code of the field investigator:

The name of the investigator conducting the interview should be recorded. A pre-determined unique identifying number should be assigned to each investigator.

Urban/rural:

This information is used in order to help identify the differences between urban and rural health facilities, and those between the capital city and the rest of the country.

Result of final interview:

Record the result of completing the facility questionnaire at the end of the day of interview. Only one answer should be given. If the interview was partially or totally incomplete, write down the specific reason it was not completed.

Date of interview:

Record the date of interview with first the day in two digits, then the month in two digits. For example, 25 February would thus be written as "25" then "02".

Occupation of the main respondent to the facility questionnaire:

This refers to the occupation of the respondent at the health facility. If more than one person was interviewed to complete the facility questionnaire, record the occupation of the main respondent (that is, the person who provided the most information). Write down the specific occupation under "other" if the answer does not fall within the given response options.

Number of personal interviews conducted with health professionals at this facility:

At the end of the day, record the number of interviews conducted with health professionals at this facility. The total number of individuals interviewed should reflect the pre-determined selection rate in accordance with the sampling design.

Section 1. General information

This section should be filled by means of interview with one or more responsible persons at the health facility.

101. How many day per week is this facility open to outpatients?

This question asks about the number of days per week that the health facility is open to outpatients. It provides important information on patients' access to health care. The number of days indicated should range from 0 (i.e. no outpatient care) to 7 (i.e. every day of the week).

102. How many outpatients have been seen here in the last 30 days?

The purpose of this question is to determine the total number of outpatients who have been treated at the health facility during the last 30 calendar days (regardless of how many days per week the facility is open). Only registered outpatients should be accounted for. Data on the number of outpatients, combined with data on health personnel, yields information on health personnel workload related to outpatients.

103. Does this facility receive inpatients?

This intends to assess whether or not inpatient care is delivered at the facility. If the health facility does not receive inpatients, record "no" and skip to question 105.

104. How many inpatients have been hospitalized here in the last 30 days?

This question is asked only if the health facility receives inpatients. It refers to the number of registered inpatients hospitalized at the facility in the last 30 calendar days (regardless of how many days per week the facility is open). The purpose of this question is to assess the volume of hospitalization at the health facility.

105. Does this facility have a written guide for the fees charged for the different services offered?

This refers to the facility's policy regarding fees charged to inpatients and outpatients. The purpose is to learn whether or not there is an official policy on fees. If the facility charges no fees to inpatients and outpatients, then record "does not charge any fees" and skip to question 110.

106. Does this facility usually charge the same fees from all patients for the same service?

This question refers to the issue of fee differentiation for similar services according to patients' characteristics. The aim is to know whether or not the facility has a policy of fee differentiation. If the facility usually charges the same fee from all patients for the same service, record "yes" and skip to question 108.

107. For which patients do the fees vary?

This question is asked only if the health facility charges different fees to patients for the same service. The purpose is to find out about the criteria used to differentiate fees among patients. If the respondent is not sure, prompt by reading out the options. Record all types mentioned. Write down the specific criteria under "other" if an answer does not fall within the given response options.

108. What is the average fee charged... a) per outpatient visit? b) per inpatient stay?

The aim of this question is to assess the average fees charged to patients at this facility. Record the average fee per outpatient visit and per inpatient stay (in local currency). If the facility does not receive inpatients, record "not applicable".

109. What would you say is the percentage of patients seen at your facility that might have difficulty in paying the standard fees?

This question intends to assess patients' ability to pay for health care services and accessibility of the facility to low-income groups. The answer does not have to be precise; if the respondent is unsure the interviewer should probe for an estimate.

110. What types of services are usually offered at this facility?

The purpose of this question is to determine the types of services provided at this facility. Record all the services offered. If the respondent is not sure, prompt by reading out the options. Write down the specific service under "other" if an answer does not fall within the given response options.

111. Which the health care providers who practise at this facility are required to be certified by a National Certifying Body?

The question refers to the issue of professional certification. This information can be considered a tool to monitor the quality of health services provided. Record all categories of health professionals who are required to be certified by a National Certifying Body. The interviewer should probe for all the different types of health professionals. Write down the specific profession under "other" if an answer does not fall within the given response options.

Section 2. Personnel

This section should be filled by means of interview with one or more responsible persons at the health facility. If the facility is large, it may be preferable to interview a person from the human resources department.

201. What is the number of (Full Time Equivalent) positions filled at this facility?

The question serves to identify the total number of budgeted positions at the facility. The number should be recorded in terms of Full Time Equivalent (FTE) positions, or the number of positions

for staff who would normally work full-time (a standard work week). This time can be filled either by one person or by a number of persons working part-time. So for example, a person who works full-time would be counted as one FTE, and two persons who work half-time would also be counted as one FTE. The total number should include both staff who are working at the facility on the day of interview as well as those who are temporarily absent (such as due to illness, vacation, or other short-term leave).

Record the number of positions filled for each occupational group. If an occupation is not listed, record under “other health professionals” the number of positions for staff who have received formal education and training in order to become a practising health care provider. Record under “traditional or faith healers” the number of positions for paid staff who have not received formal education but who provide health care services (such as traditional birth attendants). Record under “managerial and administrative staff” the number of positions for staff who are not in a health-related occupation (such as human resources personnel, receptionists, etc.). If a number of persons who work at the facility are not being paid, record this number under “volunteers and interns”.

202. What is the number of (Full Time Equivalent) positions that are vacant or for which the facility is recruiting?

This refers to the number of budgeted positions open and unfilled. The purpose is to assess the level of vacancies for different health occupations and to identify trends in vacancies by comparing current vacancies with those from about one year earlier. Record the number of open positions both currently (the day of the interview) and at the end of the year 2000. The number should be recorded in terms of Full Time Equivalent (FTE) positions, or the number of vacancies for staff who would normally work full-time (a standard work week). If no number has been set at the facility for budgeted positions for a particular occupational category, record “not established”.

203. What is the number of personnel that stopped working at this facility?

This refers to the number of persons who stopped working at the facility for any reason over a 12-month period. The question is asked in order to estimate staff turnover at the facility, and to possibly identify trends in the turnover rate. Record the total number who stopped working in each of the last two calendar years (regardless of the number of hours worked as a staff member).

Section 3. Listing of health care providers

This section should be filled by means of interview with one or more responsible persons at the health facility (possibly from the human resources department). It is essential that the information collected in this section be as complete as possible, as it forms the basis for the sampling frame for the providers questionnaire.

Identification of working health care providers

The name of each professional health care provider working at the facility on the day of the survey should be recorded. Record the names of all persons who have been formally educated or trained to provide health care services, even if the person’s current work activities do not involve direct patient care. Add more sheets if necessary.

301. Occupation

The main occupational category of each professional health care provider working at the facility on the day of the survey should be recorded. Record the occupation that best corresponds to the respondent’s actual work, rather than the title of the position. For example, if the respondent has a job title of “Director of staff”, but works in clinical nursing, then write “nurse”. This

information provides the first selection criterion for the sampling for the providers questionnaire.

302. Age

The age of each professional health care provider working at the facility on the day of the survey should be recorded. This question provides valuable information on workforce demographics, and may be used as a secondary selection criterion for the sampling for the providers questionnaire.

303. Sex

The sex of each professional health care provider working at the facility on the day of the survey should be recorded. This question provides valuable information on workforce demographics, and may be used as a secondary selection criterion for the sampling for the providers questionnaire.

304. Selected for interview?

Upon completion of the listing of all professional health care providers working at the facility on the day of the survey, record for each person whether or not he/she is to be included in the providers survey, in accordance with the pre-determined sampling frame.

Contacts at World Health Organization Headquarters, Geneva, Switzerland

Dr Alexandre Goubarev: Fax: +41 22 791 4747; Email: goubareva@who.int

Dr Mario Dal Poz: Fax: +41 22 791 4747; Email: dalpoz@who.int

Assessment of human resources for health

SAMPLE HEALTH CARE FACILITY QUESTIONNAIRE

IDENTIFICATION			
Name of the health facility : _____		Facility code: <input style="width: 30px; height: 20px;" type="text"/> <input style="width: 30px; height: 20px;" type="text"/> <input style="width: 30px; height: 20px;" type="text"/>	
Type of facility: Hospital 1 Health centre 2 Health clinic 3 Office 4 Mobile clinic 5 Pharmacy 6 Other (specify) : _____ 8		Facility operated by: Government 1 Private, for-profit entity 2 Nongovernmental organization 3 Charitable organization 4 Religious organization 5	
Name of district/town: _____		District/town: <input style="width: 30px; height: 20px;" type="text"/> <input style="width: 30px; height: 20px;" type="text"/> <input style="width: 30px; height: 20px;" type="text"/>	
Name of province/state: _____		Province/state code: <input style="width: 30px; height: 20px;" type="text"/> <input style="width: 30px; height: 20px;" type="text"/> <input style="width: 30px; height: 20px;" type="text"/>	
Name and code of field investigator: _____ <input style="width: 30px; height: 20px;" type="text"/> <input style="width: 30px; height: 20px;" type="text"/>		Urban/rural: Capital city 1 Other urban 2 Rural 3	
Result of final interview: Completed 1 Partially completed 2 Refused 3 Reason: _____		Date of interview: Day Month Year <input style="width: 30px; height: 20px;" type="text"/> <input style="width: 30px; height: 20px;" type="text"/> <input style="width: 30px; height: 20px;" type="text"/> <input style="width: 30px; height: 20px;" type="text"/> 2002	

Occupation of the main respondent to the facility questionnaire: Administrative/human resources personnel 1 Doctor 2 Nurse 3 Midwife 4 Auxiliary nurse/Auxiliary midwife 5 Pharmacist 6 Physiotherapist 7 Other (specify) : _____ 8	Number of personal interviews conducted with health professionals at this facility: Doctors <input style="width: 50px; height: 20px;" type="text"/> Nurses/Midwives <input style="width: 50px; height: 20px;" type="text"/> Auxiliary nurses/Auxiliary midwives <input style="width: 50px; height: 20px;" type="text"/> Pharmacists <input style="width: 50px; height: 20px;" type="text"/> Physiotherapists <input style="width: 50px; height: 20px;" type="text"/> Other <input style="width: 50px; height: 20px;" type="text"/> TOTAL <input style="width: 50px; height: 20px;" type="text"/>
---	---

READ TO RESPONDENT:

The World Health Organization and (*name of institution*) are conducting a survey on health and human resources. We would like to interview you on the services and personnel at this facility.

This survey is currently taking place in several countries around the world. I will ask you some questions about the types of services offered, numbers of health care providers, and some other general characteristics. The information you provide will be used to understand about planning and production of health professionals in different countries.

The information you provide is totally confidential and will not be disclosed to anyone. It will be used only for research purposes. Your name and the name and location of this facility will be removed from the questionnaire, and only a code will be used to connect your answers with the facility, without identifying you.

Your participation is voluntary: you are free to refuse to answer any question. If you have any questions about this survey, you may ask me or contact (*name of institution and contact details*).

Are you willing to participate in this survey?

Agreed [] Refused []

Section 1. General information			
N°	Question	Response code	Skip to
101	I would like to ask you some questions on the services and patient care provided at this health facility. How many <u>days per week</u> is this facility open to <u>outpatients</u> ? (Outpatients are those who return home the same day.)	Days. <input type="text"/> Do not know 8	
102	How many outpatients have been seen here in the <u>last 30 days</u> ?	Number. <input type="text"/> Do not know 9998	
103	Does this facility receive <u>inpatients</u> ? (That is, patients who stay here overnight or longer.)	Yes 1 No..... 2	→105
104	How many inpatients have been hospitalized here in the <u>last 30 days</u> ?	Number. <input type="text"/> Do not know 9998	
105	Does this facility have a written guide for the <u>fees</u> charged for the different services offered?	Yes 1 No..... 2 Does not charge any fees..... 3	→110
106	Does this facility usually charge the <u>same fees</u> from all patients for the same service?	Yes 1 No..... 2	→108
107	For which patients do the fees <u>vary</u> ? (CIRCLE ALL THAT APPLY)	Patients who cannot afford the fees..... 1 Patients suffering from long-standing illness .. 2 Health personnel and their dependants 3 Patients known to have insurance 4 Other (specify)..... 8	
108	a) What is the average fee charged per outpatient visit?	Fee. <input type="text"/> Do not know 9998	
	b) What is the average fee charged per inpatient stay?	Fee. <input type="text"/> Do not know 9998 Not applicable 9999	
109	What would you say is the percentage of patients seen at your facility that might have <u>difficulty in paying</u> the standard fees?	Percentage. <input type="text"/> Do not know 9998	
110	What <u>types of services</u> are usually offered at this facility? (CIRCLE ALL THAT APPLY)	Adult health/Medical surgery 1 Community health/Public health..... 2 Critical care 3 Family..... 4 Geriatric/Gerontology..... 5 Maternal/child health 6 Obstetric/Gynaecology 7 Occupational health 8 Oncology 9 Paediatric 10 Psychiatric/Mental health 11 Rehabilitation 12 Emergency care 13 Other (specify) 14 Other (specify) 15	
111	Which health care providers who practise at this facility are required to be <u>certified</u> by a National Certifying Body? (CIRCLE ALL THAT APPLY)	Doctors..... 1 Nurses 2 Midwives 3 Pharmacists 4 Physiotherapists..... 5 Other (specify)..... 8 None..... 9	

Section 2. Personnel				
I would now like to ask you some questions about the positions and personnel working at this facility.				
OCCUPATION	201. What is the number of (Full Time Equivalent) positions filled at this facility:		202. What is the number of (Full Time Equivalent) positions that are vacant or for which the facility is recruiting:	
	...as of today?	...at year-end 2000?	...as of today?	...at year-end 2000?
a) Doctors				
b) Nurses				
c) Midwives				
d) Auxiliary nurses				
e) Auxiliary midwives				
f) Pharmacists				
g) Physiotherapists				
h) Other health professionals				
i) Traditional and faith healers				
j) Managerial and administrative staff				
k) Volunteers and interns				
<i>None = 0 ; Do not know = 998 ; Not established = 999</i>				

OCCUPATION	203. What is the number of personnel who stopped working at this facility:	
	Between 1 January and 31 December 2001?	Between 1 January and 31 December 2000?
a) Doctors		
b) Nurses		
c) Midwives		
d) Auxiliary nurses		
e) Auxiliary midwives		
f) Pharmacists		
g) Physiotherapists		
h) Other health professionals		
i) Traditional and faith healers		
j) Managerial and administrative staff		
<i>None = 0; Do not know = 998</i>		

Section 3. Listing of health care providers

Could you please give me a list of all professional health care providers who are working at this facility today? I will need to know their names and occupation. I will need to interview some of them in order to gather more detailed information on the working conditions of health care providers. Remember that the information being collected is for research purposes only, and it will not be possible to identify any individual or facility from this information.

	Name	301. Occupation*	302. Age	303. Sex	304. Selected for interview?
1)				M...1 F... 2	Y...1 N... 2
2)				M...1 F... 2	Y...1 N... 2
3)				M...1 F... 2	Y...1 N... 2
4)				M...1 F... 2	Y...1 N... 2
5)				M...1 F... 2	Y...1 N... 2
6)				M...1 F... 2	Y...1 N... 2
7)				M...1 F... 2	Y...1 N... 2
8)				M...1 F... 2	Y...1 N... 2
9)				M...1 F... 2	Y...1 N... 2
10)				M...1 F... 2	Y...1 N... 2
11)				M...1 F... 2	Y...1 N... 2
12)				M...1 F... 2	Y...1 N... 2
13)				M...1 F... 2	Y...1 N... 2
14)				M...1 F... 2	Y...1 N... 2
15)				M...1 F... 2	Y...1 N... 2
16)				M...1 F... 2	Y...1 N... 2
17)				M...1 F... 2	Y...1 N... 2
18)				M...1 F... 2	Y...1 N... 2
19)				M...1 F... 2	Y...1 N... 2
20)				M...1 F... 2	Y...1 N... 2
21)				M...1 F... 2	Y...1 N... 2
22)				M...1 F... 2	Y...1 N... 2
23)				M...1 F... 2	Y...1 N... 2
24)				M...1 F... 2	Y...1 N... 2
25)				M...1 F... 2	Y...1 N... 2

* **OCCUPATIONAL CODES :** Doctor = 1 Auxiliary nurse = 4 Physiotherapist = 7
Nurse = 2 Auxiliary midwife = 5 Other health professional = 8
Midwife = 3 Pharmacist = 6

Contacts at World Health Organization Headquarters, Geneva, Switzerland

Dr Alexandre Goubarev: Fax: +41 22 791 4747; Email: goubareva@who.int

Dr Mario Dal Poz: Fax: +41 22 791 4747; Email: dalpoz@who.int

ASSESSMENT OF HUMAN RESOURCES FOR HEALTH

Health care providers



QUESTION-BY-QUESTION SPECIFICATIONS

World Health Organization 2002

Assessment of human resources for health

Guidelines for administering the questionnaire on health care providers: Question-by-question specifications

The purpose of this annex is to provide background information as to what is intended by each question in the provider survey. It is expected that questionnaires be completed by means of interview with a number of providers in each facility, in accordance with the sampling guidelines.

Cover sheet: Identification

The identification information on the cover sheet should be filled in as much as possible before starting the interview with the health care provider.

Name of the health facility:

The name of the health facility where the provider is being interviewed should be recorded.

Facility code:

A pre-determined unique identifying number should be assigned to each facility where providers are being interviewed. This code must match the identification information recorded in the facility questionnaire.

Type of facility:

The type of health facility where the provider is being interviewed should be recorded, and must match the identification information recorded in the facility questionnaire.

Facility operated by:

The operator of the facility where the provider is being interviewed should be recorded, and must match the identification information recorded in the facility questionnaire.

Name of district/town:

The name of the district/town where the health facility is located should be recorded, and must match the identification information recorded in the facility questionnaire.

District/town code:

A pre-determined unique identifying number should be assigned to each district/town where providers are being interviewed. This code must match the identification information recorded in the facility questionnaire.

Name of province/state:

The name of the province/state where the health facility is located should be recorded, and must match the identification information recorded in the facility questionnaire.

Province/state code:

A pre-determined unique identifying number should be assigned to each province/state where providers are being interviewed. This code must match the identification information recorded in the facility questionnaire.

Name and code of the field investigator:

The name of the investigator conducting the interview should be recorded. A pre-determined unique identifying number should be assigned to each investigator.

Urban/rural:

This information is recorded in order to help identify the differences between providers working in urban and rural health facilities, and between those working in the capital city and the rest of the country. The classification must match the identification information recorded in the facility questionnaire.

Result of final interview:

Record the result of completing the provider questionnaire at the end of the interview. Only one answer should be given. If the interview was not completed, specify whether the reason was because the person could not be found at the facility the day of the survey, or because the person refused to be questioned.

Date of interview:

Record the date of interview with first the day in two digits, then the month in two digits. For example, 25 February would thus be written as "25" then "02".

Name and code of respondent:

The name of the respondent should be recorded, and must match the name identified during the selection process in the facility questionnaire. A pre-determined unique identifying number should be assigned to each provider within the same health facility in accordance with the sampling frame.

Occupation of respondent:

The occupation of the respondent should be recorded, and must match the occupation identified during the selection process in the facility questionnaire.

Section 1. Work status, conditions and qualifications

The rest of the questionnaire should be filled by means of interview with each selected health care provider at the health facility.

101. How would you best describe your occupation at this facility?

We are interested in the option that best reflects the respondent's occupation. This refers to the principal position that the respondent currently occupies at the facility. Record the occupation that best corresponds to the respondent's actual work, rather than the title of the position. For example, if the respondent has a job title of "Director of staff", but works in clinical nursing, then write "nurse". There is no minimum salary or number of hours that a respondent must work at the facility in order to qualify for having an occupation. (Note that the respondents should use their own definition of "occupation" to answer this question. It is possible that in some cases the classification may differ from the occupation recorded in the identification page, which was based on information gathered in the facility questionnaire.)

102. What was the highest level of schooling you reached to become a practising health care provider?

This question refers to the highest level of education the respondent has successfully attained in a health-related programme (such as medicine, nursing, biology or other). It includes technical or

vocational training beyond primary school. Excluded are short courses (such as phlebotomy) or religious education. The level of education could have been completed at school or elsewhere (such as through private tutoring or some other form of schooling that requires taking exams in order to complete the programme).). If the respondent has completed some formal education programme but none related to the field of health, write the major field of study (such as “liberal arts” or “business”) under “other non-health” and skip to question 106. If the respondent has not completed a formal programme, record “no formal degree” and skip to question 106.

103. In what year did you reach this level?

This question is only for respondents who have completed a formal health-related educational degree. If the respondent cannot recall the year of graduation from the programme, probe “how long ago did you reach this level?” and try to estimate the year.

104. In what country did you reach this level?

This question is only for respondents who have completed a formal health-related educational degree. If the respondent was schooled in a foreign country, specify which country under “other” and skip to question 106.

105. In which school did you reach this level?

This question is only for respondents who have completed a formal health-related educational degree in the same country. Write down the name of the school where the respondent reached his/her highest level of education in a health-related programme.

106.a How many hours a week do you usually work at this facility, excluding unpaid mealtimes and on-call hours?

This question asks about the length of the regular working week at the respondent’s current work location. If the respondent is unsure what is meant by “on-call hours”, provide an explanation such as: “These are hours, such as during nights and weekends, when you must be available for duty but do not have to be physically present on the hospital ward or in a clinic or laboratory, except when patient needs require it.”

106.b Did you work on-call hours at this facility in the last 30 days? IF YES: How many hours (in the last 30 days)?

This two-part question asks about the number of on-call hours the respondent has worked during the previous month at the current work location. If the respondent reports not having worked any on-call hours in the last 30 days, record “none” and proceed to the next question. If the respondent reports having worked on-call hours, probe “how many hours?” Record the total number of on-call hours performed during the last 30 calendar days.

107. What type of work do you usually do at this facility for pay?

This refers to the activities that the respondent usually performs at the current work location for pay. To learn about different types of activities being carried out by health workers, probe “anything else?” and record all activities mentioned. If the respondent is unsure, prompt by reading out the response categories. If the respondent does not receive any payment at the current work location (or receives payment only in kind), record “not worked for pay” and skip to question 114. If the respondent works only in areas not including direct patient care, skip to question 109. If the respondent does perform patient care, proceed to question 108.

108. How many patients have you personally seen here in the last 30 days?

This question is only for respondents who provide direct patient care. The purpose of this question is to determine the patient workload among individual health care providers in the last 30 calendar days (regardless of how many days per week the facility is open). Only registered patients should be accounted for. If the respondent is unsure, probe for an estimate.

109. How would you describe the method by which you are usually paid at this facility?

The purpose of this question is to learn about the different ways in which health workers earn their income. The interviewer should record the way the respondent says he/she is normally paid. The idea is to capture the way the respondent's pay is determined most of the time. If the respondent is unsure, prompt by reading the response options. It is likely that most persons not working in direct patient care will usually be paid by means of a salary. The categories "fee-for-service" and "capitation" refer to ways health care providers may receive payment for patient consultations or services. If the respondent receives a given amount per patient (capitation), probe whether the amount is fixed for all patients or involves a combination of payment per patient consultation combined with payment for special types of services.

110. For which types of services do you usually receive extra fees?

This question is only for health care providers who normally earn their income through capitation plus fees for extra services. Include all types of services for which the respondent usually receives payment. If the respondent is unsure, prompt by reading out the categories.

111. Thinking over the past year, can you tell me what your average earnings from working at this facility have been?

By average earnings, we mean the amount of money (only monetary income, not payments in kind), whether in the form of salary or other, that the respondent has earned in the last year or so by working at this facility. It is important that the interviewer maintain a good rapport with the respondent, as some individuals may be reluctant to discuss personal financial issues. Record the amount per week, per month or per year as said by the respondent. The options "refuse" and "don't know" have been coded separately to distinguish them from any amount given.

112. In the past 12 months, have you experienced a delay in receiving your pay as scheduled from your employer?

This question is asked in order to learn whether or not the respondent experienced any delay in receiving her/his pay as contractually agreed at the current work location. If the respondent answers "no" or the answer is not applicable (for example, because the respondent is self-employed), skip to question 114.

113. How long would you say the delays have lasted, on average?

This question is only for respondents who experienced a delay in receiving their pay from their current employer as scheduled. The purpose of the question is to assess the duration, and hence seriousness, of such delay. Record the average duration in days, weeks or months, as answered by the respondent.

114. Do you receive any of the following additional benefits from working here?

The purpose of this question is to determine whether or not health workers are obtaining special benefits from their employers in addition to standard remuneration. The interviewer should read each of the types of benefits and record whether or not the respondent is normally receiving them by working at the facility.

115. Do you regularly receive any in-kind payments from patients, or extra payments for making referrals or from other sources?

This question asks about sources of monetary and non-monetary compensation that are not part of standard remuneration or benefit packages, such as in-kind payments from patients, or extra payments for making referrals, or from other sources. An answer of “yes” is appropriate if the respondent regularly receives any such types of compensation.

116. Are you currently certified to practise as a health care provider by any National Certifying Body?

The question refers to any certification requirement by a National Certifying Body, that is, the need to pass examinations or satisfy other qualifications in order to practise the occupation in that country. This information can be considered a tool to monitor the quality of health services provided. If the answer is “no”, skip to question 118.

117. Which certifying body?

This question is only for respondents who are currently certified to practise as a health care provider by a National Certifying Body. If the respondent is a member of more than one body, write down all names.

118. Are you currently a member of any professional association(s)?

The purpose of this question is to ascertain if the respondent is a member of any local, national or international professional associations. This includes organizations that bring together members of an occupation, or that represent their interests. Or, for example, this could include professional or scientific associations working in the promotion, protection or improvement of people’s health. It is not meant to include religious, cultural or other types of non-professional associations. If the answer is “no”, skip to question 120.

119. Which association(s)?

This question is only for respondents who are members of at least one professional association. If the respondent is a member of more than one professional association, write down all names.

120. In the past 12 months, have you been in any health/medical professional training or continuing education programmes?

This refers to any kind of training, research or continuing education activities related to the field of health that the respondent has undertaken during the last year. If the answer is no, skip to 122.

121. For how many days (in the last 12 months) have you been in such programmes?

This question is only for respondents who have been in health/medical professional training or continuing education programmes in the last year. The answer does not need to ascertain the exact amount of time (for example, if the respondent says he/she took a course that lasted “about three weeks”, record "21" days and go to the next question).

122. Do you have the right to strike?

The purpose of this question is to assess whether health workers have a legally protected right to strike (that is, groups of employees collectively stopping work until some complaint is satisfied), and if they are aware of their right. If the respondent reports having the right to strike, record “yes” and proceed to the next question. If the answer is no, skip to question 201.

**123. Have you gone on a labour strike at any time in the last 12 months, even for a short period?
IF YES: For how many days (in the last 12 months) did you go on strike?**

This two-part question asks about the number of strike days the respondent has gone on during the previous year. If the respondent reports not having gone on strike in the last 12 months, record “none” and skip to the next section. If the respondent reports having gone on strike at any time in the last 12 months (even if the strike occurred when the person was working at a different location than the present facility), probe “how many days?” Record the total number of strike days carried out during the last 12 calendar months.

Section 2. Secondary employment

201. In addition to your work at this facility, have you worked at another location in the last 30 days?

This question asks about work activities at places other than the current facility. The purpose is to assess the level of secondary employment among health workers. If the respondent worked at only one location in the past month, record “no” and skip to question 301.

202. How would you best describe this other place where you worked?

This question is only for respondents who also worked in another location in last 30 days. If the respondent worked at more than one other location, consider the location where the respondent spent the greater amount of time. If the respondent worked at a health facility, determine whether the place is in the public sector (run by the government) or in the private sector (including those operated by non-governmental organizations or religious associations). Write down the specific type of facility under “other” if it does not fall within the given response options (such as a military hospital or palliative care facility). If the respondent did not work at a health facility, record under “other non-health” exactly what the respondent says.

203.a How many hours a week do you usually work at this other location, excluding unpaid mealtimes and on-call hours?

This question is only for respondents who also worked at another location in last 30 days. The purpose is to determine the number of hours worked during a regular week at the respondent’s other work location.

203.b. Did you work on-call hours at this other location in the last 30 days? IF YES: How many hours (in the last 30 days)?

This question is only for respondents who also worked at another at another location in last 30 days. The two-part question first asks whether or not the respondent did any on-call hours at the other work location, and if so, asks how many on-call hours were performed during the last 30 calendar days.

204. What type of work do you usually do at this other location for pay?

This question is only for respondents who also worked at another location in last 30 days. The purpose is to determine the types of activities that the respondent usually performs at the other work location for pay. To learn about different types of activities being carried out by health workers, probe “anything else?” and record all activities mentioned. If the respondent is unsure, prompt by reading out the categories. If the respondent does not receive any payment at the second work location (or receives only payment in kind), record “not worked for pay” and skip to question 208.

205. How would you describe the method by which you are usually paid at this other location?

This question is only for respondents who also worked for pay at another location in last 30 days. Record the way the respondent says his/her pay is determined most of the time. If the respondent is unsure, prompt by reading the response options.

206. For which types of services do you usually receive extra fees?

This question is only for health workers who also worked for pay at another facility in the last 30 days and who normally earn their income through capitation plus fees for extra services. Include all types of services for which the respondent usually receives payment. If the respondent is unsure, prompt by reading out the categories.

207. What are your average earnings from working at this second location?

This question is only for respondents who also worked for pay at another location in last 30 days. Record the average income (only monetary income, not payments in kind) that the respondent has earned from working at the second location. Record the amount per week, per month or per year, as said by the respondent. The options “refuse” and “don’t know” have been coded separately to distinguish them from any amount given.

208. Do you receive any of the following additional benefits from working there?

This question is only for respondents who also worked at another location in last 30 days. The purpose is to determine whether or not the respondent obtains special benefits from working at a second location, in addition to standard remuneration. The interviewer should read each of the types of benefits and record whether or not the respondent normally receives them by working at the other location.

Section 3. Occupational mobility

301. How many years of experience do you have in practice as a health care provider?

The purpose of this question is to determine the experience of the respondent in practice as a health care provider (regardless of location or number of hours worked annually). Include only those years worked in a health-related field, and not experience in other fields. The answer does not need to ascertain the exact amount of time (for example, if the respondent says he/she has “about three and a half years of experience”, record "3" years). Record “0” if the respondent has less than one year of experience as a health care provider.

302. For how long have you been working at this facility here?

This refers to the working experience of the respondent in the current facility. Record the amount in weeks, months or years as said by the respondent. The answer does not need to ascertain the exact amount of time (for example, if the respondent says he/she has been working here for “about three and a half months”, record "3" under months). If the answer is less than 1 month (or 4 weeks), skip to question 401. Check the respondent’s total work experience as a health care provider (from question 301); if the length of experience at the present facility is the same as the total work experience, skip to question 401. If the respondent’s length of experience at the present facility is less than his/her total work experience, proceed to the next question.

303. How would you describe the last place where you worked before coming to this facility?

This question is only for respondents who had experience as a health care provider before working at the current facility. This purpose is to enable a comparison of the respondent's current and former places of work. The idea is to capture shifts in types of work locations among health workers. If the respondent was previously working at more than two locations, obtain information on the last location where the respondent worked for the longest time. If this location was a health facility, determine whether it was in the public or private sector. If the respondent's only other work location was the same as the one mentioned in the previous section on secondary employment (question 202), record "same as secondary location" and skip to question 401.

304. What type of work did you usually do at that last location for pay?

This question is only for respondents who had experience as a health care provider before working at the current facility. The purpose is to be able to capture shifts in the types of work being performed by health workers. The response should refer to the activities that the respondent usually performed at the former work location for pay. To learn about different types of activities being carried out by health workers, probe "anything else?" and record all activities mentioned. If the respondent is unsure, prompt by reading out the categories. If the respondent did not receive any payment at the former work location (or received only payment in kind), record "not worked for pay".

305. Where was your former work located?

This question is only for respondents who had experience as a health care provider before working at the current facility. The purpose is to capture migration movement by comparing the respondent's current and former work locations. If the respondent is unsure, prompt by reading out the categories. If the last work location was in a different country, write down which country.

Section 4. Sociodemographic characteristics

401. RECORD SEX AS OBSERVED

Record "male" or "female" for the respondent's sex. This information is important in the statistical interpretation of responses.

402. What is your date of birth?

Record the respondent's month and year of birth. If the respondent cannot recall the date of birth, probe "How old are you?" and estimate the year of birth.

Contacts at World Health Organization Headquarters, Geneva, Switzerland

Dr Alexandre Goubarev: Fax: +41 22 791 4747; Email: goubareva@who.int

Dr Mario Dal Poz: Fax: +41 22 791 4747; Email: dalpoz@who.int

Assessment of human resources for health

SAMPLE QUESTIONNAIRE FOR HEALTH CARE PROVIDERS

IDENTIFICATION	
Name of the health facility: _____	Facility code: <input style="width: 30px; height: 20px;" type="text"/> <input style="width: 30px; height: 20px;" type="text"/> <input style="width: 30px; height: 20px;" type="text"/>
Type of facility: Hospital 1 Health centre 2 Health clinic 3 Office 4 Mobile clinic 5 Pharmacy 6 Other (specify): _____ 8	Facility operated by: Government 1 Private, for-profit entity 2 Nongovernment organization (NGO) 3 Charitable organization 4 Religious organization 5
Name of district/town: _____	District/town code: <input style="width: 30px; height: 20px;" type="text"/> <input style="width: 30px; height: 20px;" type="text"/> <input style="width: 30px; height: 20px;" type="text"/>
Name of province/state: _____	Province/state code: <input style="width: 30px; height: 20px;" type="text"/> <input style="width: 30px; height: 20px;" type="text"/> <input style="width: 30px; height: 20px;" type="text"/>
Name and code of field investigator: _____ <input style="width: 30px; height: 20px;" type="text"/> <input style="width: 30px; height: 20px;" type="text"/>	Urban/rural: Capital city 1 Other urban 2 Rural 3
Result of final interview: Completed 1 Partially completed 2 Refused 3 Respondent not found 4	Date of interview: Day Month Year <input style="width: 30px; height: 20px;" type="text"/> <input style="width: 30px; height: 20px;" type="text"/> <input style="width: 30px; height: 20px;" type="text"/> <input style="width: 30px; height: 20px;" type="text"/> 2002
Name and code of respondent: _____ <input style="width: 30px; height: 20px;" type="text"/> <input style="width: 30px; height: 20px;" type="text"/>	Occupation of respondent: Doctor 1 Nurse 2 Midwife 3 Auxiliary nurse 4 Auxiliary midwife 5 Pharmacist 6 Physiotherapist 7 Other health professional 8

READ TO RESPONDENT:

You have been randomly selected to be part of a survey on health and human resources, and this is why we would like to interview you. This survey is conducted by the World Health Organization and is being carried out by professional interviewers from (*name of institution*). The survey is currently taking place in several countries around the world.

The interview will take approximately 15 minutes. I will ask you some questions about your work as a health care provider, including the practices and experiences at this and other facilities where you work. The information you provide will be used only to understand about the types of activities, payments and general working conditions of health workers in different countries.

The information you provide is totally confidential and will not be disclosed to anyone. It will be used only for research purposes. Your name, and the name and location of this facility, will be removed from the questionnaire, and only a code will be used to connect your answers with the facility without identifying you.

Your participation is voluntary and you are free to refuse to answer any question in the questionnaire. If you have any questions about this survey you may ask me or contact (*name of institution and contact details*).

Are you willing to participate in this survey?

Agreed [] Refused []

Section 1. Work status, conditions and qualifications			
N°	Question	Response code	Skip to
101	I would like to ask you some questions about your work as a health care provider and practices at this facility. How would you best describe your <u>occupation</u> at this facility?	Medical doctor 1 Dentist 2 Pharmacist 3 Nurse 4 Midwife 5 Optometrist or optician 6 Physiotherapist 7 Medical assistant 8 Dental assistant 9 Pharmaceutical assistant 10 Nursing associate or auxiliary 11 Midwife associate or auxiliary 12 Traditional/faith healer 13 Other (specify) 14	
102	What was the <u>highest level of schooling</u> you reached to become a practising health care provider?	Diploma 1 Associate degree 2 Baccalaureate degree 3 Master's degree 4 Doctorate 5 Other health degree (specify) 6 Other non-health (specify) 8 No formal degree 9	→106 →106
103	In what <u>year</u> did you reach this level?	Year <input type="text"/>	
104	In what <u>country</u> did you reach this level?	Country of work location 1 Other country (specify) 2	→106
105	In which <u>school</u> did you reach this level?	Name of school:	
106	a) How many <u>hours a week do you usually work</u> at this facility, excluding unpaid mealtimes and on-call hours? (On-call hours are those, such as during nights and weekends, when you must be available for duty but do not have to be physically present on the hospital ward or in a clinic or laboratory except when patient needs require it.) b) Did you work <u>on-call hours</u> at this facility in the last 30 days? <i>IF YES: How many on-call hours did you work here in the last 30 days?</i>	Hours. . . . <input type="text"/> Hours. . . . <input type="text"/> None 0	
107	What <u>type of work</u> do you usually do at this facility for pay? (CIRCLE ALL THAT APPLY)	Direct patient care 1 Consultation with agencies/professionals 2 Administration/supervision 3 Teaching 4 Research 5 Laboratory/diagnostic procedures 6 Dispensing 7 Other (specify) 8 Other (specify) 9 Not worked for pay 10	→109 →109 →109 →109 →109 →109 →109 →109 →114
108	How many <u>patients</u> have you personally seen here in the last 30 days?	Number. . . . <input type="text"/> Do not know 9998	
109	How would you describe the method by which you are usually <u>paid</u> at this facility?	Salary 1 Fee-for-service only 2 Capitation (fixed per patient) 3 Capitation plus fees for extra services 4 Other (specify) 8	→111 →111 →111 →111
110	For which types of services do you usually receive <u>extra fees</u> ? (CIRCLE ALL THAT APPLY)	Dispensed medicines 1 Other medical supplies/consumables 2 Immunizations 3 Laboratory/diagnostic procedures 4 Other (specify) 8 Other (specify) 9	

111	We are interested in knowing the average income of health workers and people trained in the health field. Such information is of value when discussing health care financing options for your country. Remember that whatever you say is confidential and will be used only for research purposes. Thinking over the past year, can you tell me what your average <u>earnings</u> from working at this facility have been? Please tell me the amount per week or per month or per year, whichever is easiest for you.	Per week _____ Per month _____ Per year _____ Refuse 9998 Don't know 9999																			
112	In the past 12 months, have you experienced a <u>delay</u> in receiving your pay as scheduled from your employer?	Yes 1 No..... 2 Not applicable 3	→114 →114																		
113	How long would you say the delays have lasted, on average? <i>(RECORD IN DAYS, WEEKS OR MONTHS AS ANSWERED)</i>	Number of days _____ Number of weeks _____ Number of months _____																			
114	Do you receive any of the following additional <u>benefits</u> from working here: <i>(READ EACH TYPE OF BENEFIT AND RECORD ALL ANSWERS)</i>	<table style="width: 100%; border: none;"> <thead> <tr> <th></th> <th style="text-align: center;">YES</th> <th style="text-align: center;">NO</th> </tr> </thead> <tbody> <tr> <td>Allowance for meals.....</td> <td style="text-align: center;">1</td> <td style="text-align: center;">2</td> </tr> <tr> <td>Allowance for housing.....</td> <td style="text-align: center;">1</td> <td style="text-align: center;">2</td> </tr> <tr> <td>Allowance for transportation.....</td> <td style="text-align: center;">1</td> <td style="text-align: center;">2</td> </tr> <tr> <td>Paid vacations.....</td> <td style="text-align: center;">1</td> <td style="text-align: center;">2</td> </tr> <tr> <td>Health care insurance/medical expenses.....</td> <td style="text-align: center;">1</td> <td style="text-align: center;">2</td> </tr> </tbody> </table>		YES	NO	Allowance for meals.....	1	2	Allowance for housing.....	1	2	Allowance for transportation.....	1	2	Paid vacations.....	1	2	Health care insurance/medical expenses.....	1	2	
	YES	NO																			
Allowance for meals.....	1	2																			
Allowance for housing.....	1	2																			
Allowance for transportation.....	1	2																			
Paid vacations.....	1	2																			
Health care insurance/medical expenses.....	1	2																			
115	Do you regularly receive any <u>in-kind payments</u> from patients, or <u>extra payments</u> for making referrals or from other sources?	Yes 1 No..... 2																			
116	Are you currently <u>certified</u> to practise as a health care provider by any National Certifying Body?	Yes 1 No..... 2	→118																		
117	Which certifying body?	Name of body:																			
118	Are you currently a member of any <u>professional association(s)</u> ?	Yes 1 No..... 2	→120																		
119	Which association(s)?	Name of association(s):																			
120	In the past 12 months, have you been in any <u>health/medical professional training</u> or <u>continuing education programmes</u> ?	Yes 1 No..... 2	→201																		
121	For how many days (in the last 12 months) have you been on such programmes?	Number of days . . . <input style="width: 150px; height: 20px;" type="text"/>																			
122	Do you have the <u>right to strike</u> ?	Yes 1 No..... 2 Don't know 3	→201 →201																		
123	Have you gone on a labour strike at any time in the last 12 months, even for a short period? <i>IF YES: For <u>how many days</u> (in the last 12 months) did you go on strike?</i>	Days. . . . <input style="width: 150px; height: 20px;" type="text"/> None 0																			

Section 2. Secondary employment			
N°	Question	Response code	Skip to
201	Now I would like to ask you some questions about your work activities at other locations. In addition to your work at this facility, have you <u>worked at another location</u> in the <u>last 30 days</u> ?	Yes 1 No 2	→301
202	How would you best describe this <u>other place</u> where you worked?	Government hospital 1 Government health centre 2 Government health post 3 Government mobile clinic 4 Other public health facility (specify) 5 Private/NGO hospital 6 Private/NGO health clinic 7 Private/NGO mobile clinic 8 Private office 9 Other private health facility (specify) 10 Pharmacy 11 Other non-health (specify) 12	
203	a) How many <u>hours a week</u> do you usually work at this other location, excluding unpaid mealtimes and on-call hours? b) Did you work <u>on-call hours</u> at this other location in the last 30 days? <i>IF YES: How many</i> on-call hours did you work there in the last 30 days?	Hours. . . . <input type="text"/> Hours. . . . <input type="text"/> None 0	
204	What <u>type of work</u> do you usually do at this other location for pay? <i>(CIRCLE ALL THAT APPLY)</i>	Direct patient care 1 Consultation with agencies/professionals 2 Administration/supervision 3 Teaching 4 Research 5 Laboratory/Diagnostic procedures 6 Dispensing 7 Other (specify) 8 Other (specify) 9 Not worked for pay 10	→208
205	How would you describe the method by which you are usually <u>paid</u> at this other location?	Salary 1 Fee-for-service only 2 Capitation (fixed per patient) 3 Capitation plus fees for extra services 4 Other (specify) 8	→207 →207 →207 →207
206	For which <u>types of services</u> do you usually receive <u>extra fees</u> there? <i>(CIRCLE ALL THAT APPLY)</i>	Dispensed medicines 1 Other medical supplies/consumables 2 Immunisations 3 Laboratory/Diagnostic procedures 4 Other (specify) 8 Other (specify) 9	
207	What are your average <u>earnings</u> from working at this second location? Please tell me the amount per week or per month or per year, whichever is easiest for you. (Remember that whatever you say is confidential and will be used only for research purposes.)	Per week _____ Per month _____ Per year _____ Refuse 9998 Don't know 9999	
208	Do you receive any of the following additional <u>benefits</u> from working there? <i>(READ EACH TYPE OF BENEFIT AND RECORD ALL ANSWERS)</i>	Allowance for meals 1 2 Allowance for housing 1 2 Allowance for transportation 1 2 Paid vacations 1 2 Health care insurance/medical expenses 1 2	

Section 3. Occupational mobility			
N°	Question	Response code	Skip to
301	I would like to ask a few questions about your work experience. How many years of <u>experience</u> do you have in practice as a health care provider?	Years. . . . <input type="text"/>	
302	For <u>how long</u> have you been working at this facility here? (RECORD IN WEEKS, MONTHS OR YEARS AS ANSWERED)	Number of weeks _____ Number of months _____ Number of years _____	If less than one month, or same as total years experience →401
303	How would you describe the <u>last place</u> where you worked before coming to this facility?	Government hospital 1 Government health centre 2 Government health post 3 Government mobile clinic 4 Other public health (specify) 5 Private/NGO hospital 6 Private/NGO health clinic 7 Private/NGO mobile clinic 8 Private office 9 Other private health (specify) 10 Pharmacy 11 Other non-health (specify) 12 Same as current secondary place 13	→401
304	What <u>type of work</u> did you usually do at that last location for pay? (CIRCLE ALL THAT APPLY)	Direct patient care 1 Consultation with agencies/professionals 2 Administration/supervision 3 Teaching 4 Research 5 Laboratory/diagnostic procedures 6 Dispensing 7 Other (specify) 8 Other (specify) 9 Not applicable/Was not paid 10	
305	Where was your former work <u>located</u> ?	In the same city/rural district 1 In a different city 2 In a different rural district 3 In another country (specify) 4	

Section 4. Sociodemographic characteristics									
N°	Question	Response code	Skip to						
401	Lastly, some additional information for use in the statistical interpretation of your responses: RECORD SEX AS OBSERVED	Male 1 Female 2							
402	What is your <u>date of birth</u> ?	Month <table border="1" style="display: inline-table; vertical-align: middle;"><tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td></tr></table> Year <table border="1" style="display: inline-table; vertical-align: middle;"><tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td></tr></table>							

Contacts at World Health Organization Headquarters, Geneva, Switzerland
Dr Alexandre Goubarev: Fax: +41 22 791 4747; Email: goubareva@who.int
Dr Mario Dal Poz: Fax: +41 22 791 4747; Email: dalpoz@who.int