



EMERGING MENTAL HEALTH SYSTEMS IN LOW- AND MIDDLE-INCOME COUNTRIES (EMERALD) PROJECT

Mental Health Financing Diagnostic Tool

OVERVIEW – PAGE 2

MENTAL HEALTH FINANCING DIAGNOSTIC TOOLS – PAGE 5

HEALTH SECTOR STATE ACTORS –PAGE 5 - 11
FINANCE SECTOR STATE ACTORS –PAGE 12 - 16
NON-HEALTH/NON-FINANCE STATE ACTORS –PAGE 17 - 21
NON-STATE ACTORS –PAGE 22 - 26

INFORMATION SHEET FOR PARTICIPANTS – PAGE 27

CONSENT FORM FOR PARTICIPANTS– PAGE 30

OVERVIEW

Introduction

The Emerging Mental Health Systems in Low- and Middle-Income Countries (Emerald) Project *Mental Health Financing Diagnostic Tool* is a semi-structured interview questionnaire, which will be used in all country sites to guide the qualitative interviews with key Stakeholders toward the development of strategies for sustainable financing of mental health services in low and middle income countries (WP03, Task 3).

Prior to this stakeholder engagement process, country teams will have completed a Situational Analysis of Mental Health Financing through a guided desk review. This Situational Analysis will provide an optimal starting point for engaging with key Stakeholders, through qualitative interviews.

This Stakeholder Analysis is considered broad in the sense that we are considering a wide range of actors, in several contexts, which differ in terms of the complexity of policy processes, stakeholder groups, the specific country's baseline situation for reform and the relative strengths and weaknesses of existing health financing approaches.

The interviews will be undertaken by Emerald researchers with a background or orientation in mental health financing, and will be transcribed. The data will be analysed using thematic analysis with the assistance of a qualitative software package (such as NVIVO).

Purpose

The purpose of the *Mental Health Financing Diagnostic Tool* is to:

- * Validate the results and conclusions of the Situational Analysis desk review, to enable each country to generate a comprehensive picture of the environment (current and future coverage gaps, current and future resource gaps, and; the fiscal context) within which the scaled-up service is likely to be financed.
- * Engage in a participatory, consensus-building approach to describing key Stakeholder interests in, influence on and support for sustainable financing mechanisms for mental health services.
- * Provide a baseline for financing reform which highlights potential avenues for raising additional revenues for mental health and achieving gains in the efficiency and equity with which resources are spent.
- * Gain a deeper understanding of the process for health financing reform, generally and specifically for mental health, with respect to key stakeholders, structures and processes involved in public health finance and the political economy in each country.
- * Detect and understand reasons for potential opposition to reforms in the financing of mental health services.

Intended Participants

Stakeholders are defined as actors (persons or organizations) who have a vested interest in the policy that is being promoted or considered, in this case: reforms directed at sustainable financing for mental health. Stakeholders also include actors who – because of their position – have or could have an active or passive influence on the decision-making and implementation process. In assessing options for sustainable mental health financing strategies, one can assume the likely components of such a strategy would be of interest to the following stakeholders: *please note that this table is intended to give you an idea of the type of respondents we would likely to interview, and does not imply interviews with all tabled Actors will be required in all settings. This list will be adapted based on local political contexts and structures.*

State Actors*	Non-state Actors
Ministries of Health (central and regional) * Minister of Health	International Agencies * WHO (country office)

* State Actors are likely to have different names and organizational structure(s) in each country. This list should be adapted by identifying local institutions serving equivalent functions.

State Actors*	Non-state Actors
<ul style="list-style-type: none"> * Head - Mental Health Programs/Directorate * Head – Non Communicable Disease * Deputy General for Health <p>Ministries of Finance and National Treasury</p> <ul style="list-style-type: none"> * Health Advisor to Minister of Finance * Deputy Minister(s)/Health Advisors <p>Ministries of Economic and Social Development</p> <p>Parliament & the Executive</p> <ul style="list-style-type: none"> * Health Advisors to National Strategic Planning <p>Ministries</p> <ul style="list-style-type: none"> * Health Committee members <p>Other non-health/finance Actors</p> <p>Ministries of Social Welfare/Care</p> <p>Ministries of Child, Women and Disabled Welfare</p> <p>Ministries of Criminal Justice, Security and Policing</p> <p>Intersectoral Governance Structures</p> <p>Provincial/Regional Heads</p>	<ul style="list-style-type: none"> * World Bank / IMF (country office) * European Commission (country office, if present) <p>International Donors (e.g. USAID, DFID)</p> <p>(Mental Health) NGOs</p> <p>Independent Agencies</p> <ul style="list-style-type: none"> * -Financial and Fiscal Commission <p>Private/Voluntary Medical Insurance Schemes</p> <p>Health Professionals Councils / Associations</p>

Sample Size(s)

We intend to conduct 8 – 10 key informant interviews in each country. We suggest this sample be composed as follows:

Target Sample Size	Affiliation	Suggested Priority Stakeholders
3 – 4	Ministry of Health	e.g. Director of Mental Health, Director of NCDs (or whomever the Director of Mental Health reports to), if possible a very senior person like the DG or Deputy DG for the Health Sector
1 – 2	Ministry of Finance	e.g. the Health Advisor (or equivalent head of Health) in the National Treasury/Finance Ministry.
1 – 2	(Mental) Health NGOs or Other Non-State Actors	e.g. those involved in National/strategic coordination and planning for Mental Health programs the major health NGOs
1 – 2	Non-Health/Non-Finance State Actors	e.g. Health Advisors to Parliament/the Executive or Health Portfolio Committee members

Outcomes and Next Steps

Task 1 (WP03) identified country-specific estimates of mental health system resource needs and funding gaps, as well as the potential health system implications of a scaled-up, integrated mental health service, and quantified potential health gains associated with a scaled-up mental health service over time.

Task 2 (WP03) quantified the impact of mental, neurological and substance-use disorders on household income, production and capital formation, as well as the household-level social and economic benefits of receiving care – thereby making a strong economic case for investment in mental health as well as demonstrating the extent to which the current financial burden of care fall (unfairly) on households.

In Task 3, the focus shifts to understanding how countries can finance scaled-up service in a fair and sustainable manner. Since economies worldwide are experiencing unprecedented fiscal pressures, exacerbated by rising disease burdens, unemployment and economic recessions, it is unlikely that LMICs will be in a position to locate the required resources exclusively from their existing health budgets and domestic financing environments – particularly when many of these countries do not yet have a mental health budget. Development assistance for health can serve an important catalytic function for the transition to a reformed health financing system, but the limits of donor assistance for long-term sustainability need to be recognised.

Therefore, the overall aim of Task 3 (WP03) is to synthesize evidence on feasible financing mechanisms and equitable contributions to the cost of care; and to generate strategies for sustainable mental health financing for each low- and middle-income participant country, to answer the following research question:

How can scaled-up mental health services best be paid for in a way that is feasible, fair and appropriate within the fiscal constraints and structures of different low and middle income countries?

Owing to the limitations highlighted above, the focus will be to identify feasible, fair and appropriate strategies to raise the required resources for a scaled up mental health service through:

- * Financing mechanisms that raise overall general government revenues and fiscal capacity, thereby raising increased revenues for (mental) health, and/or
- * Financing mechanisms that improve the efficiency and effectiveness in the channelling and use of available resources for mental health, and/or;
- * Innovative, non-traditional financing mechanisms that raise additional funds to supplement domestic resources and traditional development assistance

Taken together, the results of the desk review (*Situational Analysis of Mental Health Financing*) and stakeholder consultation process (using the *Mental Health Financing Diagnostic Tool*) will elucidate which financing mechanisms have the potential to support sustainable mental health financing for each low- and middle-income participant country in Emerald, taking into account the environment, stakeholder interests, their influence, processes for change, governance and administrative efficiency. The methods used to assess the applicability of financing mechanisms, particularly those which have as yet had limited implementation, are likely to vary based on the specific country's baseline situation for reform and the relative strengths and weaknesses of existing health financing approaches. At the high-level, the applicability of a financing mechanism will be measured based on its potential for raising revenue and its potential to achieve positive health outcomes and equity. It is envisaged that the following broad options are likely to be considered:

- * Nationally implemented levies and taxes (that are used to provide health insurance or health services)
- * Improving tax administration
- * Mechanisms to streamline the flow of resources and minimize disbursement channels
- * Mechanisms that improve the predictability and duration of cash flows

Once the applicability of different mechanisms have been evaluated, and specific conclusions generated regarding their potential to support sustainable mental health financing, country teams will work with WP3 cross-country partners on the formulation of a strategy document containing the situational analysis, and recommendations for the most promising avenues to achieve sustainable financing for mental health, including critical requirements / actions for their implementation.

For the final element of Task 3, relevant stakeholders from each country will be invited to a round-table discussion whereby the relevant country teams will present the main components of their strategy report, and lead a structured discussion of its merits and value for each country context. This roundtable will provide country teams with an understanding of any significant gaps, or areas where the strategy may be aligned more closely to other sector wide transformations. Based on the outcomes of the round-table discussion, country teams may wish to further revise their strategies before final dissemination.



INTERVIEW DATE	
INTERVIEWER	
START TIME	:
END TIME	:
LOCATION OF INTERVIEW	

MENTAL HEALTH FINANCING DIAGNOSTIC TOOL
STATE ACTORS – HEALTH

RESPONDENT INFORMATION

- | | |
|------|--------------------------------------|
| 1.01 | EMERALD PARTICIPANT ID NUMBER |
| 1.02 | FIRST NAME(S) |
| 1.03 | LAST NAME(S) |
| 1.04 | GENDER |
| 1.05 | ORGANIZATIONAL AFFILIATION |
| 1.06 | POSITION WITHIN ORGANIZATION |

MENTAL HEALTH FINANCING DIAGNOSTIC TOOL

STAKEHOLDER GROUP(S):

STATE ACTORS – HEALTH

PREAMBLE

We are conducting interviews with key experts in a number of different government, and non-governmental agencies in *[Country Name]*, including experts involved in Finance, Health, Parliament, Social Welfare and Economic Development. We are conducting these interviews to answer the overall question of:

How can scaled-up mental health services in *[Country Name]* best be paid for in a way that is feasible, fair and appropriate and within the fiscal constraints and structures of the country?

Depending on your interests or involvement, we would like to ask you questions regarding your opinions on:

- * The main perceived challenges/constraints to increased public health financing, generally and specifically for mental health, for example fiscal pressures, exacerbated by rising disease burdens, unemployment and economic recessions, and political will;
- * Options for moving towards more adequate, fair and appropriate financing for health and mental health service development and system strengthening;
- * Criteria for identifying most suitable strategies for sustainable financing (strength of preference): efficiency, equity, poverty reduction, economic growth and political feasibility.

By conducting these interviews, we hope to generate a comprehensive picture of the main opportunities and also challenges to equitable and sustainable financing of a scaled-up mental health service in *[Country Name]*. The analysis of these interviews will provide an optimal starting point with which to identify:

- * mechanisms to raise general government revenues (thereby raising increased revenues for health);
- * improvements in the efficiency with which resources are currently mobilized and spent; and
- * innovative mechanisms to raise new funds that could go directly to improving the resource availability for health services, including mental health.

Before beginning the interview, we would like to remind you that all responses and comments that you make during this interview will be kept confidential, and you will **not** be quoted or individually identified with specific opinions in any publications, reports, presentations or the proposed round-table discussion with interested stakeholders. Confidentiality will be maintained throughout the research process, as set out in the Informed Consent form we ask you to complete. Participant names will not be used. Instead a unique identifier will be used. All study data will be kept in a secure place and the informed consent documentation will be kept in a lock and key cabinet.

Do you have any questions about the interview before we proceed?

We will start the interview with questions that help to identify your background and expertise, so that we ask you questions that are within your area of expertise.

A. Which area(s) of the health sector are you primarily involved in?

- | | | |
|------|---|------------|
| i. | Do you work in the government / public health sector? | [YES / NO] |
| ii. | Do you work in the area of mental health? | [YES / NO] |
| iii. | Do you work in the area of health financing? | [YES / NO] |

B. What is your job title and place of work?

HEALTH SECTOR PLANNING

We will start the interview with questions that discuss the current conditions and planned changes in the public/health sector organization and financing that are likely to affect the Mental Health programme's resource requirements, availability or use.

1. When comparing Mental Health with other Health-sector programme areas in [Country Name], do you think that Mental Health has been given adequate priority?

Probe on: Do you feel that decision-makers in the public sector are aware of the magnitude of mental illness in [Country Name]

Probe on: Do you feel that decision-makers in the public sector are aware of the impacts of mental illness to the economy and the health of the population?

Probe on: What key messages do you think would convince decision makers to address mental health as a health-sector priority?

2. From your experience and point of view, how would you describe the current provision of mental health services in [Country Name]?

Probe on: Availability of Services

Probe on: Quality of Services

Probe on: Structure of Services

Probe on: Affordability of Services

Probe on: Access to Services

3. What population segments do you feel are unable to access adequate mental health services in [Country Name]?

Probe on: Specific regions, ethnic, socioeconomic or gender groups, vulnerable groups such as the disabled, women and children.

4. Do you think that the mental health system in [Country Name] is resourced efficiently?

Probe on: What is the distribution of patients being seen at tertiary/specialized care, vs district or primary care? Outpatient vs. Inpatient?

Probe on: In what ways could the delivery of mental health services be reorganized to use resources more efficiently (better value for money).

5. Has a multi-year plan been developed for the mental health sector?

Probe on: Are there planned programme improvements to the National Mental Health program over the next 5-10 years?

Probe on: Are the costing and budgeting requirements of all mental health strategies included in the current National plan?

Probe on: Do these plans include specific directives to improve coverage of Mental Health services for those living in hard to reach areas or for any other specific population sub-groups?

6. Is mental health integrated into overall health policy, planning and practice?

If yes:

Probe on: Is mental health represented in the national health plan?

Probe on: Are mental disorders included in any essential package of care?

Probe on: Is the prevention and management of mental, neurological and substance use disorders considered an integral part of the response to the burden of non-communicable diseases?

If no:

Probe on: Are mental health services largely or entirely separated from other health services?

Probe on: What would be the main opportunities for better integration of mental health into health policy, planning and practice?

In the next set of questions, we will ask about current mental health financing arrangements in the country.

7. Is there a specific budget line item for Mental Health services in [Country Name]?

If yes:

- Probe on: What is this budget intended to cover? What is excluded from this budget – and how are these excluded items paid for?
- Probe on: How is this budget intended to flow through the health sector?
- Probe on: How is the budget determined – based on historical budget totals or estimates of resource needs? Is the budget planning centrally coordinated or does it begin at the district level?

If no:

- Probe on: How are mental health services paid for in [Country Name] in the absence of specific budget allocations?
- Probe on: Is this budget guaranteed, or does it vary?

8. Is the total current funding for the Mental Health known by funding source?

- Probe on: Awareness of funding for all levels of mental health system, and by all possible funding sources.

9. In terms of recurrent health expenditures, does the current health budget make specific provisions for: salaries for health workers involved in mental health service delivery, medicines related to the treatment of mental health conditions, facility and equipment maintenance costs?

- Probe on: Are all health workers paid on time?
- Probe on: Is the budget sufficient to cover the costs of medicines for those affected by mental disorder? Are there medications for which patients are required to cover out of pocket?
- Probe on: Do you feel that primary and district level facilities are equipped to deal with patients presenting with severe mental health symptoms?

10. Are there any patterns of mental health staff vacancies that have been identified in the health system?

- Probe on: Difficulties retaining specific cadres of mental health personnel

11. Do you feel like the available budget for mental health services in [Country Name] is adequate in terms of addressing the resource needs for mental health?

If yes:

- Probe on: What indicators are used to assess the adequacy of mental health financing?
- Probe on: Is there an annual review of the Mental Health programme's funding and expenditures by those responsible for the planning, budgeting and resource mobilization process within the health sector? Has the resource needs and potential funding gaps ever been evaluated in your Country?

If no:

- Probe on: In your opinion, what are the most important impacts of this inadequate resourcing?
- Probe on: Do you feel that improving the budget availability for mental health services is sufficient to address the impacts of mental health service provision in [Country Name]?
- Probe on: What other actions do you think may be required to address the inadequate resourcing of mental health services (e.g. human resource development, governance, coordination, better use of funds that are available – decentralized care)

HEALTH FINANCING POLICY

In the next set of questions, we will ask about any ongoing health financing efforts or future plans as well as the budgetary (and efficiency) implications for mental health service development.

12. Are there any planned changes in the financing strategy or financing mechanisms to fund the health system that are likely to have a positive impact on the funding of mental health services in [Country Name]?

Probe on: Social health insurance, community financing, payroll taxes, other...

Probe on: How are these plans likely to impact the funding of mental health services?

13. (If reforms are planned): Do you feel that these plans are feasible? Can you foresee any challenges that might emerge as these reforms are implemented?

Probe on: Potential opposition

Probe on: Challenges in terms of governance, implementation, time-frame(s)

14. Do you feel that the financing and resourcing arrangements reflected in these plans will be sufficient to address the future mental health needs of [Country Name]?

Probe on: Do these plans take into account changing demographic trends?

Probe on: To what extent do these plans reflect the changing burden of disease – toward non-communicable disease, for example?

Now, we'd like to ask questions about the process for change: how things work (in public health finance), how they get done, how long they take to do, key players and structures, links to other sectors (political economy)

15. Who is responsible for deciding how much funding is available for health services in [Country Name]?

Probe on: All stakeholders both within and external to the health sector

16. What is the process for deciding how much funding is available for mental health service provision in [Country Name]?

Probe on: Who sets the priorities for funding?

Probe on: What does the process look like?

Probe on: When does the process start/end?

17. How are mental health budgets allocated and dispersed, across levels of the health system, in [Country Name]?

Probe on: How do central budgets get disbursed to regions?

Probe on: What are the criteria used to allocate budgets?

18. How are health budgets allocated and dispersed, across program area, in [Country Name]?

Probe on: Does the allocation of health budgets to specific program areas occur at the central, regional or local government levels?

Probe on: Do you feel that those who have the autonomy to determine allocations of health budgets to specific program are motivated by resource needs or other factors (political interests)?

19. What institutions are responsible for conducting oversight in the health sector?

Probe on: Specifically, who is responsible for ensuring the resources are used efficiently and effectively?

Probe on: Are public officials held to account when health funds are not used effectively, or when health programs do not have the intended results?

Probe on: At what level of the public service is accountability for use of health funds, and impact of health programs held?

20. How does the government track health system performance?

Probe on: Facility level, regionally, nationally

21. How does the government track financial flows and performance?

Probe on: districtlevel, regionally, nationally

22. Who are the key stakeholders, outside of the Health sector, that impact or influence the availability of financing for the health sector?

Probe on: National Development Planning, National Strategic Planning, Portfolio Committees, Parliament, Minister(s) of Finance, Treasury, Economy...

Probe on: How are their interests different to stakeholders in the health sector?

Probe on: What factors do you believe these non-health stakeholders consider when determining resource availability for the health sector?

23. What is your perception of the overall financing system for health in general and mental health in particular?

Probe on: Pros and Cons of existing processes for budget formulation, allocation, ability to use allocated funds.

Probe on: How do you feel these challenges could be addressed?

MACROECONOMIC POLICY

The next questions will ask about the main perceived challenges/constraints to increased public health financing, generally and specifically for mental health, for example fiscal pressures, exacerbated by rising disease burdens, unemployment and economic recessions, and political will.

24. Are there any macroeconomic issues facing the country that are expected to positively or negatively affect the future funding of the health sector and/or mental health program?

Probe on: Economic Growth

Probe on: Unemployment

Probe on: Debt

Probe on: Inflation

Probe on: Other

25. Does economic growth contribute to additional resources for health?

Probe on: How do policy priorities affect the share of public spending allocated to health?

Probe on: Is the government budget in deficit? If so, for how long – how large is the current government debt? How does the need to service this debt impact on the country's capacity to increased revenues?

Probe on: If economic growth leads to additional resources for health but not mental health, why do you think this is the case?

26. Do you think that the mental health sector advocates effectively for its fair share of government funds?

Probe on: How would you describe the mental health sector's efforts to advocate for for an increased share of government revenues?

Probe on: What opposition does the health sector typically receive from external governmental agencies when advocating for an increased share of government revenues?

27. Do you think that one of the challenges to attracting a larger share of government revenues for health is the health sector's inability to demonstrate effective use of existing funds?

Probe on: How do you think the health sector can improve the ways in which it demonstrates effective use of resources?

Probe on: What (outcomes) would encourage the Finance ministry to allocate more funds to the health sector?

Moving on to options for change toward more feasible, fair and appropriate strategies to raise the required resources for a scaled up mental health service through (and main perceived challenges)

28. Is the total funding requirement for the mental health programme by funding source known for the next 5 years?
29. Are government funds for the mental health programme predictable for up to 5 years?
30. Are donor funds for the mental health programme predictable for up to 5 years?
31. Is there an estimate of the potential funding gap for mental health for the next 5 years?
32. Is there any indication of changes in funding priorities of national or external funding partners that are likely to have positive affect on the funding of the mental health programme?
33. Are new sources and mechanisms of internal and external funding being considered for future funding of the mental health programme?

As we approach the end of the interview, we'd like to ask for a few final comments and provide you with an opportunity to raise any issues that we may have not discussed

34. Imagine that it is ten years from now and you are looking back at the last decade, 2016-2026. If you were to tell a story of how a low- or middle-income country effectively advocated for and implemented a scaled-up mental health service, sustainably financed and integrated into the wider health system, and afforded its population universal coverage to mental health services, at a high impact platform for delivering support to country health systems, what would the story be? What would have been the key elements of success?
35. In order to achieve the successes you describe, what sort of ongoing engagement with stakeholders would be required?
36. Are there any other issues you would like to raise?

Thank you for making the time to talk to me today.

INTERVIEWER SUMMARY OF STAKEHOLDER CHARACTERISTICS

Please complete once interview has ended. Not to be read out to interviewee.

1.07	INTEREST IN THE ISSUE <i>Please check appropriate box</i>	High	Medium-High	Medium	Low-Medium	Low
1.08	INFLUENCE OR POWER <i>Please check appropriate box</i>	High	Medium-High	Medium	Low-Medium	Low
1.09	IMPACT OF ISSUE ON ACTOR <i>Please check appropriate box</i>	High	Medium-High	Medium	Low-Medium	Low
1.10	POSITION <i>Please check appropriate box</i>	Supportive	Non-mobilized	Opposed		



INTERVIEW DATE
INTERVIEWER
START TIME :
END TIME :
LOCATION OF INTERVIEW

MENTAL HEALTH FINANCING DIAGNOSTIC TOOL
STATE ACTORS – FINANCE

RESPONDENT INFORMATION

1.01 **EMERALD PARTICIPANT ID
NUMBER**

1.02 **FIRST NAME(S)**

1.03 **LAST NAME(S)**

1.04 **GENDER**

1.05 **ORGANIZATIONAL AFFILIATION**

1.06 **POSITION WITHIN
ORGANIZATION**

MENTAL HEALTH FINANCING DIAGNOSTIC TOOL

STAKEHOLDER GROUP(S):

STATE ACTORS – FINANCE

PREAMBLE

We are conducting interviews with key experts in a number of different government, and non-governmental agencies in *[Country Name]*, including experts involved in Finance, Health, Parliament, Social Welfare and Economic Development. We are conducting these interviews to answer the overall question of:

How can scaled-up mental health services in *[Country Name]* best be paid for in a way that is feasible, fair and appropriate and within the fiscal constraints and structures of the country?

Depending on your interests or involvement, we would like to ask you questions regarding your opinions on:

- * The main perceived challenges/constraints to increased public health financing, generally and specifically for mental health, for example fiscal pressures, exacerbated by rising disease burdens, unemployment and economic recessions, and political will;
- * Options for moving towards more adequate, fair and appropriate financing for health and mental health service development and system strengthening;
- * Criteria for identifying most suitable strategies for sustainable financing (strength of preference): efficiency, equity, poverty reduction, economic growth and political feasibility.

By conducting these interviews, we hope to generate a comprehensive picture of the main opportunities and also challenges to equitable and sustainable financing of a scaled-up mental health service in *[Country Name]*. The analysis of these interviews will provide an optimal starting point with which to identify:

- * mechanisms to raise general government revenues (thereby raising increased revenues for health);
- * improvements in the efficiency with which resources are currently mobilized and spent; and
- * innovative mechanisms to raise new funds that could go directly to improving the resource availability for health services, including mental health.

Before beginning the interview, we would like to remind you that all responses and comments that you make during this interview will be kept confidential, and you will **not** be quoted or individually identified with specific opinions in any publications, reports, presentations or the proposed round-table discussion with interested stakeholders. Confidentiality will be maintained throughout the research process, as set out in the Informed Consent form we ask you to complete. Participant names will not be used. Instead a unique identifier will be used. All study data will be kept in a secure place and the informed consent documentation will be kept in a lock and key cabinet.

Do you have any questions about the interview before we proceed?

We will start the interview with questions that help to identify your background and expertise, so that we ask you questions that are within your area of expertise.

A. Which area(s) of the finance sector are you primarily involved in?

- i. Do you work in the government (e.g. Ministry of Finance or Planning)? [YES / NO]
- ii. Are you involved in health sector planning or financing? [YES / NO]

B. What is your job title and place of work?

We will start the interview with questions that discuss the current economic conditions and planned any ongoing health financing efforts or future plans as well as the budgetary (and efficiency) implications for health service development.

HEALTH FINANCING POLICY

1. Are there any planned changes in the financing strategy or financing mechanisms to fund the health system that are likely to have a positive impact on the funding of mental health services in [Country Name]?

Probe on: Social health insurance, community financing, payroll taxes, other...

Probe on: How are these plans likely to impact the funding of mental health services?

2. (If reforms are planned): Do you feel that these plans are feasible? Can you foresee any challenges that might emerge as these reforms are implemented?

Probe on: Potential opposition

Probe on: Challenges in terms of governance, implementation, time-frame(s)

3. Do you feel that the financing and resourcing arrangements reflected in these plans will be sufficient to address the future mental health needs of [Country Name]?

Probe on: Do these plans take into account changing demographic trends?

Probe on: To what extent do these plans reflect the changing burden of disease – toward non-communicable disease, for example?

Now, we'd like to ask questions about the process for change: how things work (in public health finance), how they get done, how long they take to do, key players and structures, links to other sectors (political economy)

4. Who is responsible for deciding how much funding is available for health services in [Country Name]?

Probe on: All stakeholders both within and external to the health sector

5. What is the process for deciding how much funding is available for mental health service provision in [Country Name]?

Probe on: Who sets the priorities for funding?

Probe on: What does the process look like?

Probe on: When does the process start/end?

6. How are mental health budgets allocated and dispersed, across levels of the health system, in [Country Name]?

Probe on: How do central budgets get disbursed to regions?

Probe on: What are the criteria used to allocate budgets?

7. How are health budgets allocated and dispersed, across program area, in [Country Name]?

Probe on: Does the allocation of health budgets to specific program areas occur at the central, regional or local government levels?

Probe on: Do you feel that those who have the autonomy to determine allocations of health budgets to specific program are motivated by resource needs or other factors (political interests)?

8. What institutions are responsible for conducting oversight in the health sector?

Probe on: Specifically, who is responsible for ensuring the resources are used efficiently and effectively?

Probe on: Are public officials held to account when health funds are not used effectively, or when health programs do not have the intended results?

Probe on: At what level of the public service is accountability for use of health funds, and impact of health programs held?

9. How does the government track health system performance?

Probe on: Facility level, regionally, nationally

10. How does the government track financial flows and performance?

Probe on: districtlevel, regionally, nationally

11. Who are the key stakeholders, outside of the Health sector, that impact or influence the availability of financing for the health sector?

Probe on: National Development Planning, National Strategic Planning, Portfolio Committees, Parliament, Minister(s) of Finance, Treasury, Economy...

Probe on: How are their interests different to stakeholders in the health sector?

Probe on: What factors do you believe these non-health stakeholders consider when determining resource availability for the health sector?

12. What is your perception of the overall financing system for health in general and mental health in particular?

Probe on: Pros and Cons of existing processes for budget formulation, allocation, ability to use allocated funds.

Probe on: How do you feel these challenges could be addressed?

MACROECONOMIC POLICY

The next questions will ask about the main perceived challenges/constraints to increased public health financing, generally and specifically for mental health, for example fiscal pressures, exacerbated by rising disease burdens, unemployment and economic recessions, and political will.

13. Are there any macroeconomic issues facing the country that are expected to positively or negatively affect the future funding of the health sector and/or mental health program?

Probe on: Economic Growth

Probe on: Unemployment

Probe on: Debt

Probe on: Inflation

Probe on: Other

14. Does economic growth contribute to additional resources for health?

Probe on: How do policy priorities affect the share of public spending allocated to health?

Probe on: Is the government budget in deficit? If so, for how long – how large is the current government debt? How does the need to service this debt impact on the country's capacity to increased revenues?

Probe on: If economic growth leads to additional resources for health but not mental health, why do you think this is the case?

15. Do you think that the mental health sector advocates effectively for its fair share of government funds?

Probe on: How would you describe the mental health sector's efforts to advocate for for an increased share of government revenues?

Probe on: What opposition does the health sector typically receive from external governmental agencies when advocating for an increased share of government revenues?

16. Do you think that one of the challenges to attracting a larger share of government revenues for health is the health sector's inability to demonstrate effective use of existing funds?

Probe on: How do you think the health sector can improve the ways in which it demonstrates effective use of resources?

Probe on: What (outcomes) would encourage the Finance ministry to allocate more funds to the health sector?

Moving on to options for change toward more feasible, fair and appropriate strategies to raise the required resources for a scaled up health service (and main perceived challenges)

17. Is the total funding requirement for the health system by funding source known for the next 5 years?

18. Are government funds for the health system predictable for up to 5 years?

19. Are donor funds for the health system predictable for up to 5 years?

20. Is there an estimate of the potential funding gap for the health system for the next 5 years?

21. Is there any indication of changes in funding priorities of national or external funding partners that are likely to have positive affect on the funding of the health system?

22. Are new sources and mechanisms of internal and external funding being considered for future funding of the health system

As we approach the end of the interview, we'd like to ask for a few final comments and provide you with an opportunity to raise any issues that we may have not discussed

23. Imagine that it is ten years from now and you are looking back at the last decade, 2016-2026. If you were to tell a story of how a low- or middle-income country effectively advocated for and implemented innovative sustainable financing strategies for the health sector, which increased government revenues available to the health sector, and afforded its population universal coverage to health services, at a high impact platform for delivering support to country health systems, what would the story be? What would have been the key elements of success?

24. In order to achieve the successes you describe, what sort of ongoing engagement with stakeholders would be required?

25. Are there any other issues you would like to raise?

Thank you for making the time to talk to me today.

INTERVIEWER SUMMARY OF STAKEHOLDER CHARACTERISTICS

Please complete once interview has ended. Not to be read out to interviewee.

1.07	INTEREST IN THE ISSUE <i>Please check appropriate box</i>	High	Medium-High	Medium	Low-Medium	Low
1.08	INFLUENCE OR POWER <i>Please check appropriate box</i>	High	Medium-High	Medium	Low-Medium	Low
1.09	IMPACT OF ISSUE ON ACTOR <i>Please check appropriate box</i>	High	Medium-High	Medium	Low-Medium	Low
1.10	POSITION <i>Please check appropriate box</i>	Supportive	Non-mobilized		Opposed	



INTERVIEW DATE
INTERVIEWER
START TIME :
END TIME :
LOCATION OF INTERVIEW

MENTAL HEALTH FINANCING DIAGNOSTIC TOOL

NON HEALTH/FINANCE STATE ACTORS

RESPONDENT INFORMATION

1.01 **EMERALD PARTICIPANT ID NUMBER**

1.02 **FIRST NAME(S)**

1.03 **LAST NAME(S)**

1.04 **GENDER**

1.05 **ORGANIZATIONAL AFFILIATION**

1.06 **POSITION WITHIN ORGANIZATION**

MENTAL HEALTH FINANCING DIAGNOSTIC TOOL

STAKEHOLDER GROUP(S):

NON HEALTH/FINANCE STATE ACTORS

PREAMBLE

We are conducting interviews with key experts in a number of different government, and non-governmental agencies in *[Country Name]*, including experts involved in Finance, Health, Parliament, Social Welfare and Economic Development. We are conducting these interviews to answer the overall question of:

How can scaled-up mental health services in *[Country Name]* best be paid for in a way that is feasible, fair and appropriate and within the fiscal constraints and structures of the country?

Depending on your interests or involvement, we would like to ask you questions regarding your opinions on:

- * The main perceived challenges/constraints to increased public health financing, generally and specifically for mental health, for example fiscal pressures, exacerbated by rising disease burdens, unemployment and economic recessions, and political will;
- * Options for moving towards more adequate, fair and appropriate financing for health and mental health service development and system strengthening;
- * Criteria for identifying most suitable strategies for sustainable financing (strength of preference): efficiency, equity, poverty reduction, economic growth and political feasibility.

By conducting these interviews, we hope to generate a comprehensive picture of the main opportunities and also challenges to equitable and sustainable financing of a scaled-up mental health service in *[Country Name]*. The analysis of these interviews will provide an optimal starting point with which to identify:

- * mechanisms to raise general government revenues (thereby raising increased revenues for health);
- * improvements in the efficiency with which resources are currently mobilized and spent; and
- * innovative mechanisms to raise new funds that could go directly to improving the resource availability for health services, including mental health.

Before beginning the interview, we would like to remind you that all responses and comments that you make during this interview will be kept confidential, and you will **not** be quoted or individually identified with specific opinions in any publications, reports, presentations or the proposed round-table discussion with interested stakeholders. Confidentiality will be maintained throughout the research process, as set out in the Informed Consent form we ask you to complete. Participant names will not be used. Instead a unique identifier will be used. All study data will be kept in a secure place and the informed consent documentation will be kept in a lock and key cabinet.

Do you have any questions about the interview before we proceed?

We will start the interview with questions that help to identify your background and expertise, so that we ask you questions that are within your area of expertise.

A. What is your job title and place of work?

We will start the interview with questions that discuss the current role of Mental Health in your field

1. When comparing Mental Health with other Health-sector or Social-sector programme areas across your [ministry/department]'s portfolio, do you think that Mental Health has been given adequate priority?

If yes:

Probe on: Why do you think it is important to address the mental health needs of the populations you serve?

If no:

Probe on: Do you feel that addressing the mental health needs of the populations you serve should be a priority? Please explain your answer. What key messages do you think would convince decision makers to address mental health as a priority?

(if yes, go to Questions 2; if not, go to Question 3)

2. Can you briefly describe the ways in which your [ministry/department] has prioritized the mental health needs of the populations you serve?

Probe on: Specific programs, services rendered directly to affected individuals and their households including financial assistance, grants, social care services or health services.

3. Do you think there are any specific population segments that are unable to access adequate mental health services in [Country Name]?

Probe on: Specific regions, ethnic, socioeconomic or gender groups, vulnerable groups such as the disabled, women and children.

4. From your experience and point of view, what key messages do you think would convince decision makers to address mental health as a priority?

In the next set of questions, we will ask about the resourcing arrangements in your [ministry/department]

5. Is there a specific budget line item for programs and services for those affected by Mental Disorders in your [ministry/department]?

If yes:

Probe on: What is this budget intended to cover? What is excluded from this budget – and how are these excluded items paid for?

Probe on: How is this budget intended to flow through the public sector?

Probe on: How is the budget determined – based on historical budget totals or estimates of resource needs? Is the budget planning centrally coordinated or does it begin at the district level?

6. Do you feel like the available budget for programs and services for those affected by Mental Disorders (or other vulnerable groups) in your [ministry/department] is adequate?

If yes:

Probe on: Do you think there are any ways in which this budget could be used more efficiently?

If no:

Probe on: In your opinion, what are the most important impacts of this inadequate resourcing?

Probe on: What changes or advocacy efforts do you think may be required to improve the resourcing of services for those affected by mental disorder and their families?

In the next set of questions, we will ask about any ongoing health financing efforts or future plans as well as the budgetary (and efficiency) implications for mental health service development.

7. Are there any planned changes to the financing strategies or financing mechanisms that are currently used to fund the [ministry/department] that are likely to have a positive impact on the funding of, or likelihood of funding for, services and programs for those affected by mental disorder and other vulnerable groups in [Country Name]?

Probe on: Changes in national development priorities, reorganization of social support agencies, other health-specific health financing reforms that may impact on social support agencies' functions and capacities.

8. (If reforms are planned): Can you foresee any challenges that might emerge as these reforms are implemented?

Probe on: Long-term sustainability of existing programs that support those affected by mental disorder, their households and other vulnerable groups

Now, we'd like to ask questions about the process for change: how things work, how they get done, how long they take to do, key players and structures, links to other sectors (political economy)

9. Who is responsible for deciding how much funding is, or could be available for programs that support those affected by mental disorder and their households in the [ministry/department]?

Probe on: All stakeholders both within and external to the [ministry/department]

10. What is the process for deciding how much funding is, or could be available for programs that support those affected by mental disorder and their households in the [ministry/department]?

Probe on: Who sets the priorities for funding?

Probe on: What does the process look like?

Probe on: When does the process start/end?

11. What institutions are responsible for conducting oversight in your sector?

Probe on: Specifically, who is responsible for ensuring the resources are used efficiently and effectively?

Probe on: Are public officials held to account when funds are not used effectively, or when programs do not have the intended results?

Probe on: At what level of the public service is accountability for use of funds, and impact of programs held?

12. In your opinion, who are the key stakeholders that impact or influence the availability of funding for services and programs to improve the livelihoods of those affected by mental disorder and other vulnerable groups in [Country Name]?

Probe on: What factors do you believe these stakeholders consider when determining resource availability for these services?

Probe on: What factors do you believe would increase their appetite for funding programs which improve the livelihoods of those affected by mental disorder, and other vulnerable groups in [Country Name]?

The next questions will ask about the main perceived challenges/constraints to increased public sector financing, generally and specifically for mental health, for example fiscal pressures, exacerbated by rising disease burdens, unemployment and economic recessions, and political will.

13. Are there any macroeconomic issues facing the country that are expected to positively or negatively affect the future funding of the programs and services you currently provide, or plan to provide – to those affected by mental disorder or other vulnerable groups in South Africa

Probe on: Economic Growth

Probe on: Unemployment

Probe on: Debt

Probe on: Inflation

Probe on: Other

14. Does economic growth contribute to additional resources for your [ministry]?

Probe on: If economic growth leads to additional resources for the public sector, but not for your [ministry], why do you think this is the case?

As we approach the end of the interview, we'd like to ask for a few final comments and provide you with an opportunity to raise any issues that we may have not discussed

15. Based on your experience, what do you feel are the most critical support needs for those affected by mental disorder and their families in [Country Name], both currently and over the next ten years, outside of health service/health sector needs?

16. Imagine that it is ten years from now and you are looking back at the last decade, 2016-2026. If you were to tell a story at a high impact platform about how [Country Name] was able to address the critical needs of those affected by mental disorder and their families, what would that story be? What would have been the key elements of success?

17. In order to achieve the successes you describe, what sort of ongoing engagement with stakeholders would be required?

18. Are there any other issues you would like to raise?

Thank you for making the time to talk to me today.

INTERVIEWER SUMMARY OF STAKEHOLDER CHARACTERISTICS

Please complete once interview has ended. Not to be read out to interviewee.

1.07	INTEREST IN THE ISSUE <i>Please check appropriate box</i>	High	Medium-High	Medium	Low-Medium	Low
1.08	INFLUENCE OR POWER <i>Please check appropriate box</i>	High	Medium-High	Medium	Low-Medium	Low
1.09	IMPACT OF ISSUE ON ACTOR <i>Please check appropriate box</i>	High	Medium-High	Medium	Low-Medium	Low
1.10	POSITION <i>Please check appropriate box</i>	Supportive	Non-mobilized	Opposed		



INTERVIEW DATE	
INTERVIEWER	
START TIME	:
END TIME	:
LOCATION OF INTERVIEW	

**MENTAL HEALTH FINANCING DIAGNOSTIC TOOL
NON-STATE ACTORS**

RESPONDENT INFORMATION

- | | |
|------|--------------------------------------|
| 1.01 | EMERALD PARTICIPANT ID NUMBER |
| 1.02 | FIRST NAME(S) |
| 1.03 | LAST NAME(S) |
| 1.04 | GENDER |
| 1.05 | ORGANIZATIONAL AFFILIATION |
| 1.06 | POSITION WITHIN ORGANIZATION |

MENTAL HEALTH FINANCING DIAGNOSTIC TOOL

STAKEHOLDER GROUP(S):

NON-STATE ACTORS

PREAMBLE

We are conducting interviews with key experts in a number of different government, and non-governmental agencies in *[Country Name]*, including experts involved in Finance, Health, Parliament, Social Welfare and Economic Development. We are conducting these interviews to answer the overall question of:

How can scaled-up mental health services in *[Country Name]* best be paid for in a way that is feasible, fair and appropriate and within the fiscal constraints and structures of the country?

Depending on your interests or involvement, we would like to ask you questions regarding your opinions on:

- * The main perceived challenges/constraints to increased public health financing, generally and specifically for mental health, for example fiscal pressures, exacerbated by rising disease burdens, unemployment and economic recessions, and political will;
- * Options for moving towards more adequate, fair and appropriate financing for health and mental health service development and system strengthening;
- * Criteria for identifying most suitable strategies for sustainable financing (strength of preference): efficiency, equity, poverty reduction, economic growth and political feasibility.

By conducting these interviews, we hope to generate a comprehensive picture of the main opportunities and also challenges to equitable and sustainable financing of a scaled-up mental health service in *[Country Name]*. The analysis of these interviews will provide an optimal starting point with which to identify:

- * mechanisms to raise general government revenues (thereby raising increased revenues for health);
- * improvements in the efficiency with which resources are currently mobilized and spent; and
- * innovative mechanisms to raise new funds that could go directly to improving the resource availability for health services, including mental health.

Before beginning the interview, we would like to remind you that all responses and comments that you make during this interview will be kept confidential, and you will **not** be quoted or individually identified with specific opinions in any publications, reports, presentations or the proposed round-table discussion with interested stakeholders. Confidentiality will be maintained throughout the research process, as set out in the Informed Consent form we ask you to complete. Participant names will not be used. Instead a unique identifier will be used. All study data will be kept in a secure place and the informed consent documentation will be kept in a lock and key cabinet.

Do you have any questions about the interview before we proceed?

We will start the interview with questions that help to identify your background and expertise, so that we ask you questions that are within your area of expertise.

A. What is your job title and place of work?

We will start the interview with questions that discuss the current role of Mental Health in your field

1. When comparing Mental Health with other Health-sector or Social-sector programme areas across your [organization]'s portfolio, do you think that Mental Health has been given adequate priority?

If yes:

Probe on: Why do you think it is important to address the mental health needs of the populations you serve?

If no:

Probe on: Do you feel that addressing the mental health needs of the populations you serve should be a priority? Please explain your answer. What key messages do you think would convince decision makers to address mental health as a priority?

(if yes, go to Questions 2; if not, go to Question 3)

2. Can you briefly describe the ways in which your [organization] has prioritized the mental health needs of the populations you serve?

Probe on: Specific programs, services rendered directly to affected individuals and their households including financial assistance, grants, social care services or health services.

Probe on: Support for existing State/public sector programs and services rendered through public sector agencies (for example, providing human resources, other resources, oversight)

3. Do you think there are any specific population segments that are unable to access adequate mental health services in [Country Name]?

Probe on: Specific regions, ethnic, socioeconomic or gender groups, vulnerable groups such as the disabled, women and children.

4. From your experience and point of view, what key messages do you think would convince decision makers to address mental health as a priority?

In the next set of questions, we will ask about the resourcing arrangements in your [organization]

5. Is there a specific budget line item for programs and services for those affected by Mental Disorders in your [organization]?

If yes:

Probe on: What is this budget intended to cover? What is excluded from this budget – and how are these excluded items paid for?

6. Do you feel like the available budget for programs and services for those affected by Mental Disorders (or other vulnerable groups) in your [organization] is adequate?

If yes:

Probe on: Do you think there are any ways in which this budget could be used more efficiently?

If no:

Probe on: In your opinion, what are the most important impacts of this inadequate resourcing?

Probe on: What changes or advocacy efforts do you think may be required to improve the resourcing of services for those affected by mental disorder and their families?

In the next set of questions, we will ask about any ongoing health financing efforts or future plans as well as the budgetary (and efficiency) implications for mental health service development.

7. Are there any planned changes to the financing strategies or financing mechanisms that are currently used to fund the [organization] that are likely to have a positive impact on the funding of, or likelihood of funding for, services and programs for those affected by mental disorder and other vulnerable groups in [Country Name]?

Probe on: Changes in national development priorities, reorganization of social support agencies,

Probe on: Changes in donor priorities or practices

8. (If reforms are planned): Can you foresee any challenges that might emerge as these reforms are implemented?

Probe on: Long-term sustainability of existing programs that support those affected by mental disorder, their households and other vulnerable groups

Now, we'd like to ask questions about the process for change: how things work, how they get done, how long they take to do, key players and structures, links to other sectors (political economy)

9. Who is responsible for deciding how much funding is, or could be available for programs that support those affected by mental disorder and their households in the [organization]?

Probe on: All stakeholders both within and external to the [organization]

10. What is the process for deciding how much funding is, or could be available for programs that support those affected by mental disorder and their households in the [organization]?

Probe on: Who sets the priorities for funding?

Probe on: What does the process look like?

Probe on: When does the process start/end?

11. What institutions are responsible for conducting oversight in your sector?

Probe on: Specifically, who is responsible for ensuring the resources are used efficiently and effectively?

Probe on: Is oversight coordinated locally, or outside of the Country?

Probe on: Are there any ways in which the public sector in [Country Name] is involved in the oversight of your organization?

12. In your opinion, who are the key stakeholders that impact or influence the availability of funding for services and programs to improve the livelihoods of those affected by mental disorder and other vulnerable groups in [Country Name]?

Probe on: What factors do you believe these stakeholders consider when determining resource availability for these services?

Probe on: What factors do you believe would increase their appetite for funding programs which improve the livelihoods of those affected by mental disorder, and other vulnerable groups in [Country Name]?

The next questions will ask about the main perceived challenges/constraints to increased public sector financing, generally and specifically for mental health, for example fiscal pressures, exacerbated by rising disease burdens, unemployment and economic recessions, and political will.

13. Are there any macroeconomic issues facing the country that are expected to positively or negatively affect the future funding of the programs and services you currently provide, or plan to provide – to those affected by mental disorder or other vulnerable groups in South Africa

Probe on: Economic Growth

Probe on: Unemployment

Probe on: Debt

Probe on: Inflation

Probe on: Other

As we approach the end of the interview, we'd like to ask for a few final comments and provide you with an opportunity to raise any issues that we may have not discussed

14. Based on your experience, what do you feel are the most critical support needs for those affected by mental disorder and their families in [Country Name], both currently and over the next ten years, outside of health service/health sector needs?

15. Imagine that it is ten years from now and you are looking back at the last decade, 2016-2026. If you were to tell a story at a high impact platform about how [Country Name] was able to address the

critical needs of those affected by mental disorder and their families, what would that story be? What would have been the key elements of success?

16. In order to achieve the successes you describe, what sort of ongoing engagement with stakeholders would be required?

17. Are there any other issues you would like to raise?

Thank you for making the time to talk to me today.

INTERVIEWER SUMMARY OF STAKEHOLDER CHARACTERISTICS

Please complete once interview has ended. Not to be read out to interviewee.

1.07	INTEREST IN THE ISSUE <i>Please check appropriate box</i>	High	Medium-High	Medium	Low-Medium	Low
1.08	INFLUENCE OR POWER <i>Please check appropriate box</i>	High	Medium-High	Medium	Low-Medium	Low
1.09	IMPACT OF ISSUE ON ACTOR <i>Please check appropriate box</i>	High	Medium-High	Medium	Low-Medium	Low
1.10	POSITION <i>Please check appropriate box</i>	Supportive	Non-mobilized	Opposed		



INFORMATION SHEET FOR PARTICIPANTS

KCL REC reference number: to be completed once received

Local reference number: to be completed by local partner

Emerald: Mental Health Financing Diagnostic Interviews [country name]

We would like to invite you to participate in this original research project. You should only participate if you want to; choosing not to take part will not disadvantage you in any way. Before you decide whether you want to take part, it is important for you to understand why the research is being done and what your participation will involve. Please take time to read the following information carefully and discuss it with others if you wish. Ask us if there is anything that is not clear or if you would like more information.

What are the study's aims?

The Emerald project has been carrying out research in several low- and middle-income countries in order to address a number of key mental health financing policy questions toward a strengthened mental health system in <insert name of country>. This has included: identifying country-specific estimates of mental health system resource needs and funding gaps, as well as the potential health system implications of a scaled-up, integrated mental health service in <insert name of country>, and; quantifying the impact of mental, neurological and substance-use disorders on household income, production and capital formation, as well as the household-level social and economic benefits of receiving care in <insert name of country>. In the final stage of our work, we would like to understand how <insert name of country> can finance this scaled-up service and what may be the most promising avenues to achieve sustainable financing for mental health in <insert name of country>.

Who are we recruiting for the study?

We are recruiting key experts in a number of different government, and non-governmental agencies in <insert name of country>, including experts involved in Finance, Health, Parliament, Social Welfare and Economic Development. We are conducting these interviews to answer the overall question of:

How can scaled-up mental health services in [Country Name] best be paid for in a way that is feasible, fair and appropriate and within the fiscal constraints and structures of the country?

What will happen if you agree to take part?

If you agree to take part in this study, we will interview you face-to-face in a location that is convenient to you. A professional interviewer from [Institution Name] would ask the questions. The interview would take up to 1 hour to complete.

Depending on your interests or involvement in the issue, we would like to ask you questions regarding your opinions on:

- * The main perceived challenges/constraints to increased public health financing, generally and specifically for mental health, for example fiscal pressures, exacerbated by rising disease burdens, unemployment and economic recessions, and political will.
- * Options for change toward more feasible, fair and appropriate strategies to raise the required resources for a scaled up mental health service through (and main perceived challenges)

- * Criteria for identifying most suitable strategies for sustainable financing (strength of preference): efficiency, equity, poverty reduction, economic growth and political feasibility.

With your permission the interview will be audiotaped.

Are there any risks or disadvantages associated with taking part in the study?

We do not anticipate any risks associated with the study. Confidentiality of your responses will be maintained so that you can freely express your opinions. Participant names will not be used. Instead a unique identifier will be used. You will not be quoted or individually identified with specific opinions in any publications, reports or presentations. You are free to withdraw from the study at any time.

Are there any benefits of taking part in the study?

There is no direct benefit to you by taking part in this study. However, by taking part in this study, you may help to improve future mental health financing in **<insert country name>**.

What will we do with the information?

Interviews may be tape-recorded, if you agree to this. If you take part in a tape-recorded interview, we will make sure that the tapes do not include any names or any identifying information. If notes are taken instead of tape-recordings, these notes will also not include any names or identifying information. The tapes and notes will be kept in a locked cupboard. Once the interview tapes have been written down, and the data has been analysed, the tapes will be cleared.

Nobody except the project co-ordinators and project data managers will know that the information belongs to you. We will keep the transcripts and consent forms in a locked cupboard.

After the end of this study, the information you give us may be stored and used by other researchers, but they will not be able to identify you in any way.

If we come across any harmful activity during the research, we do not have a legal obligation to tell anyone about this.

What will be done with the results of the study?

By conducting these interviews, we hope to generate a comprehensive picture of the environment, stakeholder opinions, their influence and interests, and resourcing strategies that might be available to enable sustainable financing of a scaled-up mental health service in **<insert country name>**. The analysis of these interviews will provide an optimal starting point with which to identify mechanisms to raise overall general government revenues (thereby raising increased revenues for health). This may be done through improvements in the efficiency with which resources are currently mobilized and spent. We also hope to identify innovative mechanisms to raise new funds that could go directly to improving the resource availability for mental health services.

Once the applicability of different mechanisms have been evaluated, and specific conclusions generated regarding their potential to support sustainable mental health financing in **<insert country name>** - an annotated strategy report detailing the most promising approaches will be prepared and sent to you. We would then like to invite you to a round-table discussion whereby our research team will present the main components of the strategy report, and lead a structured discussion to obtain your opinions of its merits and value for each country context. This roundtable will provide our research team with an understanding of any significant gaps, or areas where the strategy may be aligned more closely to other sector wide transformations. The specific views and opinions you share during this interview will not be identifiable during this round-table discussion, whether you are able to attend or not.

Do I have to take part in the study?

It is up to you to decide whether to take part or not. If you decide to take part you are still free to withdraw from the study at any time and without giving a reason.

You may also withdraw any information you have already provided up until one month after your interview, **i.e. insert specific date depending on country timetable**. A decision to withdraw at any time, or a decision to take part, will not disadvantage you in any way.

If you do decide to take part, you will be given this information sheet to keep and be asked to sign a consent form.

Who is funding the study?

This study is being funded by the European Union.

Who is carrying out the study?

The study is part of the Emerald (Emerging mental health systems in low- and middle-income countries) project, which is being carried out in Ethiopia, India, Nepal, Nigeria, South Africa and Uganda. The project is led by Professor Graham Thornicroft from the Institute of Psychiatry, King's College London. The study in *insert country* is being carried out by *insert local partner*.

If you have any questions or require more information about this study, please contact the research team using the following contact details: *insert name and full contact details of local researchers*

If this study has harmed you in any way, you can contact:

Prof Graham Thornicroft at King's College London using the details below for further advice and information:
Prof Graham Thornicroft, Institute of Psychiatry, King's College London, De Crespigny Park, London, SE5 8AF, United Kingdom,
email: graham.thornicroft@kcl.ac.uk, phone: +44-207-8480736

or:

insert contact details of local partner



CONSENT FORM FOR PARTICIPANTS

KCL REC reference number: **to be completed once received**

Local reference number: **to be completed by local partner**

Please complete this form after you have read the Information Sheet and/or listened to an explanation about the research.

Title of Study

Emerald: Mental Health Financing Diagnostic Interviews **[insert country name]**

Thank you for considering taking part in this research. The person organising the research must explain the project to you before you agree to take part. If you have any questions arising from the Information Sheet or explanation already given to you, please ask the researcher before you decide whether to join in. You will be given a copy of this Consent Form to keep and refer to at any time.

I understand that if I decide at any time during the research that I no longer wish to participate in this project, I can notify the researchers involved and withdraw from it immediately without giving any reason. Furthermore, I understand that I will be able to withdraw my data up until **insert date as stated on Information Sheet.**

I consent to the processing of my personal information for the purposes explained to me. I understand that such information will be handled in accordance with the local data protection rules and the rules of the UK Data Protection Act 1998.

I consent to audio-recording of the interview

I understand that the information I have submitted will be published as a report. I note that confidentiality and anonymity will be maintained and it will not be possible to identify me from any publications.

I agree that the research team may use my data for future research and understand that any such use of identifiable data would be reviewed and approved by a research ethics committee. (In such cases, as with this project, data would not be identifiable in any report).

I agree that my data will be archived in anonymised form, so that other researchers may use my data for future research. I understand that any such use of identifiable data would be reviewed and approved by a research ethics committee. (In such cases, as with this project, data would not be identifiable in any report).

*Please tick or
initial*

PARTICIPANT STATEMENT

I,

PRINT NAME

agree that the research project named above has been explained to me to my satisfaction and I agree to take part in the study. I have read both the notes written above and the Information Sheet about the project, and understand what the research study involves.

SIGNATURE

DATE

INVESTIGATOR STATEMENT

I,

PRINT NAME

confirm that I have carefully explained the nature, demands and any foreseeable risks (where applicable) of the proposed research to the participant.

SIGNATURE

DATE

IN THE EVENT THAT THE PARTICIPANT IS NOT LITERATE

WITNESS STATEMENT

I,

PRINT NAME (WITNESS)

agree that the research project named above has been explained to

PARTICIPANT NAME

to his/her satisfaction and that s/he agrees to take part in the study. Both the notes written above and the Information Sheet about the project have been read by him/her, and s/he understands what the research study involves.

WITNESS SIGNATURE

DATE