



**SWACHH BHARAT
ABHIYAAN**
EK KADAM SWACHHATA KI ORE

Kayakalp: Protocol for Virtual Assessment: Urban-HWCs



AGENDA

- Context of Kayakalp
 - the Background, and Objective
- Key Feature of Programme
 - the concepts, Cash Awards, Assessment Process
- Kayakalp Measurement System
 - Checklists, Scoring Rules and Assessment Methods
- *Virtual Assessment*

Background

- Swachh Bharat Abhiyan launched by Prime Minister on 2nd October 2014 focuses on “Promoting cleanliness in Public Spaces”
- Kayakalp- Clean Hospital Award for Public Health Facilities Launched by Union Health Minister on 15th May 2015



Objectives of Kayakalp Initiative

- To promote *cleanliness, hygiene and Infection Control* Practices
- To *incentivize and recognize* public healthcare facilities that show exemplary performance adhering cleanliness and infection control.
- To inculcate a culture of ongoing assessment and peer review of performance
- To create and share sustainable practices related to improved cleanliness

Key-feature of Award Scheme

- Assessment on predefined objective criteria
- System of Peer-review
- Cash Award for Central Government Institutions, DHs, SDHs/CHCs in a State.
- Cash Award for PHC, UPHCs & HWCs in each District/City.
- Certificate for commendation & cash award for facilities achieving more than 70% score.
- Felicitation of Central Government Institutions and best Hospitals of States at National Level.

Kayakalp for Urban HWCs

S.No.	No. of Health facilities	Number of Awards	Award Amount (Rs. In Lakh)	Unit of Allocation
Award Criteria U-PHC-HWCs				
1.	10-20	One Winner	2.00	For each cluster at State/Metro as the case may be
2.	20-50	One winner	2.00	1 per District/ Zone/Region of 7 metros
		1 st Runner-up	1.5	
3.	50 & Above	One winner	2.00	1 per District/ Zone/Region of 7 metros
		1 st Runner-up	1.5	
		2 nd Runner-up	1.0	
1.	All U-PHCs scoring 70%	Commendation Award	0.50	All Eligible facilities

Kayakalp Journey

2020

Virtual
Certification

2019

Extension to Health and Wellness
Centres

2018

New theme - Assessment of
'Outside Boundary wall'
added

2017

Extended to Urban PHC
and UCHC

2016

Extended to SDH, CHC
and PHC

2015

- Launch of Kayakalp
- Implemented in DH only

Criteria for Assessment



Hospital upkeep



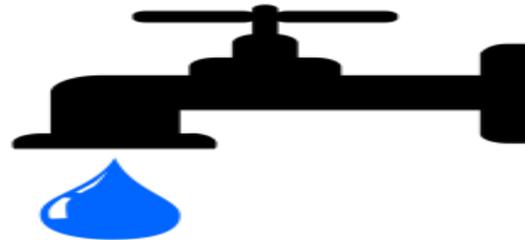
Sanitation & Hygiene



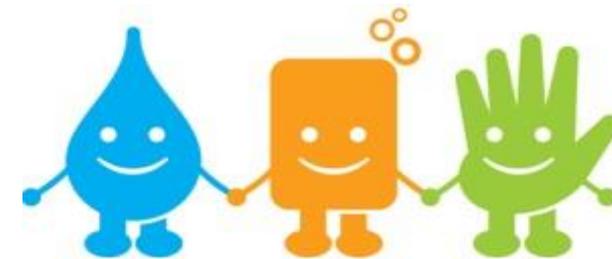
Waste Management



Infection Control



Support Services.



Hygiene promotions



Outside hospital
Boundary

Institutional Framework

State Level Award Committee

Chairperson: MD/Health Secretary. Members: senior officers from Health directorate, SQAC, development Partners Medical Colleges, NGOs Public Health Engineering department, Pollution Control Board and water and Sanitation department.

Dissemination, Assessors Team constitution, Trainings, coordinate & validate Assessment, finalize winners & award, conflict resolution

District level Award Nomination Committee

Chair person: DM/CMO
Members: Zilla Panchayat Health committee, DQAC, Civil society representatives, RKS members

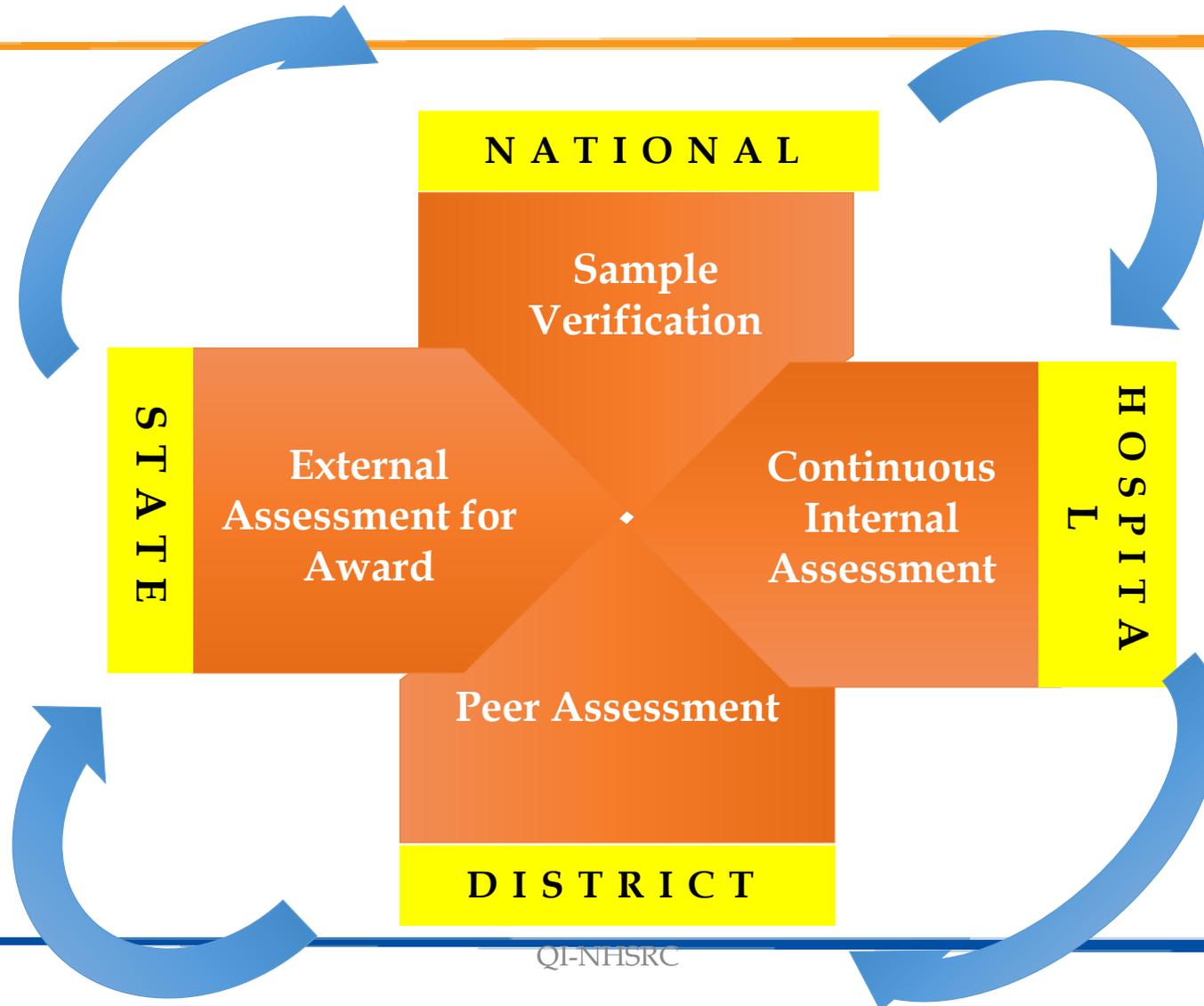
Dissemination, internal & peer assessment, Trainings, monitoring, nomination for awards.

Hospital Cleanliness & Infection Control Committee

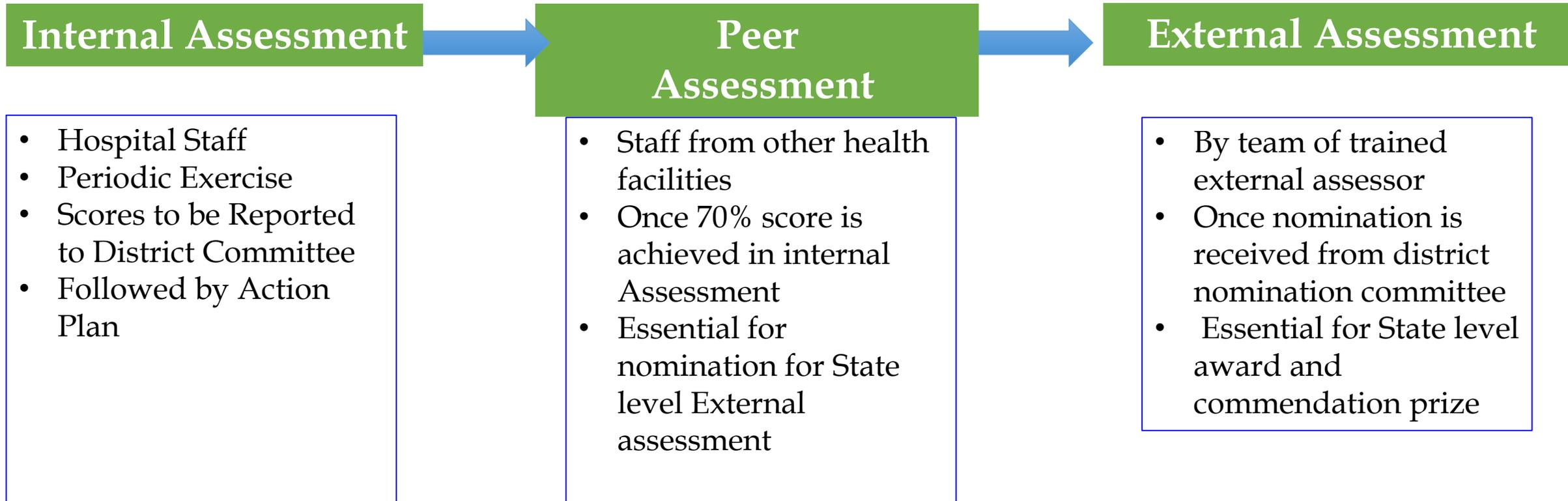
Medical Superintendent, Matron, Hospital Manager, Pathologist/ Microbiologist, Departmental In charges

Internal Assessment, Action Planning, Gap Closure, Hands on Training, Monitoring of cleanliness

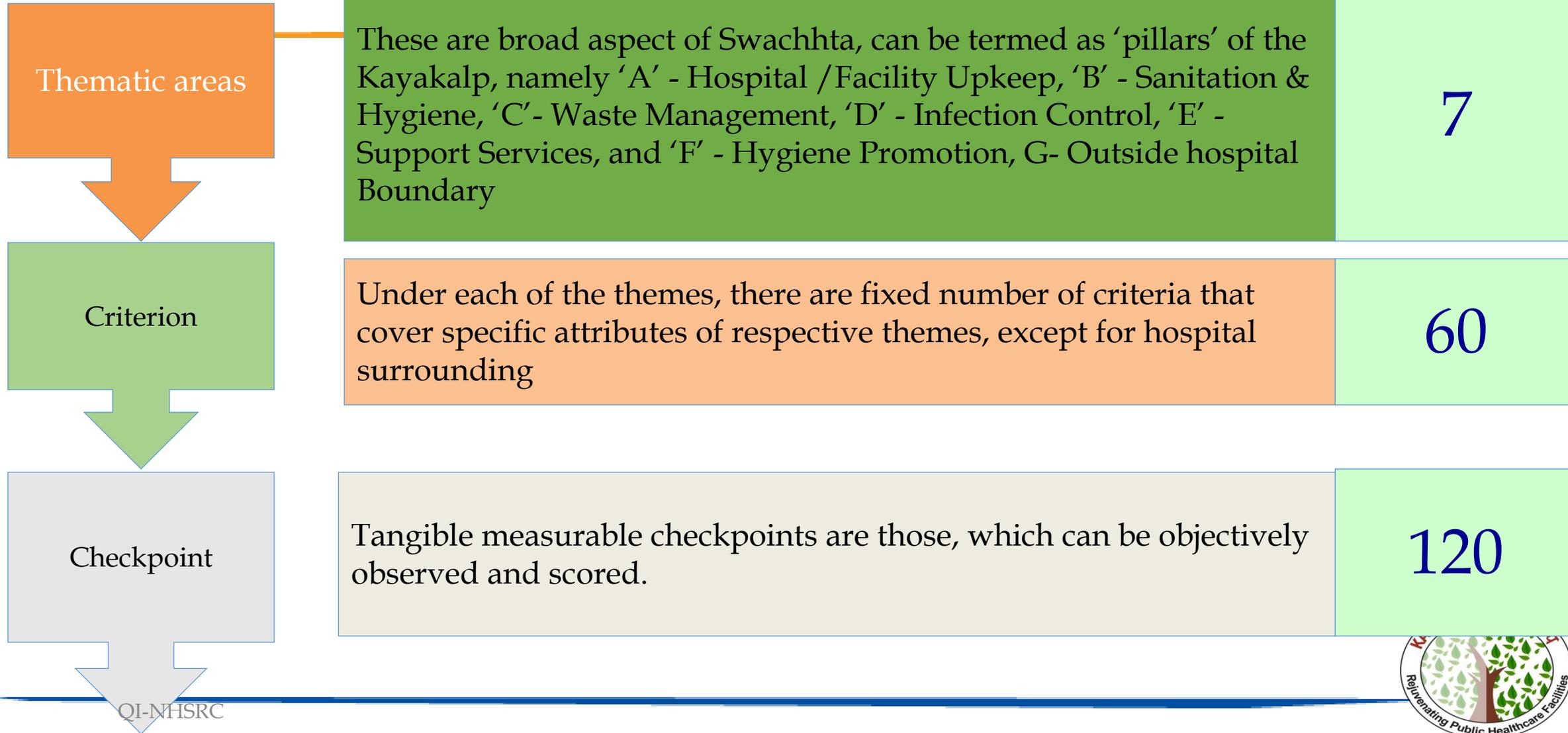
Assessment Process



Assessment Activities



KAYAKALP Measurement System



KAYAKALP Checklist

- The Kayakalp assessment is done using Checklists.
- Checklist is compilation of Themes, Criteria and Checkpoints in systematic manner.
- Apart from these, checklist also provides assessment aid in terms of Assessment Method and Means of Verification against each checkpoint.

Kayakalp Checklists

Section-A
(Page-39)

- Applicable for DHs, SDHs and CHCs
- Secondary care facilities

Section-B
(Page-78)

- Applicable for PHCs(24*7) with Beds
- Having indoor beds and Labour Room

Section-C
(Page-104)

- Applicable for UPHCs-HWCs
- Only ambulatory set-up

Section-D
(Page-123)

- HWCs-Sub-centres

Criteria for Assessment- UPHCs-HWCs

40



Hospital upkeep

40



Sanitation & Hygiene

40



Waste Management

40



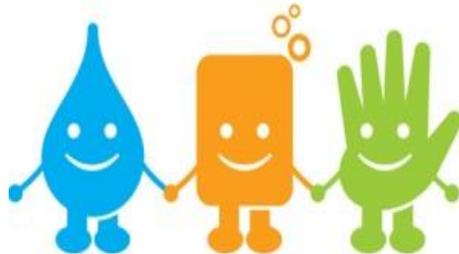
Infection Control

20



Support Services

20



Hygiene promotions

40



Outside Hospital Boundary

कायाकल्प

Clean Hospital Initiative



10 CRITERION

20 CHECKPOINTS

40 MARKS

WEIGHTAGE 16.6%

Theme A - Hospital / Facility upkeep

Pest & Animal Control



Landscaping & Gardening



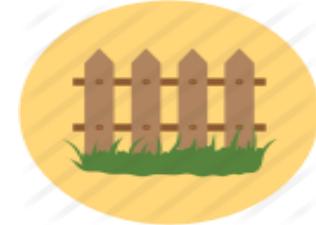
Work Place Management



Water Conservation



Maintenance of open area



Theme A



Hospital Upkeep

Hospital Appearance



Removal of Junk Material



Infrastructure Maintenance



Maintenance of Furniture & Fixtures



Illumination



कायाकल्प

Clean Hospital Initiative



10 CRITERION

20 CHECKPOINTS

40 MARKS

WEIGHTAGE 16.6%

Theme B - Sanitation & Hygiene

QI-NHSRC



कायाकल्प

Clean Hospital Initiative



10 CRITERION

20 CHECKPOINTS

40 MARKS

WEIGHTAGE 16.6%

Theme C – Waste Management

Segregation of BMW

Collection & transportation of BMW

Statuary Compliances

Equipment & supplies for BMW

Liquid waste management

Solid general waste management

Management of hazardous waste

Sharp Management

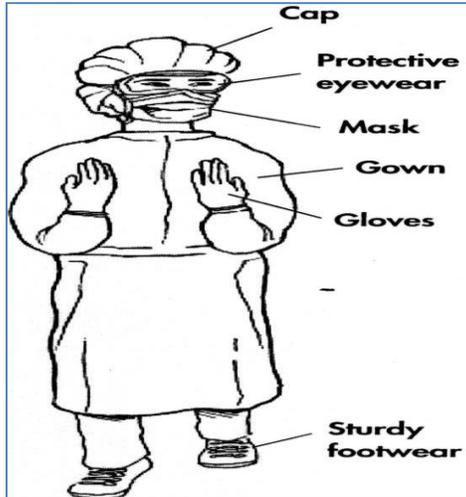
Storage of BMW

Disposal of BMW





Theme D: Infection Control



D1 Hand Hygiene

D2: Personal Protective Equipment (PPE)

D3: Personal Protective Practices

D4: Decontamination & cleaning of instruments

D5: disinfection and sterilization of instruments



Theme D: Infection Control



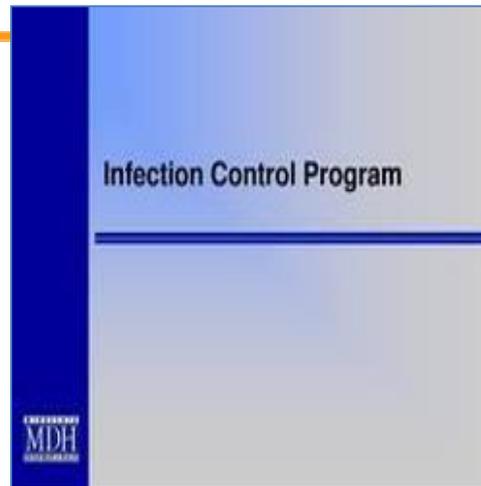
D6: Spill management.

10 CRITERION



D7: Isolation and Barrier Nursing.

20 CHECKPOINTS



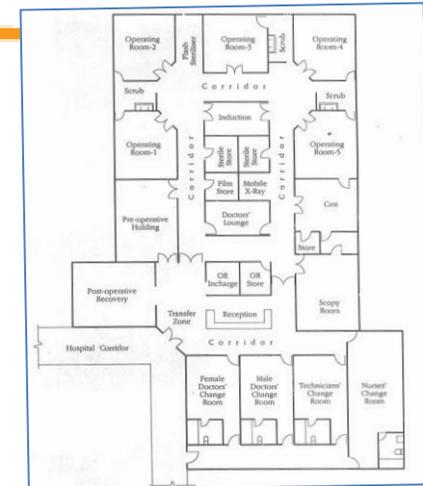
D8: Infection Control Program

40 MARKS



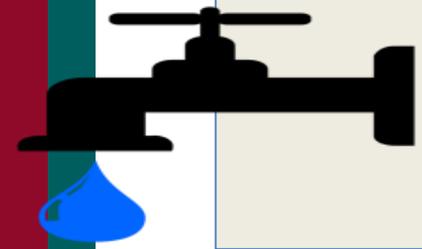
D9: Hospital Acquired infection surveillance

WEIGHTAGE 16.6%



D10: Environmental Control.





Theme E: Support Services



Laundry service and Linen Management



Water Sanitation



Pharmacy & Sores



Security



Outsource

5 CRITERION

10 CHECKPOINTS

20 MARKS

WEIGHTAGE 8.3%



Theme F-Hygiene Promotion



Community monitoring & patient participation

Information, Education and Communication

Leadership and Teamwork.

Training, Capacity building and standardization

Staff Hygiene and Dress Code.

5 CRITERION

10 CHECKPOINTS

20 MARKS

WEIGHTAGE 8.3%

Theme G: Beyond Hospital Boundary



G1: Promotion of Swachhata & Coordination with local bodies



G2: Cleanliness of approach road and surrounding area



G3: Aesthetic in surrounding area



G4: Maintenance of surrounding area and waste management

4 COMPONENTS

20 CHECKPOINTS

40 MARKS

WEIGHTAGE 16.6%



KAYAKALP – Anatomy of Score Card

Ref. No.	Criteria	Assessment Method	Means of Verification	Compliance
A. HOSPITAL/FACILITY UPKEEP				
A1 Pest & Animal Control				
A1.1	No stray animals within the facility premises	OB/SI	Observe for the presence of stray animals such as dogs, cats, calves, pigs, etc. within the premises. Also discuss with the facility staff	
A1.2	Cattle-trap is installed at the entrance	OB	Check at the entrance of facility that cattle trap has been provided. Also look at the breach, if any, in the boundary wall	
A1.3	Pest Control Measures are implemented in the facility	SI/RR	Ask the facility administration about pest control measures to control rodents and insect. Check records of engaging a professional agency for the same	
A1.4	Anti-termite Treatment of the wooden furniture and fixtures is undertaken periodically	RR/SI	Check if the facility has a scheduled programme for anti-termite treatment at least once in a year	
A1.5	Measures for Mosquito free environment are in place	OB/SI /PI	Check for a. Usage of Mosquito nets by the patients b. Availability of adequate stock of Mosquito nets	

Thematic Area

Reference No.

Assessment Method



OBSERVATION (OB)



RECORD REVIEW (RR)



STAFF INTERVIEW (SI)



PATIENT INTERVIEW (PI)

Compliance & Scoring Rules

Full Compliance

2

- All Requirements in Checkpoint are Meeting
- All Tracers given in Means of verification are available
- Intent of check point is meeting

Partial Compliance

1

- Some of the requirements in checkpoints are meeting
- 50% -99% of tracers in Means of verification are available
- Intent of check point is partially meeting

Non Compliance

0

- Most of the requirements are not meeting
- Less than 50% of tracers in Means of verification are available
- Intent of Check point is not meeting

Following points should be taken into consideration during assessment –

- Kayakalp checklist is facility level checklist. There are no departmental checklists. *The compliance to a checkpoint applicable to multiple departments should be arrived after assessing all the applicable departments.*

Example- Adherence to 6 steps of Hand washing

- 3 areas were visited for assessing hand hygiene practices. Only in 2 area staff could demonstrate the 6-steps of hand washing correctly. In this case, partial compliance (01 mark) is recommended to be given.
- For a checkpoint, where multiple items are required to be checked in more than one department, the compliance will be based on the total score arrived for this checkpoint.

Following points should be taken into consideration during assessment –

- All areas of facility should be assessed for arriving scores. *Kayakalp assessment should not be done sample basis*. Arriving of conclusion by visiting few area is not recommended.
- Each checkpoint has its own exclusive requirements. Compliance or noncompliance to checkpoints should not be triangulated by observing compliance to other checkpoints.
- There is *no option for “Not Applicable”*. All check points must be either given compliance, partial compliance or noncompliance.
- For ease of assessment, assessors may divide thematic areas amongst team members.

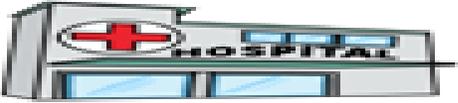
Following points should be taken into consideration during assessment –

- Any checkpoints starting with *“No” is absolute checkpoint,* having only full or noncompliance. Even if one component of requirement is not available at the facility, this will be considered as noncompliance.
 - Example- Checkpoint- B6.2 - No foul smell in the Toilets
 - Two Toilets were visited to assess the cleanliness. One of the toilets was stinking. Non Compliance (0) is to be given.

The Cleanliness Score Card

Name of Facility	100.0%	Level of Assessment
Grading		Improvement

Thematic Scores

		
A. Hospital Upkeep	B. Sanitation & Hygiene	E. Support Services
100	100	50
		
C. Waste Management	D. Infection Control	G. Hygiene Promotion
100	100	50



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Kayakalp - Protocol for Virtual Assessment



Why virtual Assessment?

- ❑ In the current pandemic situation due to COVID-19, and the requirement for social distancing and restricted travel are the hindrances for undertaking physical assessments.
- ❑ Therefore, online virtual assessment of the healthcare facilities under Kayakalp scheme has been initiated this year.

Is it compulsory?

No, its optional

Who can do?

- The States/UTs facing issues with physical assessment may follow the virtual assessments under Kayakalp.
- Applicable for *all facilities* in the States.
- The States and UTs may use for *both peer and external assessments*.

Few important consideration

- ❑ 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*.

Scheme coverage

□ Health facilities to be covered:-

- ✓ DH/SDH/CHC
- ✓ PHC (With beds)
- ✓ PHC (Without beds)
- ✓ Urban Health Facilities
- ✓ Health and Wellness Centres operational in Sub Centre

Checklists for Kayakalp-Virtual

- ❑ Existing Kayakalp checklists have been simplified (abridged version) for undertaking the virtual assessment.
- ❑ Two simplified checklists may be used for the virtual assessment:-
 1. Kayakalp checklist for Virtual assessment of the facilities having indoor beds- Applicable for DHs, SDHs, CHCs and PHCs with beds
 2. Kayakalp Checklist for Virtual assessment of facilities providing OPD services only- Applicable for UPHCs and HWCs

Composition of external 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 UPHCs 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 two member *for UPHCs and HWCs.*

Honorarium for assessors

- The States/UTs may follow the existing norms of the State to provide honorarium to the assessors.*
- In no case the honorarium would be more than the existing norms.*

Process of Assessment

- ❑ The City/Cluster/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 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 City/District Award committee within three days.

Responsibilities of the facility

- Assign a nodal officer from the facility for virtual assessment.
- Generate a link for virtual assessment. (Not compulsory, State or district team may also do the same)
- Use robust and secured IT platform, approved by the government for conducting virtual meetings.
- Ensure availability of required hardware (Computer, Laptop, webcams, camera, mike etc.).
- Ensure uninterrupted internet and power supply.
- If possible ensure availability of IT expert/Technician throughout the virtual meeting.



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 areas of the facility and outside boundary* of the facility.
- ❑ The Guided tour may be arranged starting from the entrance of the facility to the Registration counter, OPD, Lab, Radiology, immunization clinic, 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.

Role and Responsibilities of Assessors

- 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.

Role and Responsibilities of Assessors....

- ❑ The assessor may evaluate the peer assessment scores of the facility and cross verify the non-compliances observed during virtual external assessment.
- ❑ Prepare 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.
- ❑ Identify critical things for verification beforehand for efficient management of time during guided tour.

Role and Responsibilities of Assessors....

- ❑ 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.

Role and Responsibilities of Assessors...

- ❑ 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.
- ❑ Share the soft copy of the report and average kayakalp assessment score to the City/District award nomination committee, *within three days post assessment.*
- ❑ *Don't share any data, findings* with any external party and on social media.

Finalization of Kayakalp awards

- ❑ After submission of Kayakalp external assessment report by Assessors, the city/District team will finalize the Kayakalp awards based on the weighted average score obtained in following three criteria for UPHC-HWCs facilities:-
 1. Kayakalp External virtual assessment score
 2. Peer Assessment score (Virtual or non-Virtual)

Scores and weightage

□UPHCs and HWCs:-

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

Guidance for usage of Kayakalp checklists

- ❑ For UPHC-HWCs the assessors are expected to use the abridged Kayakalp checklist.

Compliance and scoring rules

Full Compliance

2

- All Requirements in criteria are meeting
- If 100% of criteria are available
- Intent of the criteria is meeting
- If it is not applicable in the level of facility

Partial Compliance

1

- Some of the requirements in criteria are meeting
- If 50-99% of criteria are available
- Intent of the criteria is partially meeting

Non Compliance

0

- Most of the requirements are not meeting
- Less than 50% of criteria are available
- Intent of the criteria is not meeting

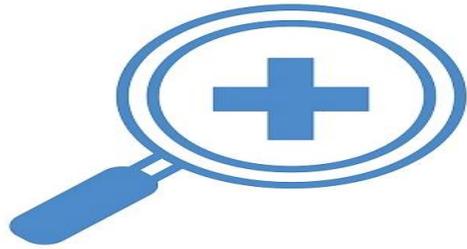
Absolute Checkpoints

- ❑ 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.

Not applicable checkpoints

- ❑ 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.

Assessment Methods



OBSERVATION (OB)



STAFF INTERVIEW (SI)



RECORD REVIEW (RR)



PATIENT INTERVIEW (PI)

Precautions before arriving to score

- ❑ All areas 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 in the ward”, they should assess maximum number of areas in the facility, If nowhere, they have found any dirt/grease/stains 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.*

Connect through “Kayakalp”

- <http://qi.nhsrcindia.org/kayakalp-swachh-swasth-sarvatra>
- Email:- kayakalpindia@nhsrcindia.org
- Facebook page:-
<https://www.facebook.com/pages/Kayakalp/586316831510706>
- Kayakalp App:- [*GUNAK App*](#) on Android

Kayakalp Awards





**Thank
you**

