Guidance note on Online Kayakalp Assessment

- The Kayakalp initiative aims to rejuvenate public health facilities by promoting cleanliness, hygiene and infection control practices. Within a short span of 5 Years of its implementation the Kayakalp is now a popular and well-accepted initiative. The program has been able to inculcate a culture of ongoing assessment, peer review, gap finding, undertaking improvement process for gap-closure and finally meeting Kayakalp bench mark.
- In the current pandemic situation due to COVID-19, the States/UTs are facing difficulty in conducting Kayakalp physical assessment. The requirement for social distancing and restricted travel are main hindrances for undertaking assessments. Therefore it has been decided to go for online virtual assessment of the healthcare facilities.
- The States/UTs facing issues with physical assessment may follow this guidance for assessments under Kayakalp. This guidance note will be applicable for all facilities in the States. The States and UTs may use this guidance for both peer and external assessments.
- If States/UTs are facing connectivity issues in rural areas, they may exempt peer assessment this year for Primary healthcare facilities (PHCs and HWCs).
- States/UTs are expected to follow uniformity in the process of assessment and there should not be mix of physical and virtual assessment for same level of facilities.
- This note is intended to describe the process of online virtual Kayakalp assessment and it will be remain effective till the physical assessments become feasible.

Healthcare facilities to be covered

a. DHs
b. SDHs/CHCs
c. PHCs (With beds)
d. PHCs (Without beds)
e. Urban Health Facilities
f. Health and Wellness Centres (Sub Centres)

Checklists for Virtual Assessment:-

Existing Kayakalp checklists have been simplified for undertaking the virtual assessment. Two simplified checklists may be used for the virtual assessment:-

a. Kayakalp checklist for Virtual assessment of the facilities having indoor beds- Applicable for DHs, SDHs, CHCs and PHCs with beds- *Annexure-A*
b. Kayakalp Checklist for Virtual assessment of facilities providing OPD services only- Applicable for PHCs without beds, UPHCs and HWCs- *Annexure-B*

Composition of Kayakalp assessment team

- For selecting the award winning DHs, CHCs/SDHs, it is essential to have State nominated teams for external assessment. In the case of PHCs and HWCs, the State could delegate to the district committees to undertake external assessment and declare the awards. Each team would consist of at least 3 assessors for District hospital level facilities and two for SDHs/CHCs/PHCs and HWCs.

Honorarium for assessors

- *The States/UTs may follow the existing norms of the State to provide honorarium to the assessors.*

Process of Assessment

- The State/district may shortlist the facilities based on the scores of the internal/peer assessment. All facilities those have scored at least 70% will be eligible for the Peer/External assessment (Virtual).
- All assessors can sit together in front of a single screen by maintaining safe distance or may use individual screens on IT platform.
- After the virtual assessment each assessor of the team is required to fill separate Kayakalp checklist. The average score of all assessors will be calculated to arrive at Kayakalp external assessment score.
- The assessors will be required to submit the assessment report with average score to the State/District Award committee within three days.

Finalization of Kayakalp awards

- After submission of Kayakalp external assessment report by Assessors, the State team will finalize the Kayakalp awards based on the weighted average score obtained in following three criteria for DHs level facilities:-
    1. Kayakalp External virtual assessment score
    2. Peer Assessment score (Virtual or non-Virtual)
    3. Mera Aspataal score

Methodology for calculating weighted average score of Kayakalp

Scores and Weightage:-

- For DHs and SDHs, the Kayakalp award will be finalized based on the weighted average score obtained in the following three criteria:-

S.No	Criteria	Scores	Weightage
Criteria –I	Kayakalp External (virtual) assessment score	% of scores obtained during virtual assessment	60%
Criteria-II	Peer Assessment Scores (Virtual/Non Virtual)	Score obtained in Peer Assessment	25%
Criteria-III	Mera Aspataal score	% of patients dissatisfied with the cleanliness	15%

- For the CHCs/ PHCs/UPHCs/HWCs, the Kayakalp award will be finalized based on the weighted average score obtained in the following two criteria:-

S.No	Criteria	Scores	Weightage
Criteria –I	Kayakalp External virtual assessment score	% of scores obtained during virtual assessment	75%
Criteria-II	Peer Assessment Scores (Virtual/Physical)	Score obtained in Peer Assessment	25%

Virtual tour Protocols

Opening Meeting:

- The virtual tour may commence with an introduction by the assessors.
- Assessors need to explain purpose of the meeting.
- Discuss the measure to ensure confidentiality and security of the data and information shared during the virtual tour.
- The nodal officer/facility in-charge is expected to provide a brief overview of the facility, the available departments, HR positions and various initiatives taken to improve the cleanliness, BMW and infection control practices.

Guided tour:

- After the opening meeting the facility nodal officer is expected to arrange a guided tour of the facility. This guided tour should include most of the departments of the hospital and outside boundary of the facility.
- The Guided tour may be arranged starting from the entrance of the facility to the Registration counter, OPD, Emergency, Lab, Radiology, Labour Room, OT, indoor wards, Auxiliary services and outside boundary of the hospital etc. It should also include ramps, staircase, terrace, landscaping, Gardening, & hospital boundary.
- Safe guard the privacy of patients/attendants during the guided tour.
- The assessor may observe various activities and procedures of the department, ask to show register and other record, check competency of the staff, interview with the patients during this guided tour.
- ***Given below are the few suggestive lists for the guided tour; however the assessor may ask for any additional details within the scope and limitation of the virtual tour and as per the Kayakalp checklist.***

In general guided tour may include the following:

Observation:-

1. Intact boundary wall of the facility with functional gates and cattle traps.
2. Any abandoned buildings, water loggings, and unauthorized occupations in the facility.
3. The presence of any stray animals in the facility.
4. Landscape and gardening of the hospital including Herbal Garden.
5. Physical infrastructure of the hospital building – wall, roof, ceiling, floor in the patient care areas and circulation areas for cleanliness.
6. Main hospital board signage's, departmental & directional signage's of the facility. IECs and work instruction displayed in the facility and the departments.
7. The illumination level in the different department of the facility and usage of energy efficient lighting system.
8. Cleanliness of ramps, staircase and lifts in the facility.
9. Cleaning, disinfection & sterilization procedures of the department.
10. The system of Bio Medical waste management that includes segregation, transportation, Storage and final disposal.

Review of Record:-

1. Review of housekeeping checklists
2. Review of consumption record for PPEs & linens.
3. Review of consumption record for linens.
4. Review of consumption record for detergents, cleaning solutions etc.
5. Record of Housekeeping checklists
6. Record of BMW management
7. SOPs for cleanliness, BMW and infection control.
8. Statutory compliance like authorization of BMW, availability of common disposal facility and record for BMW.
9. Training record for the Staff.
10. Outsource service management

Interview with Staff:-

1. About the Six-steps & 5 moments of hand washings
2. Doffing and donning of PPEs, availability of PPEs, protocols for PEPs etc.
3. The availability of detergents, disinfectants, PPEs, in the department.
4. The process of cleaning, disinfection & sterilization procedures of the department.
5. The system of Bio Medical waste management.
6. Management of spills including blood and mercury.
7. Procedure of post exposure prophylaxis.
8. 5 'S" Work place management practices.
9. Availability of dress code and I-Cards.
10. The training status of the staff regarding BMW and infection control practices.

Interview with Patients:-

1. About their satisfaction with cleanliness of toilets, wards etc.
2. About the basic amenities in the facility like drinking water, toilets, waiting area etc.
3. About the quality of linen provided.
4. About role and responsibility for Cleanliness and waste management

After virtual tour the Assessors are required to fill the following checklists:-

1. For DHs/SDHs/CHCs/PHCs having indoor beds: - Checklist for Virtual Assessment-Kayakalp attached in **Annexure-A.**
2. For PHCs without beds/HWCs providing OPD services only **Annexure-B**

Role and responsibilities for the Assessor during Virtual tour

- Support the facility team in scheduling the virtual tour based on the mutual agreement.
- Consider the available resources of the facility and finalise the IT platform as per the convenience of the facility and the state directives. Please appreciate limitation of IT resources in the peripheral health facilities. Laptops/Tablets/Smartphones etc. may be used for the assessment.
- Be on time as per schedule of the virtual tour.
- Define the agenda of the virtual tour and communicate well in advance to the nodal officer from the facility.
- Communicate in advance to the facility what, when and how the guided tour will be conducted.
- The assessor may evaluate the peer assessment scores of the facility and cross verify the non-compliances observed during virtual external assessment.
- Prepare yourselves with the questions to be asked, evidences to be cross verify, documents to be checked, processes to be observed as per Kayakalp checklist.
- Key for the successful assessment during virtual tour will be the meticulous planning by the assessor well in advance.
- Please identify critical things for verification beforehand for efficient management of time during guided tour.
- Support the facility team during a prior test on the use of ICT before the virtual tour to confirm that there is stable connection, competencies on use of the technology etc. Resolve the issues if any before the actual virtual tour.
- Try to minimize the distractions (e.g. silent you phones, no cross talking, avoid any background noise etc.
- Please appreciate limitation of virtual verification of each Kayakalp checkpoint. It may be possible that every checkpoint is not verifiable virtually.
- Protect the privacy and rights of the patients.
- Report the observations/remarks during the virtual tour to be compiled with the final report.
- Share the soft copy of the report and average kayakalp assessment score to the State/District award nomination committee, within three days post assessment.
- Don't share any data, findings with any external party and on social media.

Guidelines for usage of the Kayakalp checklist for Virtual tour

- There is a single checklist for the assessment of facilities like DHs, SDHs, CHCs & PHCs. However, the Assessors are requested to run the checklist as per the level of facilities looking for commensurate details. ***Annexure-A***
- For PHCs without beds, UPHCs and HWCs the assessor are expected to use the existing Kayakalp checklist placed at ***Annexure-B***

- Following general principle may be followed in giving numerical score in the checklist.
  1. Full Compliance: - If the information gathered gives the impression that all the requirements of checkpoints and means of verification are being met, full compliance (2) should be provided for the given checkpoint.
  2. Partial compliance: - for providing partial compliance at least 50% or more requirements should be met, a score of 1 mark may be provided for the given checkpoint.
  3. Non-Compliance:- It should be assigned to the checkpoint when the facility fails to meet at least 50% of the requirements of means of verification. In this case a score of 0 may be provided.
- Any checkpoints starting with ***"No"*** are absolute checkpoint, having option of only full or no compliance. Even if one component of requirement is not available at the facility, this will be considered as noncompliance. E.g.:- ''No stray animals in the facility'', that means during virtual tour if assessors have found any stray animal (Cows, Dogs, Pigs etc.) anywhere in the facility, Non-compliance (0) is to be given.
- During assessment if the assessors feel, any checkpoint is not applicable in the facility, the full compliance (2) may be given to the corresponding checkpoint. E.g. if assessor are assessing '' there is valid contract for outsource services (if any) like housekeeping, BMW Management'', and they come to know the facility has no outsourced services, full compliance (2) may be given to the corresponding checkpoint.
- Assessors may use any of the four assessment methods like Observation (OB), Staff interview (SI), Record review (RR) or Patient interview (PI) for assessment of any checkpoint. For ease of the assessors' suggestive method of assessment has been given in the checklist. Assessors are free to use any/combination of assessment methods during the assessment.
- All areas/departments of the facility should be assessed for arriving the scores. Kayakalp assessment should not be done on sample basis as it is a facility based checklist. E.g. if assessors are assessing ''No dirt/grease/stains/garbage/cobwebs/bird nest/dust/seepage in the ward'', they should assess maximum number of wards in the facility like Maternity, paediatric, surgical, medical, Ortho etc. If nowhere, they have found any dirt/grease/stains/cobwebs/bird nest/dust/seepage than only compliance 2 is recommended.
- Each member of the assessor team are important and all should assessed the facility simultaneously and fill the checklist separately.