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ANNEX B: QUICK GUIDE TO THE ETHIOPIA PERFORMANCE-BASED FINANCING (PBF) MANAGEMENT AND MONITORING TOOL

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Quick Guide to the Ethiopia Performance-Based Financing (PBF) Management and Monitoring Tool

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Quick Guide to the Ethiopia Performance-Based Financing (PBF) Management and Monitoring Tool

Introduction

The Ethiopia Performance-Based Financing (PBF) Management and Monitoring Tool takes key indicator data and presents them concisely so that managers can monitor progress against targets and focus attention where the need is greatest. The PBF Management and Monitoring Tool is designed to be used in conjunction with Ethiopia's Health and Management Information System (HMIS), as well as other sources of data already collected on a routine basis. By using data already captured in the HMIS and other reports, the PBF Management and Monitoring Tool avoids placing an additional data collection burden on health facility personnel, and gets key information into the hands of managers who are responsible for seeing that targets are met. The PBF Tool also calculates the applicable incentive payments for facilities that reach their targets. There are many different PBF approaches; the tool includes some illustrative scenarios to show how some of the more common approaches are applied, and the payment implications of those approaches. Note that while this tool can accommodate many PBF approaches, it will not work in every possible application. Nevertheless, the tool may be used to collect and track the service data, and users can add a payment calculation worksheet if the particular PBF approach differs from those shown here.

Background

Ethiopia is preparing to introduce performance-based financing.¹ Performance-based Financing (PBF) refers to a range of mechanisms to enhance the performance of health providers including output-based aid, performance-based financing, provider payment incentives, and incentives to households for seeking care. The central theme in all of these is that a principal entity provides a reward, conditional on the recipient undertaking a set of actions to produce a desired outcome.

Ethiopia has already made significant progress toward the introduction of PBF. They have developed an implementation manual, and many of the design and implementation steps have been planned. The PBF Management and Monitoring Tool builds on previously-developed PBF management tools to support the introduction and tracking of PBF in Ethiopia. **Even if the introduction of PBF is delayed, the PBF Management and Monitoring Tool can still be used to track key indicators, monitor the progress of a Woreda or Region and the health facilities within them, and see which facilities or health entities are on track to meet their targets and which are not.**

The authors wish to thank everyone who contributed to the development of the tool:

- Leulseged Ageze, Health Sector Financing Reform (HSFR) Project
- Susna De, Abt Associates
- Martha Kibur, Health Sector Financing Reform (HSFR) Project
- Gumachew Kussie, Federal Ministry of Health
- Ellen Pierce, Abt Associates
- Julie Urban Jaser, Abt Associates

¹ The initial plan was to introduce PBF in July 2009, but the introduction has been delayed.

- Yasmin Yusuf, Federal Ministry of Health
- Hailu Zelelew, Abt Associates

We would also like to thank the U.S. Agency for International Development for its support of this important project.

Overview

The PBF Management and Monitoring Tool consists of two Excel workbooks and this accompanying guide. One workbook is for facilities within a Woreda: Health Posts, Health Centers, and the hospital. The other workbook is for health entities within a Region: Woreda Health Offices (WorHOs) and the Regional Health Bureau (RHB).² Each of these entities has different, though sometimes overlapping, indicators for performance-based financing. After facility-specific data are entered into the tool, tables and graphs are produced automatically to highlight the best- and worst-performing facilities, as well as to show overall progress at the specified management level (for example, Woreda- or Region-wide progress). The tool makes use of **performance dashboards** to display key metrics:

- **Dashboard Overview** shows multiple measures:
 - Summary of results at facilities
 - Percentage of facilities on track to reach target, by indicator
 - A ranked list of facilities, showing top and bottom performers
 - For Health Posts and Woreda Health Offices, Top 3 and Bottom 3 facilities, ranked by number of indicators on track
 - For Health Centers, Hospitals, and Regional Health Bureaus, the full list is shown because there are five or fewer of these within each management level
 - Year-to-date (YTD) progress for entire management level (e.g., Woreda), by indicator
 - Box plots showing the range of achievement across facilities for each indicator
 - Detail by facility and indicator—for all facilities listed, which indicators are on track to achieve target by end of year and which are not
- **Dashboard Detail** shows the individual facility progress and summary results at the specified management level for each indicator:
 - Ranked list of facilities, sorted by percentage coverage for the indicator
 - Percentage progress toward target, adjusted for year-to-date (YTD)
 - Whether the facility is on track to reach its performance target
 - For Health Posts and Woredas, the Detail page shows Top 3 and Bottom 3; for other entities, all are shown
 - At the management level, aggregated results
 - Number of facilities that have already met or exceeded their target for the year
 - Number of facilities on track to meet target by end of year
 - Graph showing target and actual performance

Other worksheets in the workbooks are as follows:

- **Navigation Page** has links to other key pages in the workbook, and by clicking the link next to a description of each worksheet page, the user can “jump” to that page

² For simplicity’s sake, the user’s guide will refer to “facilities” throughout.

- **Basic Starting Data** is the worksheet where the user enters the starting month and year for tracking, the total number of each type of facility, the qualitative ranges for assessing performance (for example, if a facility reaches up to 40% of its annual target, its performance is considered “poor”), and some population-based metrics that may be useful for calculating estimated numbers of cases: average household size, TB incidence, and malaria prevalence
- **Indicator Data XYZ** (where XYZ is the type of facility—Health Post, Health Center, Hospital, WorHO, or RHB) is the set of pages where the user reviews and confirms the chosen indicators for PBF, the HMIS or other code, if applicable, an abbreviation to be used in the graphs, and the “shadow” indicators that can also be tracked
- **Facility Demographic Data** provides space for the user to enter names of all facilities, their catchment populations, and the percentage of the population for certain key sub-groups (such as children under the age of 1) to help determine target population figures
 - For any given Woreda, the tool can accommodate data from up to 25 Health Posts, 5 Health Centers, and one hospital
 - For any given Region, the tool can track data for up to 150 Woreda Health Offices and one Regional Health Bureau
- **Incentive Assumptions** is the sheet where the user defines how much weight each indicator will receive. It allows the user to choose the type of bonus scheme to be used—flat amount or a percentage of the staff salaries—and an additional facility reinvestment percentage, if applicable
- **Weighting Assumptions** is used to enter weights for high- and low-performing facilities so that the aggregate totals can be concentrated more heavily on the facilities that need the most assistance
- **Target Payments** provides sample calculations to show how quarterly incentive payments might be calculated under a target payment scheme
- **FFS Payments** provides sample calculations to show how quarterly incentive payments might be calculated if the facility receives a predefined fee for each service delivered
- **Percent Increases** provides samples of how incentive targets might be increased year to year, depending upon achievement of the target in the prior year
- **Facility List** provides a listing of all facilities tracked in the workbook (based on names entered on the **Facility Demographic Data** page) and contains links to each facility page for ease in navigating through the workbook
- **Facility Print** allows the user to click and choose one facility to print specific information: number of visits year-to-date, and graphs to show year-to-date progress
 - The HP-HC-Hospital workbook contains two such pages: **HP Print** and **HC Print**. The Hospital doesn’t have a separate data summary page because there is only one hospital per Woreda.
 - Similarly, the WorHO-RHB workbook contains a **Woreda Print** page where the user chooses a specific WorHO and can then print summary data and graphs
- **Summary All Facilities** sums the figures from each individual facility to measure aggregate performance at the specified management level (e.g., summary of all Health Posts or Health Centers within a Woreda, or summary of all WorHOs within a region)
- **Facility_XX** is the name for each facility page, numbered sequentially (where “XX” is 01, 02, 03, etc.)
 - For Health Posts, the pages are named HP_01 through HP_25 (up to 25 Health Posts per Woreda)

- For Health Centers, the pages are named HC_01 through HC_05 (up to 5 Health Centers per Woreda)
- There is one Hospital sheet, Hospital_01
- For WorHOs, the pages are named W_01 through W_150 (up to 150 WorHOs per region)
- There is one RHB data sheet, RHB_01

As mentioned earlier, there are two versions of the **PBF Management and Monitoring Tool Excel workbook**. One is called **PBF Tool HP HC Hospital.xls**; it is the file to use when aggregating data from Health Posts, Health Centers, and the hospital in a Woreda. The other, **PBF Tool Woreda Region.xls**, is the file to use when entering data for Woreda Health Offices and the Regional Health Bureau. In addition, two sample Excel workbooks have been included, one for HP-HC-Hospital and one for WorHO-RHB. Both of the sample workbooks contain fictitious data in order to show the user how the tool works, the types of graphs and tables produced automatically, etc.

Conventions used in the tool

Worksheet protection: Most worksheets in the workbook are protected to prevent formulas from being altered or erased by mistake. *If a user is required to enter or review data, those cells are shaded light blue (see sample below).*

Sample Region, Ethiopia

| | Woreda Name | Catchment population |
|---|--------------------|-----------------------------|
| 1 | Woreda 1 | 50,000 |
| 2 | Woreda 2 | 50,100 |
| 3 | Woreda 3 | 50,200 |

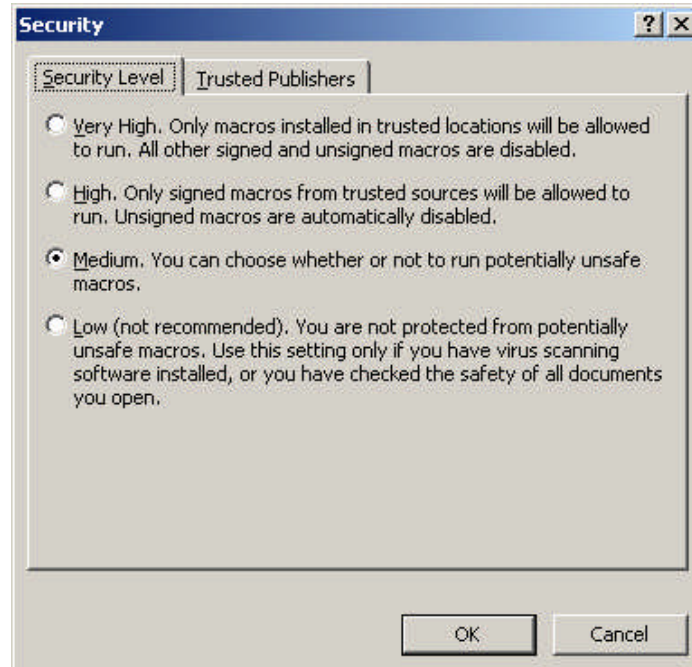
Any cells not shaded—that is, with a white background—are either text labels or formulas.

User friendliness: As much as possible, we have used plain English names for the worksheets, and have included brief instructions within the tool itself to minimize confusion and avoid data entry errors. The tool contains links to help you navigate among the pages, and formulas have been set up so that you have to enter the same data only once. For instance, the facility names are entered on the **Facility Demographic Data** page; when the facility names appear elsewhere in the workbook, the formulas link back to the **Facility Demographic Data** page so that you do not need to retype the same data over and over again.

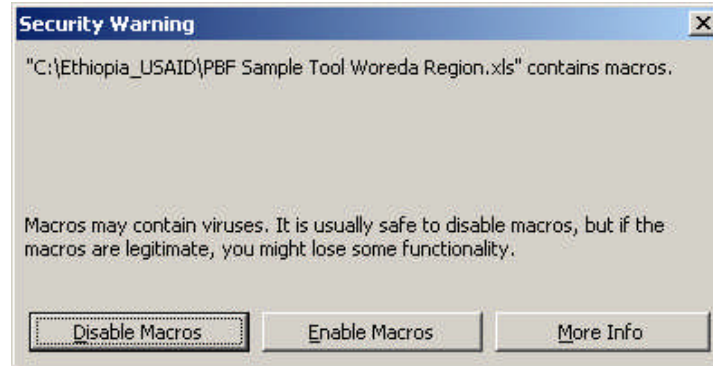
Macros: The workbook contains macro codes (e.g., the navigation button that makes it easier for you to jump to different worksheets within the workbook). You will need to have Excel macros enabled in order for the navigation buttons to work.

From the main menu, choose **Tools, Macro, Security**. Make sure that the Security Level is set to Medium. Click **OK**.

Your dialog box may look slightly different, depending on the version of Excel you are using.



When you open the workbook, you will get a message informing you that the workbook contains macros. You should choose the middle button—**Enable Macros**—if you want to use the navigation buttons.

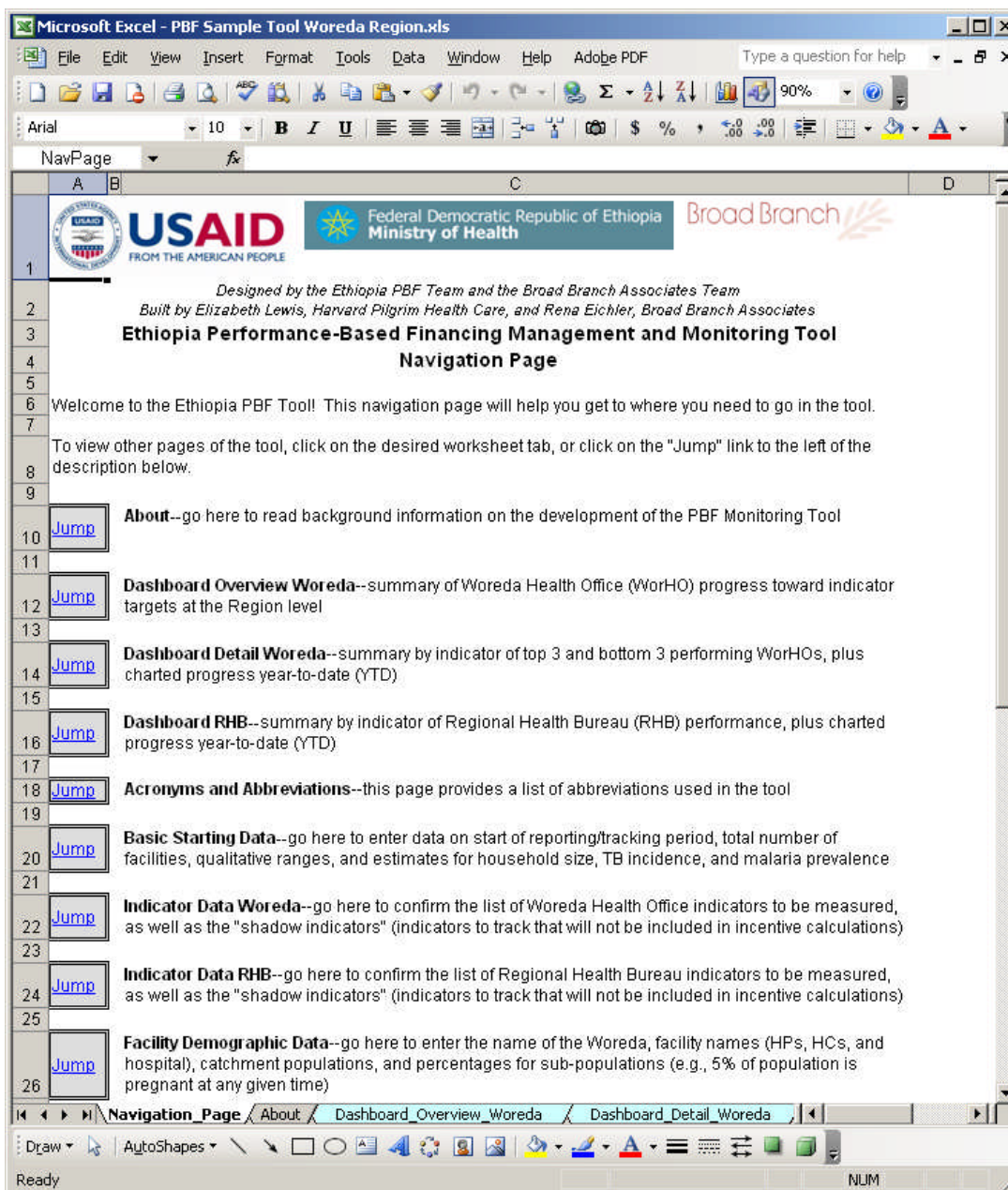


Sample data: Throughout this Quick Guide, you will see screen shots of the Excel workbook. In order to give you a better idea of how the tool appears when in use, the screen shots show you data and results from a fictitious Woreda or region. All facility and location names, as well as demographic “data” shown here, are purely the figment of the authors’ imaginations.

IMPORTANT NOTE: Do not change any of the facility worksheet names. A number of formulas refer to the worksheet names, and they will not work properly if the names are changed.

Navigating through the tool

If the workbook doesn't open to the Navigation Page (at the far left of all the worksheets), click on the **Navigation_Page** worksheet tab to get there.



Microsoft Excel - PBF Sample Tool Woreda Region.xls

File Edit View Insert Format Tools Data Window Help Adobe PDF Type a question for help

Arial 10 B I U

NavPage fx

USAID FROM THE AMERICAN PEOPLE Federal Democratic Republic of Ethiopia Ministry of Health Broad Branch

1
 2 *Designed by the Ethiopia PBF Team and the Broad Branch Associates Team*
 3 *Built by Elizabeth Lewis, Harvard Pilgrim Health Care, and Rena Eichler, Broad Branch Associates*
 4 **Ethiopia Performance-Based Financing Management and Monitoring Tool**
 5 **Navigation Page**
 6 Welcome to the Ethiopia PBF Tool! This navigation page will help you get to where you need to go in the tool.
 7
 8 To view other pages of the tool, click on the desired worksheet tab, or click on the "Jump" link to the left of the
 9 description below.
 10 [Jump](#) **About**--go here to read background information on the development of the PBF Monitoring Tool
 11
 12 [Jump](#) **Dashboard Overview Woreda**--summary of Woreda Health Office (WorHO) progress toward indicator
 13 targets at the Region level
 14 [Jump](#) **Dashboard Detail Woreda**--summary by indicator of top 3 and bottom 3 performing WorHOs, plus
 15 charted progress year-to-date (YTD)
 16 [Jump](#) **Dashboard RHB**--summary by indicator of Regional Health Bureau (RHB) performance, plus charted
 17 progress year-to-date (YTD)
 18 [Jump](#) **Acronyms and Abbreviations**--this page provides a list of abbreviations used in the tool
 19
 20 [Jump](#) **Basic Starting Data**--go here to enter data on start of reporting/tracking period, total number of
 21 facilities, qualitative ranges, and estimates for household size, TB incidence, and malaria prevalence
 22 [Jump](#) **Indicator Data Woreda**--go here to confirm the list of Woreda Health Office indicators to be measured,
 23 as well as the "shadow indicators" (indicators to track that will not be included in incentive calculations)
 24 [Jump](#) **Indicator Data RHB**--go here to confirm the list of Regional Health Bureau indicators to be measured,
 25 as well as the "shadow indicators" (indicators to track that will not be included in incentive calculations)
 26 [Jump](#) **Facility Demographic Data**--go here to enter the name of the Woreda, facility names (HPs, HCs, and
 hospital), catchment populations, and percentages for sub-populations (e.g., 5% of population is
 pregnant at any given time)

Navigation_Page About Dashboard_Overview_Woreda Dashboard_Detail_Woreda

Ready NUM

- The Navigation Page has a brief description of the other worksheets in the workbook; by clicking **Jump** to the left of each page description, you can get to that page.
- The other worksheets all have a button on them that says **Return to Navigation Page**. You can click on it to get back to the Navigation Page; you can also click on the worksheet tab name at the bottom of your screen to move from page to page.

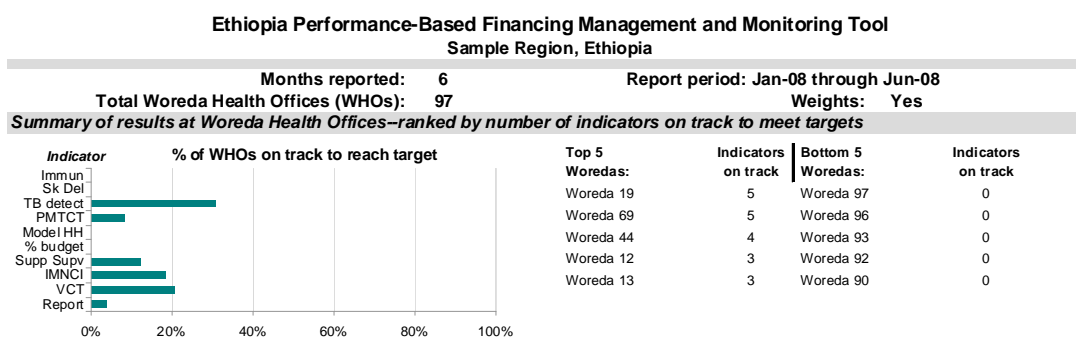
- Finally, you can use the keyboard shortcut **Ctrl-PageDown** to go to the next sheet (while holding down the **Ctrl** key, press the **PageDown** key), or **Ctrl-PageUp** to go to the previous sheet.

A quick walk through the dashboards

Dashboard Overview

The top section of the dashboard overview shows a summary of results.

- *At the very top*, you see how many months of data have been reported in a twelve month period (in this example, six months), the total number of facilities (or health offices) included in the dashboard report, whether the number of services provided has been weighted (Weights: Yes or No—in this case, weights are being used), and the report period (in this case, January to June 2008).
- *On the left*, just below the header information, you see a graph showing the percentage of facilities on track to meet their annual targets. In the sample below, roughly 31% of facilities are on track to meet targets for TB case detection, but fewer than 25% of facilities are on track to meet most of the other targets.
- *On the right*, you see the top 5 and bottom 5 facilities, based on how well each is progressing toward its targets for all of the indicators (10 in the case of Health Posts, WorHOs, and RHBs, and 11 for Health Centers and Hospitals). Two WorHOs in the sample below are on track to meet targets for five of the ten WorHO indicators, one is on track to meet four of ten targets, and the remaining two are on track to meet three targets. In contrast, none of the worst-performing facilities is on track to meet any of its targets.



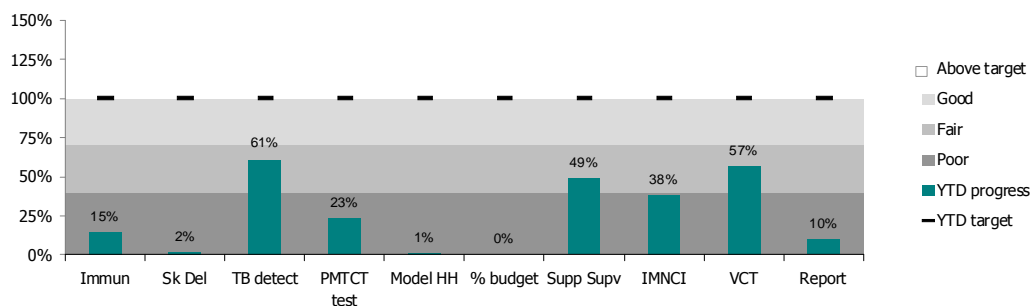
The middle section of the Dashboard Overview, shown below, displays year-to-date (YTD) progress at the management level (e.g., Woreda or region) toward reaching targets for each indicator. The type of graph used here is a “bullet graph,” and it shows many measures:

- *YTD visits* as a percentage of target visits, prorated for number of months (e.g., if the annual target is 1,000 visits and the facility has been tracking visits for six months—half the year—the health facility staff need to see roughly 500 clients in the first six months in order to achieve the annual target [$6 \text{ months}/12 \text{ months} = \frac{1}{2} = 500/1,000 \text{ visits}$]).³
- *YTD target*, which is the annual target prorated for number of months reported so far.
- *Qualitative ranges* to show poor, fair, and good performance. These ranges can be set by the user to indicate performance against the targets. In the example below, the region in the aggregate is not on track to reach any of its targets. None of the progress toward

³ This assumes an even distribution of visits, i.e., no seasonal effects. If there are strong seasonal effects, the numbers could be reinterpreted based on observed seasonal patterns.

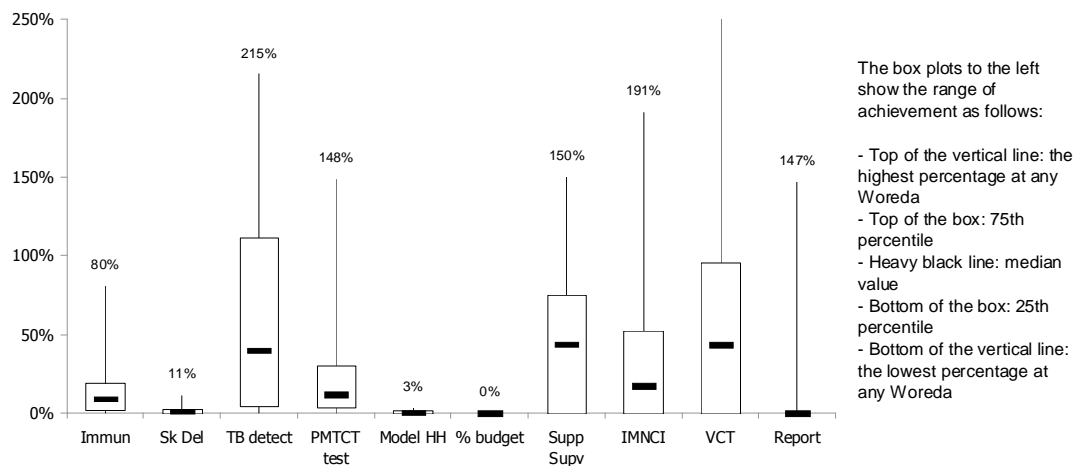
targets is in the “Good” range. Three of the 10 indicators are in the “Fair” range (between 40% and 70% of YTD target achieved); they are TB detect (61%), VCT (57%), and Supportive Supervision, abbreviated here as Supp Supv (49%). The results for the other indicators are in the “Poor” range.

Year-to-date (YTD) progress for entire Region toward reaching targets for each indicator



The lower section of the first page of the Dashboard Overview shows box plots for each indicator so that you can see the range of achievement across the facilities. The box plot shows you several important measures:

- The longer or more “stretched” the box plot, the greater the *range* of achievement. The box plot for TB detection is bigger than any of the others, showing that the range of achievement varies more widely across the WorHOs. It looks as if some WorHOs are reporting 0% detection of cases, while at least one WorHO is reporting a rate of 215%. (This means that the WorHO is reporting a higher number of cases detected than the target set.)
- Similarly, the shorter or more compressed the box is, the smaller the *range* of achievement across the facilities. For example, the range of achievement for Immunizations (Immun) is from 0% to 80% of YTD targets, with most WorHOs reporting low percentages.
- The top of the box represents the 75th percentile (that is, three-quarters of the facilities have levels of achievement that are below the percentage corresponding to the top of the box). In the case of Immunizations, 75% of the WorHOs reported full immunization rates of under 20%.
- The bottom of the box represents the 25th percentile (that is, 25% of the facilities have levels of achievement below the percentage corresponding to the bottom of the box).
- The solid black line within each box shows the median (50% of the achievement percentages are above the median, and the other 50% are below). In the Immunization example, the median achievement of the target across WorHOs is about 9%.
- The vertical lines coming out of the box show the minimum and maximum values. In some cases, the minimum value is 0%, meaning that at least one facility has not provided any of that type of service.

Range of achievement across Woredas for each indicator


The second page of the Dashboard Overview summarizes results by facility and indicator. For each facility, the table shows whether the facility is on track to meet its target or not.

Detail by Woreda and indicator--ranked by number of indicators on track to meet targets

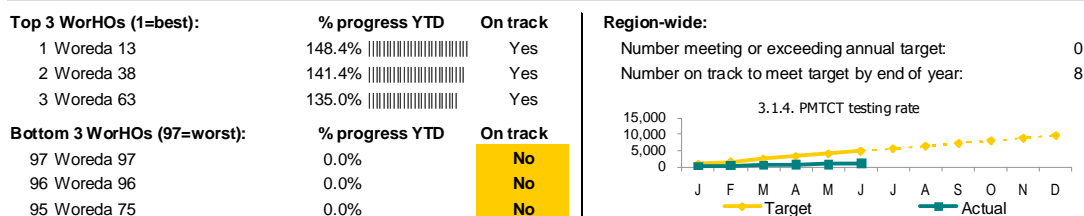
| Woreda name: | On track to achieve target? | | | | | | | | | | | TOTAL |
|--------------|-----------------------------|--------|-----------|------------|----------|----------|-----------|-------|-----|--------|---|-------|
| | Immun | Sk Del | TB detect | PMTCT test | Model HH | % budget | Supp Supv | IMNCI | VCT | Report | | |
| 1 Woreda 19 | No | No | Yes | Yes | No | No | Yes | Yes | Yes | No | 5 | |
| 2 Woreda 69 | No | No | Yes | Yes | No | No | Yes | Yes | Yes | No | 5 | |
| 3 Woreda 44 | No | No | No | Yes | No | No | Yes | Yes | Yes | No | 4 | |
| 4 Woreda 12 | No | No | Yes | No | No | No | No | Yes | Yes | No | 3 | |
| 5 Woreda 13 | No | No | Yes | Yes | No | No | No | No | Yes | No | 3 | |
| 6 Woreda 37 | No | No | Yes | No | No | No | No | Yes | Yes | No | 3 | |
| 7 Woreda 38 | No | No | Yes | Yes | No | No | No | No | No | No | 3 | |
| 8 Woreda 62 | No | No | Yes | No | No | No | No | Yes | Yes | No | 3 | |
| 9 Woreda 63 | No | No | Yes | Yes | No | No | No | No | Yes | No | 3 | |
| 10 Woreda 87 | No | No | Yes | No | No | No | No | Yes | Yes | No | 3 | |
| 11 Woreda 88 | No | No | Yes | Yes | No | No | No | No | Yes | No | 3 | |
| 12 Woreda 94 | No | No | No | Yes | No | No | Yes | No | Yes | No | 3 | |
| 13 Woreda 1 | No | No | No | No | No | No | No | No | Yes | Yes | 2 | |
| 14 Woreda 5 | No | No | No | No | No | No | Yes | No | Yes | No | 2 | |
| 15 Woreda 10 | No | No | Yes | No | No | No | No | Yes | No | No | 2 | |
| 16 Woreda 16 | No | No | Yes | No | No | No | No | Yes | No | No | 2 | |
| 17 Woreda 20 | No | No | Yes | No | No | No | No | Yes | No | No | 2 | |
| 18 Woreda 26 | No | No | No | No | No | No | No | No | Yes | Yes | 2 | |
| 19 Woreda 30 | No | No | No | No | No | No | Yes | No | Yes | No | 2 | |
| 20 Woreda 35 | No | No | Yes | No | No | No | No | Yes | No | No | 2 | |
| 21 Woreda 41 | No | No | Yes | No | No | No | No | Yes | No | No | 1 | |
| 22 Woreda 45 | No | No | Yes | No | No | No | No | Yes | No | No | 1 | |
| 23 Woreda 51 | No | No | No | No | No | No | No | No | Yes | Yes | 0 | |

Dashboard Detail

The Dashboard Detail page presents key metrics for each of the 10 or 11 indicators, depending on facility and management level.

- *On the left*, you see a table showing the top 3 and bottom 3 facilities for the indicator in question, showing the YTD percentage of the measure as compared to the target, as well as whether the facility is on track to meet its target for the year. In the example below, the top 3 WorHOs are on track to meet their annual targets, but the bottom 3 are not.
 - Note that in the case of Health Centers, there is no top/bottom display; all facilities are shown in order of YTD progress, since there are at most 5 Health Centers per Woreda.
- *On the right*, you see key metrics for the entire management level (in this example, the region): number of facilities that have already met their annual target, and number on track to meet their annual target. Below the table, the graph shows YTD progress toward the target. In the example below, for the entire region, 8 of the 97 WorHOs are on track to meet their annual targets, but overall progress year-to-date appears to be lagging well behind what it was estimated to be.

3.1.4. PMTCT testing rate



- Remember that there is a Dashboard Detail page for **each** of the following:
 - Health Post (HP)
 - Health Center (HC)
 - Woreda Health Office (WorHO)
- For the hospital and RHB, there is just one combined dashboard page.

Entering data into the tool

When managers at the management level receive service delivery data (for example, HMIS forms or other reports) from the facilities, the quantities of selected services provided can be entered into the tool. The steps below will guide you through the data entry process.

Basic Starting Data

- In cell B4, click and choose the starting month—the month in which tracking begins. This is when the program begins; it does not need to correspond to a calendar year or calendar quarter. Once you enter the month and year, the tool will automatically fill in data tracking columns that correspond to the 12-month period beginning with the month and year that you select.
- In cell B5, type the starting year (e.g., 2008).
- Starting in cell B9, enter the total number of facilities or entities in the management area (in the example below, there are 97 Woreda Health Offices in the region). Based on information provided during the design process, the tool can accommodate up to the following numbers of facilities:
 - 25 Health Posts per Woreda
 - 5 Health Centers per Woreda
 - 1 hospital per Woreda
 - 150 WorHOs per region
 - 1 RHB per region
- In the next section, enter the percentages for the qualitative ranges (e.g., if a facility achieves up to 40% of its target, that level of performance is considered Poor)
- Next, enter average household size. If the number of households in a catchment area is not readily available, this figure can be used to estimate the denominator for indicators such as latrine and ITN use.
- Similarly, you can enter figures for TB incidence and malaria prevalence to get rough estimates of total number of expected cases.

Starting Data

Starting month:

January (click and choose month in which tracking begins)

Starting year:

2008 (enter as yyyy, for example 2009)

Jan-08

Total number of Woredas in Region:

Woreda

97 (enter number between 1 and 150)

RHB

1

Qualitative ranges for performance against targets:

| Poor | Fair | Good | Above target |
|------|------|------|--------------|
| 40% | 70% | 100% | 200% |

Average household size:

4.7 (enter average number of family members per household in this Woreda)

Tuberculosis (TB) incidence (new cases per 100,000 population):

378 Source: http://apps.who.int/globalatlas/predefinedreports/tb/PDF_Files/eth.pdf

Malaria prevalence (suspected cases per 1,000 population):

555 Source: <http://apps.who.int/malaria/wmr2008/MAL2008-CountryProfiles/MAL2008-Ethiopia-EN.pdf>

Indicator Data

First, review and modify if necessary a description of the chosen indicators (and corresponding HMIS codes, if applicable) on the appropriate **Indicator Data** page. Once they are entered, the other worksheets in the tool that refer to them will link back to this page so that you will not have to enter them again.

- Each version of the tool has an **Indicator Data** page for the facilities/entities within that management level. This is because the indicators for each type of facility are different, although there is overlap in some cases.
 - The HP-HC-Hospital version of the tool has the following:
 - Indicator Data HP
 - Indicator Data HC
 - Indicator Data Hospital
 - The WorHO-RHB version of the tool has the following:
 - Indicator Data Woreda
 - Indicator Data RHB

Recall that you can get to the relevant **Indicator Data** page by clicking on the “Jump” link on the Navigation Page, or by clicking on the worksheet tab name to activate the **Indicator Data** page in the tool. A sample is shown below.

Indicator data for Woreda Health Offices (WorHOs)

Enter the Woreda indicators to be measured on this worksheet. The codes shown below are from the "Indicators for Performance Based Contracting" document (*Indicators G.final.doc*). HMIS codes for the data elements appear on the individual Woreda data entry pages to help guide the process.

| Service: | Code | Abbrev. |
|--|--------|------------|
| Full immunization | 3.1.1. | Immun |
| Skilled delivery coverage | 3.1.2. | Sk Del |
| TB case detection rate | 3.1.3. | TB detect |
| PMTCT testing rate | 3.1.4. | PMTCT test |
| Model household graduated | 3.1.5. | Model HH |
| Percentage of health budget utilized | 4.1. | % budget |
| Supportive supervision provided | 4.2. | Supp Supv |
| IMNCI implementation (disaggregated by facility type) | 4.3. | IMNCI |
| Number of health facilities that provide VCT service | 4.4. | VCT |
| Timely submission of routine health and administrative reports | 4.5. | Report |

Each **Indicator Data** page also has a section to enter the shadow indicators. These are indicators that the management level may want to track, but that will not be factored in when calculating pay for performance. A sample is shown below.

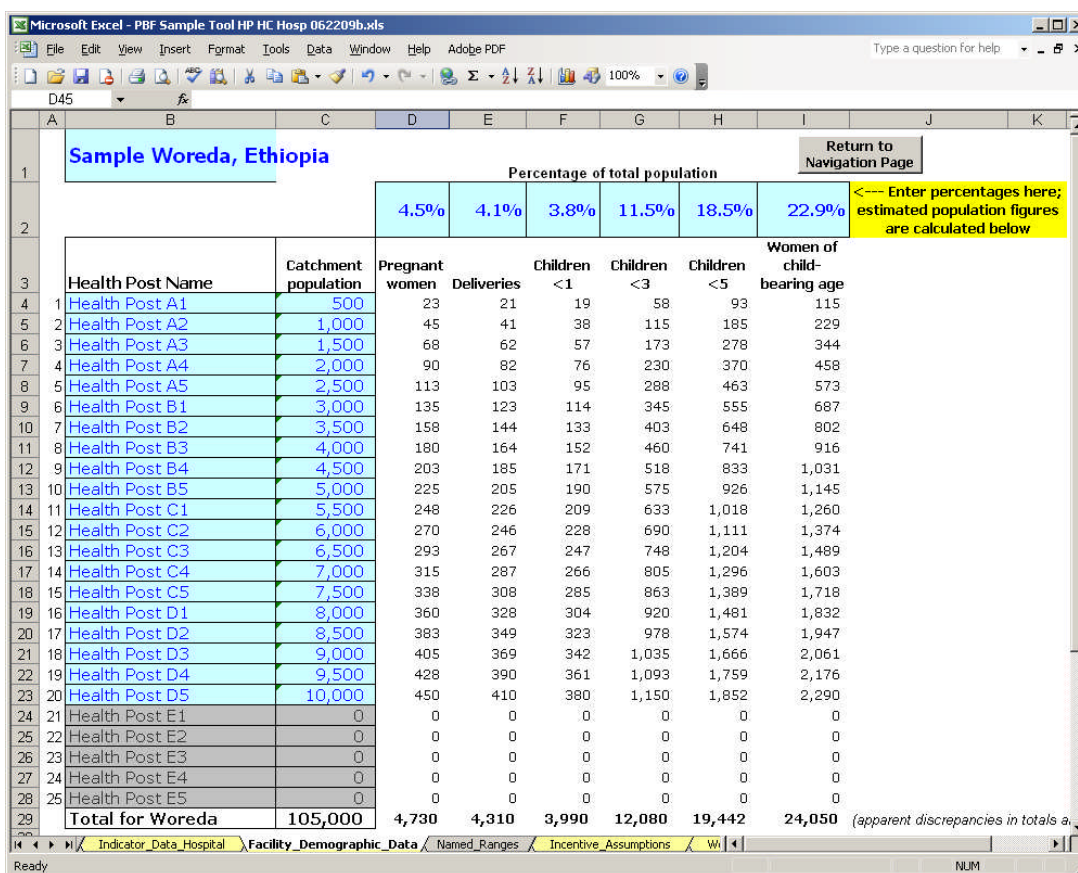
| Shadow indicators (tracked, but not included in incentive calculations): | Code | Abbrev. |
|---|-------------|----------------|
| Woreda Shadow indicator 1 | S.3.1. | Wor-S1 |
| Woreda Shadow indicator 2 | S.3.2. | Wor-S2 |
| Woreda Shadow indicator 3 | S.3.3. | Wor-S3 |
| Woreda Shadow indicator 4 | S.3.4. | Wor-S4 |
| Woreda Shadow indicator 5 | S.3.5. | Wor-S5 |
| Woreda Shadow indicator 6 | S.3.6. | Wor-S6 |
| Woreda Shadow indicator 7 | S.3.7. | Wor-S7 |
| Woreda Shadow indicator 8 | S.3.8. | Wor-S8 |
| Woreda Shadow indicator 9 | S.3.9. | Wor-S9 |
| Woreda Shadow indicator 10 | S.3.10. | Wor-S10 |

Remember that you can click on the “Return to Navigation Page” button to get back to the Navigation Page.

Facility Demographic Data

The next step is to enter the facility names (for up to the maximum number of facilities, depending on how many there are in your management area), estimated population counts, and percentages for key sub-groups of the population shown on the **Facility Demographic Data** page. Once these figures are entered, they do not need to be adjusted unless new population figures become available. **Note that these figures can be taken from the annual service delivery reports (if available).** If a copy of the annual service delivery report is not available, you can start with national or regional estimates and then update the figures when you have more accurate data.

The percentages on this page refer to percentages of the total population in the catchment area that meet certain criteria (e.g., pregnant women; children under 1 year of age; children under 5). The groups chosen are often targeted for key health interventions because they are considered to be among the most vulnerable or at risk. Your indicators may or may not pertain to these sub-populations.



| Sample Woreda, Ethiopia | | Percentage of total population | | | | | |
|-------------------------|----------------------|---|--------------|--------------|---------------|---------------|----------------------------|
| | | 4.5% | 4.1% | 3.8% | 11.5% | 18.5% | 22.9% |
| | | --- Enter percentages here; estimated population figures are calculated below | | | | | |
| Health Post Name | Catchment population | Pregnant women | Deliveries | Children <1 | Children <3 | Children <5 | Women of child-bearing age |
| 1 Health Post A1 | 500 | 23 | 21 | 19 | 58 | 93 | 115 |
| 2 Health Post A2 | 1,000 | 45 | 41 | 38 | 115 | 185 | 229 |
| 3 Health Post A3 | 1,500 | 68 | 62 | 57 | 173 | 278 | 344 |
| 4 Health Post A4 | 2,000 | 90 | 82 | 76 | 230 | 370 | 458 |
| 5 Health Post A5 | 2,500 | 113 | 103 | 95 | 288 | 463 | 573 |
| 6 Health Post B1 | 3,000 | 135 | 123 | 114 | 345 | 555 | 687 |
| 7 Health Post B2 | 3,500 | 158 | 144 | 133 | 403 | 648 | 802 |
| 8 Health Post B3 | 4,000 | 180 | 164 | 152 | 460 | 741 | 916 |
| 9 Health Post B4 | 4,500 | 203 | 185 | 171 | 518 | 833 | 1,031 |
| 10 Health Post B5 | 5,000 | 225 | 205 | 190 | 575 | 926 | 1,145 |
| 11 Health Post C1 | 5,500 | 248 | 226 | 209 | 633 | 1,018 | 1,260 |
| 12 Health Post C2 | 6,000 | 270 | 246 | 228 | 690 | 1,111 | 1,374 |
| 13 Health Post C3 | 6,500 | 293 | 267 | 247 | 748 | 1,204 | 1,489 |
| 14 Health Post C4 | 7,000 | 315 | 287 | 266 | 805 | 1,296 | 1,603 |
| 15 Health Post C5 | 7,500 | 338 | 308 | 285 | 863 | 1,389 | 1,718 |
| 16 Health Post D1 | 8,000 | 360 | 328 | 304 | 920 | 1,481 | 1,832 |
| 17 Health Post D2 | 8,500 | 383 | 349 | 323 | 978 | 1,574 | 1,947 |
| 18 Health Post D3 | 9,000 | 405 | 369 | 342 | 1,035 | 1,666 | 2,061 |
| 19 Health Post D4 | 9,500 | 428 | 390 | 361 | 1,093 | 1,759 | 2,176 |
| 20 Health Post D5 | 10,000 | 450 | 410 | 380 | 1,150 | 1,852 | 2,290 |
| 21 Health Post E1 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 22 Health Post E2 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 23 Health Post E3 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 24 Health Post E4 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 25 Health Post E5 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Total for Woreda | 105,000 | 4,730 | 4,310 | 3,990 | 12,080 | 19,442 | 24,050 |

In the example above, note that the data entry cells for Health Posts 21-25 are shaded gray. This is because the sample workbook shows a Woreda with only 20 Health Posts, and the tool already “knows” this because the user entered the data on the **Basic Starting Data** worksheet. Subsequent rows are shaded gray to show the user that s/he does not need to enter any more HP data after the 20th HP on the list.

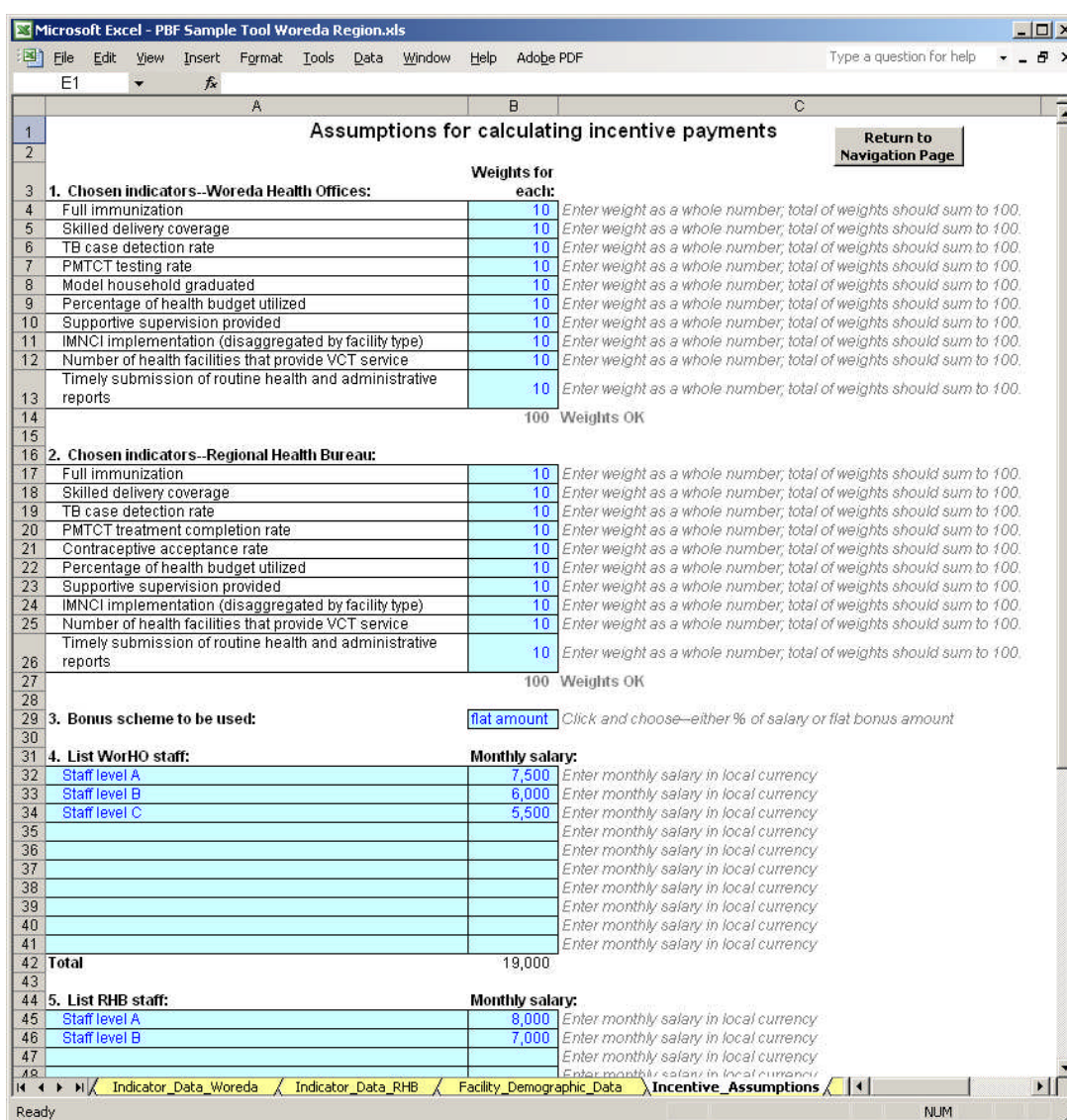
Incentive Assumptions

Next, go to the **Incentive Assumptions** page to enter information about how the indicators will be weighted, how facilities and the management level are staffed, the exchange rate (if bonuses need to be converted/reported in another currency as well as local currency), and the reinvestment percentage. Again, as with the indicator and facility demographic data, you will not need to update this page after the initial set-up unless any of the assumptions change.

- Enter ***weights for the indicators*** in the top part of the worksheet. For each type of facility or health entity, note that the weights should sum to 100. You may decide that all indicators should be weighted equally, or that some are more critical than others and should receive a higher weight. (The larger the number, the more weight given to that indicator.)
 - In the HP-HC-Hospital workbook, you will need to enter three sets of weights:
 - One set for the Health Post indicators (cells B4:B13)
 - One set for the Health Center indicators (cells B17:B27)
 - One set for the hospital indicators (cells B31:B41)
 - In the WorHO-RHB workbook, you will need to enter two sets of weights:
 - One set for the WorHO indicators (cells B4:B13)
 - One set for the RHB indicators (cells B17:B26)
- In the next section, click and choose the ***bonus scheme*** to be used: percentage of salary or flat bonus amount. **There are many kinds of performance-based financing incentive payments; this tool models a few of the most common.**
 - For the HP-HC-Hospital workbook, this is cell B43.
 - For the WorHO-RHB workbook, this is cell B29.
- For facility and management level staff, enter the cadres/titles of staff and the monthly salary for each cadre. Enter the description of the staff cadre/title in column A and the monthly salary paid to that cadre of staff in column B. The aggregated total monthly salary is used as the baseline for calculating incentive payments if “% of salary” is chosen as the bonus scheme.
 - In the HP-HC-Hospital workbook, you will need to enter three sets of figures:
 - One set for Health Post staffing (cells A46:B55)
 - One set for Health Center staffing (cells A59:B68)
 - One set for hospital staffing (cells A72:B86)
 - In the WorHO-RHB workbook, you will need to enter two sets of figures:
 - One set for WorHO staffing (cells A32:B41)
 - One set for RHB staffing (cells A45:B59)
- If paying the facility a bonus based on percentage of base salary, enter that percentage as a whole number in the next section (e.g., a 25% bonus would be entered as 25).
 - For the HP-HC-Hospital workbook, this is cell B89.
 - For the WorHO-RHB workbook, this is cell B62.
- If paying staff a flat bonus amount, enter that amount in the next section.
 - For the HP-HC-Hospital workbook, this is cell B91.
 - For the WorHO-RHB workbook, this is cell B64.

- Enter the reinvestment percentage (percentage of maximum bonus that will be used for facility reinvestment) in the next section. **If there is no additional reinvestment, enter zero (0).**
 - For the HP-HC-Hospital workbook, this is cell B93.
 - For the WorHO-RHB workbook, this is cell B66.
- Finally, enter the current exchange rate in the next section (used to convert incentive payments to US dollars if reporting to external donors).
 - For the HP-HC-Hospital workbook, this is cell B95.
 - For the WorHO-RHB workbook, this is cell B68.

The screen shot below shows part of the **Incentive Assumptions** page in the WorHO-RHB workbook. Similar to other pages, you enter data in the shaded cells. The cells with no shading are either text (guiding questions or explanations) or formulas.

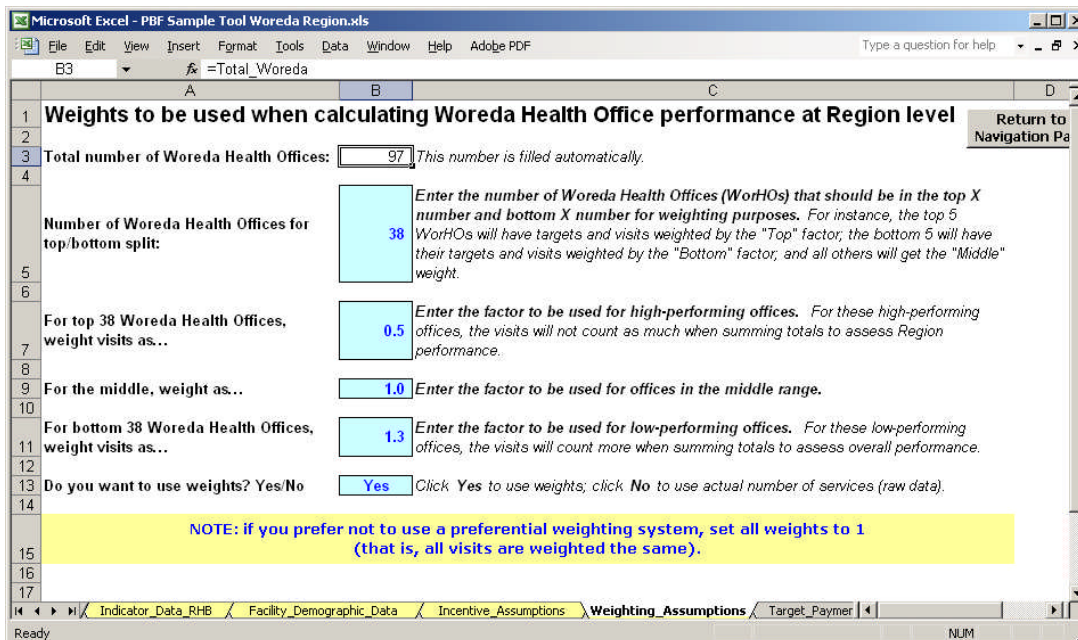


| Assumptions for calculating incentive payments | | |
|--|-------------------|---|
| | Weights for each: | |
| 1. Chosen indicators--Woreda Health Offices: | | |
| Full immunization | 10 | Enter weight as a whole number; total of weights should sum to 100. |
| Skilled delivery coverage | 10 | Enter weight as a whole number; total of weights should sum to 100. |
| TB case detection rate | 10 | Enter weight as a whole number; total of weights should sum to 100. |
| PMTCT testing rate | 10 | Enter weight as a whole number; total of weights should sum to 100. |
| Model household graduated | 10 | Enter weight as a whole number; total of weights should sum to 100. |
| Percentage of health budget utilized | 10 | Enter weight as a whole number; total of weights should sum to 100. |
| Supportive supervision provided | 10 | Enter weight as a whole number; total of weights should sum to 100. |
| IMNCI implementation (disaggregated by facility type) | 10 | Enter weight as a whole number; total of weights should sum to 100. |
| Number of health facilities that provide VCT service | 10 | Enter weight as a whole number; total of weights should sum to 100. |
| Timely submission of routine health and administrative reports | 10 | Enter weight as a whole number; total of weights should sum to 100. |
| | 100 | Weights OK |
| 2. Chosen indicators--Regional Health Bureau: | | |
| Full immunization | 10 | Enter weight as a whole number; total of weights should sum to 100. |
| Skilled delivery coverage | 10 | Enter weight as a whole number; total of weights should sum to 100. |
| TB case detection rate | 10 | Enter weight as a whole number; total of weights should sum to 100. |
| PMTCT treatment completion rate | 10 | Enter weight as a whole number; total of weights should sum to 100. |
| Contraceptive acceptance rate | 10 | Enter weight as a whole number; total of weights should sum to 100. |
| Percentage of health budget utilized | 10 | Enter weight as a whole number; total of weights should sum to 100. |
| Supportive supervision provided | 10 | Enter weight as a whole number; total of weights should sum to 100. |
| IMNCI implementation (disaggregated by facility type) | 10 | Enter weight as a whole number; total of weights should sum to 100. |
| Number of health facilities that provide VCT service | 10 | Enter weight as a whole number; total of weights should sum to 100. |
| Timely submission of routine health and administrative reports | 10 | Enter weight as a whole number; total of weights should sum to 100. |
| | 100 | Weights OK |
| 3. Bonus scheme to be used: | flat amount | Click and choose--either % of salary or flat bonus amount |
| 4. List WorHO staff: Monthly salary: | | |
| Staff level A | 7,500 | Enter monthly salary in local currency |
| Staff level B | 6,000 | Enter monthly salary in local currency |
| Staff level C | 5,500 | Enter monthly salary in local currency |
| | | Enter monthly salary in local currency |
| | | Enter monthly salary in local currency |
| | | Enter monthly salary in local currency |
| | | Enter monthly salary in local currency |
| | | Enter monthly salary in local currency |
| | | Enter monthly salary in local currency |
| Total | 19,000 | |
| 5. List RHB staff: Monthly salary: | | |
| Staff level A | 8,000 | Enter monthly salary in local currency |
| Staff level B | 7,000 | Enter monthly salary in local currency |
| | | Enter monthly salary in local currency |
| | | Enter monthly salary in local currency |

Weighting Assumptions

The next worksheet in the PBF Tool is **Weighting Assumptions**. Here, you will enter information and preferences related to *how facilities are weighted*. (On the prior worksheet, you entered information on *weighting the indicators*. On this page, you are entering information on *weighting the performance of the facilities within the management area*.)

- First, enter the number of facilities for the top and bottom split. That is, when weighting facility performance, do you want to treat the top and bottom 5 facilities differently? The top and bottom 10 facilities? The number you enter here will determine how many facilities are included in each of the weighting ranges. **The number you enter should be no more than 40% of the total number of facilities.** In our example shown below, the entire region has 97 WorHOs, so the top/bottom split should be no higher than 38 (38.8 is 40% of 97). Depending on the number you enter, the analysis will identify the top X, bottom X, and the remaining middle facilities and apply weights to number of services accordingly. In this example, if we used 38 as the top/bottom split, the tool would weight the 38 lowest performers differently from the top 38 and the middle 21 WorHOs.
- The top facility weight should be the lowest number—because the higher-performing facilities will then have their service visits count less when figuring aggregate performance than those of the lower-performing facilities.
- The middle weight should be between the top and bottom weight.
- The bottom facility weight should be the highest figure—because the lower-performing facilities will then have their service visits count for more when figuring out aggregate performance.
- **If you prefer not to weight visits to assess facility performance, enter “1” for all three weights.**



| Row | Field | Value | Description |
|-----|---|-------|---|
| 3 | Total number of Woreda Health Offices: | 97 | This number is filled automatically. |
| 5 | Number of Woreda Health Offices for top/bottom split: | 38 | Enter the number of Woreda Health Offices (WorHOs) that should be in the top X number and bottom X number for weighting purposes. For instance, the top 5 WorHOs will have targets and visits weighted by the "Top" factor, the bottom 5 will have their targets and visits weighted by the "Bottom" factor, and all others will get the "Middle" weight. |
| 7 | For top 38 Woreda Health Offices, weight visits as... | 0.5 | Enter the factor to be used for high-performing offices. For these high-performing offices, the visits will not count as much when summing totals to assess Region performance. |
| 9 | For the middle, weight as... | 1.0 | Enter the factor to be used for offices in the middle range. |
| 11 | For bottom 38 Woreda Health Offices, weight visits as... | 1.3 | Enter the factor to be used for low-performing offices. For these low-performing offices, the visits will count more when summing totals to assess overall performance. |
| 13 | Do you want to use weights? Yes/No | Yes | Click Yes to use weights; click No to use actual number of services (raw data). |
| 15 | NOTE: if you prefer not to use a preferential weighting system, set all weights to 1 (that is, all visits are weighted the same). | | |



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