



# A Malaria Elimination Guide to Reactive Case Detection (RACD) Monitoring & Evaluation Tool

## Module 1: Reviewing Key Documents

The Malaria Elimination Initiative

**UCSF** Institute for  
Global Health  
Sciences

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The Malaria Elimination Initiative is an initiative of  
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[shrinkingthemalariamap.org](http://shrinkingthemalariamap.org)

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## Introduction

The objectives of [Module 1](#) of the RACD Monitoring & Evaluation Tool are to:

1. Review the key documents and personnel involved in the RACD process to assess whether SOPs, organizational diagrams, and activity and reporting flow diagrams exist at the health facility level.
2. Identify the gaps in availability and use of key documents for reporting and take any necessary actions in order to implement improvements.

### Why is Module 1 Useful?

By reviewing the key documents and personnel involved in the RACD process, [Module 1](#) assesses whether standard operating procedures (SOPs), organizational diagrams, and activity and reporting flow diagrams exist. Provincial and national malaria surveillance officers can use [Module 1](#) to determine if the SOPs are used by program staff who conduct RACD activities. Gaps in the availability and use of key documents for reporting can be identified and addressed. If necessary, additional trainings can be provided to staff reporting on malaria activities to ensure that they are doing so according to the standard operating procedures using standardized reporting forms and methods.

### Who Should Use Module 1?

The RACD M&E tool will be led by a national- or provincial-level malaria program manager or surveillance officer. [Module 1](#) is implemented by district-level surveillance officers who regularly visit and interact with health facility based personnel. District-level officers should review the key documents and personnel involved in the RACD process at the health facility level to determine whether standard operating procedures (SOPs), organizational diagrams, and activity and reporting flow diagrams exist. Gaps in the availability and use of key documents for malaria reporting can be identified and addressed.

### How is Module 1 Used?

*Module 1: Reviewing Key Documents* includes a series of Excel worksheets and a corresponding manual to aid district-level surveillance officers and personnel in the review of the availability and use of key documents for malaria reporting and

procedures. The workbook for [Module 1](#) is available on the 'Tools' section of the Malaria Elimination Initiative's website: [www.shrinkingthemalariamap.org](http://www.shrinkingthemalariamap.org). The accompanying materials to complete [Module 1](#) include:

1. [Module 1](#) Manual
2. Reviewing Key Documents Excel workbook

Once you have completed [Module 1](#), send related files and data to the individual who is leading the module in your province or region.

### Where Has Module 1 Been Used?

The RACD M&E tool and its modules were piloted in several malaria-eliminating settings, including provinces in Cambodia, China, Indonesia, South Africa, and Thailand. The tool has since been implemented in Zanzibar, along the Myanmar border (Yunnan Province, China) and scaled-up nationally in Thailand. As a result of implementing the tool, and thereby having an improved understanding of operational gaps, several countries conducted national- and regional-level trainings on surveillance and case investigation, and indicators from the tool were integrated into the national malaria database to ensure standardized reporting. Results from [Module 1](#) have identified that not all health facilities in areas where the tool was implemented had the proper case notification forms, SOPs or documentation to support malaria implementation activities. For example, in Aceh, Indonesia 70.6% (24/34) of health facilities examined had a case notification form available, 8% (3/34) had SOPs or instructions on the reporting processes for case notification, investigation or RACD. These findings highlight the need to evaluate whether health facilities that are reporting malaria have the notification forms and documentation available to ensure complete reporting.

### Module 1 Includes:

1. [Module 1](#) Manual, a step-by-step guide to support district-level surveillance officers in the document review process (this document).
2. Reviewing Key Documents Excel workbook to enter review the reporting forms and SOP availability at health facilities. Tabs in this workbook include:

- Instructions
- Template Setup
- Translations Setup
- Key Document Evaluation
- Key Document Review

By following the [Module 1 Manual](#) and using the **Reviewing Key Documents Excel workbook**, the district surveillance officer and personnel can assess whether standard operating procedures (SOPs), organizational diagrams, and activity and reporting flow diagrams exist. Provincial and national malaria surveillance officers can use [Module 1](#) to determine if the SOPs are used by program staff who conduct RACD activities. Gaps in the availability and use of key documents for reporting can be identified and addressed. If necessary, additional trainings can be provided to staff reporting on malaria activities to ensure that they are doing so according to the standard operating procedures using standardized reporting forms and methods.

### After You Complete Module 1:

The findings generated from completing [Module 1](#) can be used in district-level meetings and presentations to monitor and evaluate the performance of malaria personnel. Provincial- and national-level surveillance personnel may want to obtain the district-level [Module 1 Key Documents Review](#) in Excel workbook to monitor and evaluate these active surveillance activities on a larger scale.

# Getting Started

The following instructions and activities correspond to the **Reviewing Key Documents Excel workbook**.

Before you start updating the Reviewing Key Documents Excel workbook, please do the following:

1. Read this document to become familiar with [Module 1](#).
2. Open the Reviewing Key Documents Excel workbook and read the instructions to become familiar with the data entry steps in [Module 1](#).

## Workflow Summary

The national or provincial manager or surveillance officer will format the Reviewing Key Documents Excel workbook to complete [Module 1](#). Instructions for setting up the Reviewing Key Documents Excel workbook can be found in the *RACD Monitoring and Evaluation Tool User Guide for National Surveillance Officers and Personnel*. This is a separate manual that includes set up instructions for all RACD M&E Tool modules and corresponding workbooks.

The steps below summarize the workflow to complete [Module 1](#). Detailed instructions for Steps 1-4 are included in the following pages of this manual.

### Step 1

Confirm that the file name matches the district and date for which the information is representing. The suggested format is “DistrictName\_MonthYear\_Review\_Documents.xls”. Include both the district name and date (including month) for which the data is being included in the evaluation. For example, “PongNamRon\_Jan2018\_Review\_Documents.xls”.

### Step 2

Enter the appropriate yes/no information into the Reviewing Key Documents Excel workbook. Save frequently as you record the availability of documents.

- Key Document Evaluation worksheet

### Step 3

Use the review sheets in the Reviewing Key Documents Excel workbook to review the information entered:

- Key Document Review worksheet - page X

### Step 4

After you have entered all the information into the Reviewing Key Documents Excel workbook, save and send the completed document to the individual who is leading the module in your province or region.

- Saving and sending the completed Reviewing Key Documents Excel worksheet.

## Step 1 Confirming Template for Reviewing Key Documents is Ready for Data Entry

### Summary

Use the **Reviewing Key Documents Excel** workbook and the **Key Documents Evaluation worksheet** within it to review the following information prior to starting data collection:

1. Confirm the file name and date is correct
2. Confirm the province and year is correct

**Note:** In Reviewing Key Documents Excel workbook you can only update cells that are shaded pink. For example, in the table below you could only change the value for 'District':

<b>District</b>	
<b>Province</b>	
<b>Year</b>	

### Reviewing the File Name of the Reviewing Key Documents Excel Workbook

Confirm that the Excel document file name matches the district and date for which the information is representing. The suggested format is "District-Name\_MonthYear\_Review\_Documents.xls". Include both the district name and date (including month) for which the data is being included in the evaluation. For example, "PongNamRon\_Jan2018\_Review\_Documents.xls".

### Reviewing the Province and Year for the Reviewing Key Documents Excel Workbook

Before entering in data, confirm that the Province and Year information is accurate for the data about to be entered. This should be pre-populated by the individual who is leading the RACD M&E tool evaluation and sent it to you.

1. Open the **Reviewing Key Documents Excel workbook**.
2. Click the **Key Documents Evaluation** worksheet and scroll down to row 12.
3. In the **1. Location Overview** section, select the appropriate district from the District drop-down list in row 14.
4. Confirm that the Province and Year are correct. If the Province and/or Year are incorrect, please contact the individual who is leading the module in your province or region.
5. If correct, save any changes you have made and proceed to Step 2.

## Step 2 Entering Information on Reviewing

### Summary

Use the **Reviewing Key Documents Excel** workbook and the **Key Documents Evaluation worksheet** within it to review the following information prior to starting data collection:

1. Confirm the file name and date is correct
2. Confirm the province and year is correct

<b>District</b>	
<b>Province</b>	
<b>Year</b>	

### How to Update the 'Location Overview' Section

1. Open the Reviewing Key Documents Excel workbook.
2. Click the **Key Document Evaluation** worksheet and scroll down to row 12.
3. In the **1. Location Overview** section, select the appropriate district from the District drop-down list in row 14.
4. Save any changes you have made.

### How to Update the 'Key Document Evaluation' Section

1. Open the Reviewing Key Documents Excel workbook.
2. Click the **Key Document Evaluation** worksheet and scroll down to row 18.
3. In the **2. Key Document Evaluation** section, the District Name will automatically populate.
4. Select the type from the **Health Facility Type** drop-down list.
5. Enter the **Health Facility ID/Name** for which you are adding the data.
6. For each health facility document reviewed, click 'Y' (for yes) if the document/item is available or 'N' (for no) if it is not available.
7. Continue to review the documents required and choose 'Y' or 'N' for each of the following sections:
  - a. Section 1: Malaria personnel organizational structure

- b. Section 2: Malaria case reporting and notification
  - c. Section 3: Standard operating procedures (SOPs)
  - d. Section 4: Key activities and operations
8. Save any changes you have made.

**Note:** Do not add extra columns. If you need to add more health facilities, start a new version of the Reviewing Key Documents Excel workbook and add a '2' at the end of the file name to denote a 2nd Excel workbook. In the 2nd Excel workbook you can include additional health facilities in the available columns. If you have further questions, please contact the individual who is leading the module in your province or region.

## Step 3 Reviewing Information on Reviewing the Key Documents for RACD

The final blue review worksheet in the Reviewing Key Documents Excel workbook automatically collates the information previously entered in the Key Document Evaluation worksheet. The formulas do the following:

- compile data entered into the worksheet
- format the results into percentages
- present the data visually as a table

The table can be used to review (monitor) or be included in reports or presentations.

### Summary

The Key Document Review worksheet in the Reviewing Key Documents Excel workbook is used to review the availability of standard operating procedures (SOPs), notification forms and diagrams of the health facility, case investigation and RACD process. You will be reviewing the following data:

- Location Overview
- Date Outputs: Number and completeness of reporting by health facility

**Note:** You can only review data in this worksheet. To update any of this data you must return to the **Key Document Evaluation** worksheet.

Indicators for Review Include:

- **Indicators 1 and 2:** Total numbers and percentage of health facilities that reported having the forms available for malaria case reporting, case investigation and RACD.

### Data Outputs Section

This section presents the entered data visually as a table. The table can also be used to copy and paste into reports or presentations.

Outputs include:

- Table: Number and percentage reporting by facility

## Step 4 Saving and Sending the Completed Reviewing Key Documents Excel Workbook

After you have entered in all of the data in the Reviewing Key Documents Excel workbook, you need to send it back to the individual who is leading the module in your province or region. Follow the instructions below for completing the workbook:

1. Confirm that the district name and date for the valuation data are correct. In the Key Document Evaluation worksheet, confirm correct values for district, province, and year in the 1. Location Overview section before saving.
2. Save the file. Ensure the file name includes the district name and date, for example: "PongNam-Ron\_Jan2018\_Review\_Documents.xls".
3. Send the saved file back to the person who originally sent it to you. This can be done via email or by using a USB drive for manual file transfer.