

## Case Management Monitoring & Evaluation Tools

This package of tools includes the Appointment Register, Appointment Register Monthly Report and Defaulter Tracing Form. These tools are designed to help CHWs trace and track patient appointments to ensure that they are retained in care and adherent to their ART. Instructions for using each of the tools is described below in the following sections.

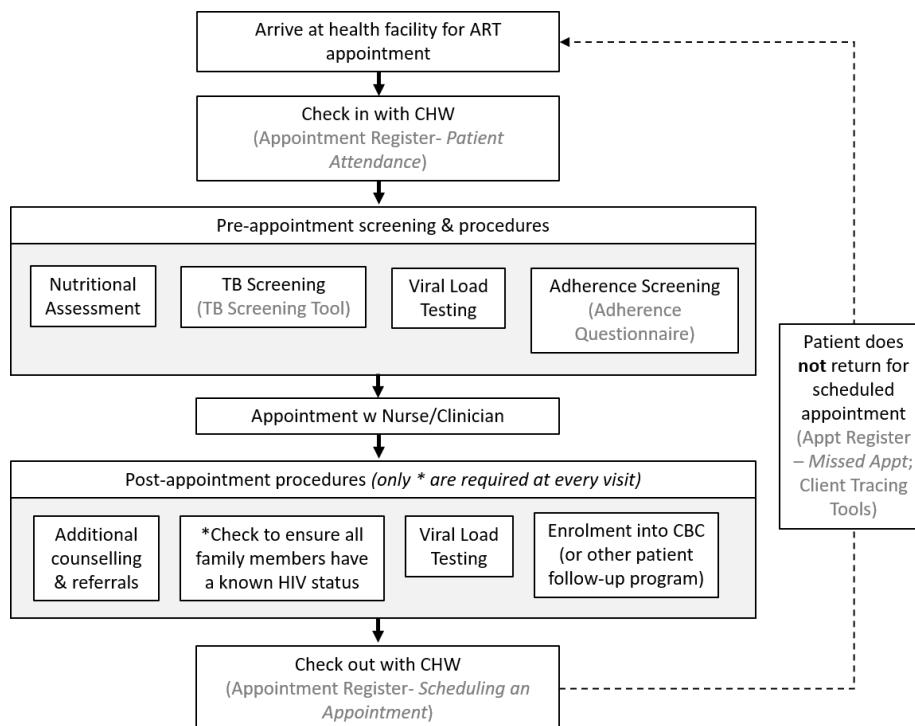
[Section 1: Overview of the Case Management Process and Corresponding Tools](#)

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### SECTION 1: OVERVIEW OF THE CASE MANAGEMENT PROCESS AND CORRESPONDING TOOLS



### SECTION 2: APPOINTMENT REGISTER

The purpose of the missed appointment/defaulters tracing program is to identify patients who have missed ART appointments and thus are at risk for poor outcomes. CHWs will be instrumental in tracking missed appointments and counseling patients on the importance of returning to care. This register is intended for use by health facilities that do not already have a way to monitor and track patient appointments.

#### Definitions:

**Missed appointment:** For this program, a client should be traced by a CHW if s/he misses the scheduled appointment date by > 2 weeks.

**Client Tracing:** Activities to locate the client and provide counseling/information, either phone calls or physical visits (at home or other meeting place)

#### Procedure:

1. All scheduled HIV clinic appointments should be entered in the appointment register. Each date will have one or more designated pages in the appointment register & the client's information should be entered on the page for the scheduled follow up date.
2. Complete the name, ART number, age, sex.
3. On the scheduled date of the appointment, the CHW should circle "S" in the Patient Attendance column for all patients who attended clinic on their scheduled appointment date.
4. If a patient does not attend, the Patient Attendance column can be left blank on the date of the scheduled appointment.
5. If a patient comes at a later date for their appointment, the Patient Attendance outcome should be updated on the patient entry for the date of the scheduled appointment. If they are late but <2 weeks, circle "WK" for within two weeks of date; if they are late by >2 weeks, circle "MA" for missed appointment by more than two weeks.
6. Every Friday, the focal person for Client Tracing (CHW) should check the appointment register for the previous week. All clients who have not come to clinic for > 2 weeks (circled MA) should be assigned to CHWs for client tracing.

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7. The column for the name of the responsible for client tracing should be completed at this time in the 'Responsible CHW' column. Details of the client tracing procedure can be found in the '**Client Tracing Tools**' section.
8. The tracing outcome should be recorded by the next monthly reporting period or sooner if the tracing procedure has been fully exhausted. It is possible that this outcome could change in future, however the outcome in the appointment register is the outcome on that date when it is assigned by CHW.  
*Example:* If the scheduled appointment was in January and by reporting in the first week of March, the CHW tried but not able to trace the client by phone or home visit, then the outcome is "Attempted, but not found" and the CHW should enter the date in March.
9. The column results should be totaled for the designated columns in the Appointment Register.
10. If the client returns for their appointment >2 weeks, the CHW should update the appointment register with the date they attended their appointment.

### Design of Register:

Each sheet of the appointment register is designed to be one day. Sheets can be bound together in a traditional register form or in a binder to allow for pages to be removed or added as needed. Alternatively, the dates can be pre-filled to ensure only a certain number of patients are entered for each clinic day. This promotes a better quality of care because clinic dates are not overbooked to ensure clinic staff can comfortably manage the number of patients.

The process works best when there is a CHW assigned to be responsible scheduling at every clinic day – checking in patients as they arrive for clinic and recording their next appointment before leaving. The register should be stored at the ART clinic.

Time to Complete	Heading	Description	Response Options
While scheduling their next ART refill appointment	<b>Name</b>	first name of the client	
	<b>Surname</b>	last name or family name of the client	
	<b>ART Number</b>	Unique ID given to a patient by the MOH when initiated on ART	
	<b>Sex</b>	the gender and/or current pregnancy state of the client	M = male; FNP = female non-pregnant; FP = pregnant female
	<b>Age</b>	Age of the client	A= aged 0 to 11 months; B= aged 1 to 14 years; C=aged 15 to 24 years; D = aged 25 years or more
On or within 2 weeks of the patient's scheduled appointment date	<b>Patient Attendance</b>	Indication that the patient attended their scheduled appointment	S = on scheduled date; WK = within two weeks of scheduled appointment date; MA = has not attended scheduled appointment within two weeks and needs tracing
Two weeks after scheduled appointment	<b>Needs Tracing</b>	Indication (with an X) that the patient has not attended their scheduled appointment within two weeks and requires tracing by a CHW	If tracing is required, fill this section with an 'X'
	<b>Responsible CHW</b>	The CHW appointed to trace the client	Write CHW first and last name
Following tracing attempt (all must be completed by end of reporting month)	<b>Final Tracing Outcome</b>	The final tracing outcome (i.e. outcome after one successful tracing attempt or two unsuccessful attempts)	D= died; I = Found through tracing and client has said they intend to return to clinic (fill date attended apt w rescheduled); M = moved; AE = client is now receiving ART at a different health facility; R = client has declined or refused to return to ART clinic; AT = tracing attempts were made, but the client could not be found/traced; NT = no tracing was attempted
On the date the patient	<b>Date Attended Appointment</b>	If the patient did not attend clinic within two weeks of their scheduled appointment, write the	DD/MM/YYYY

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attended their rescheduled appointment		date of the date that they actually attended clinic (will usually be after tracing)	
	<b>Comments</b>	Any comments. Specific comments are required for those that indicated 'No Tracing Attempt'	

#### SECTION 3: APPOINTMENT REGISTER MONTHLY REPORT

This form is a reporting tool to help programs monitor and evaluate a health facility's progress toward Appointment Register goals. This tool is designed to be filled using data from the Appointment Register.

- The Monthly Report should be completed by the 5<sup>th</sup> day of the following month (Example: Monthly Report for October should be submitted by November 5<sup>th</sup>).
- Two staff at the site should complete the report by recording data in the Site Result column, and signing their names on report.
- The Site Supervisor will also review the report for data quality, sign and date.
- Comments sections are to be used to explain any unusual or incomplete data.
- Appointment Register data is collected from the Tingathe Program Appointment Register.
- All missed appointment data is reported for the previous month. The Reporting Month is the month you are filling the monthly report, and the Outcome Reporting Month (ORM) is the month the data is from.

Surname	First Name	ART Number	Sex		Age			Patient Attendance				Responsible CHW	Final Tracing Outcome							Date attended appointment	Comments			
			Male	Female	0-11 mo	1-14 y	15-24 y	25+ y	On scheduled date	Within 2 weeks of date	Missed appointment > 2 wks		Needs tracing (Mark X)	Died	Found, intends to return	Moved	ART at another Facility	Declined/Refused	Attempted, but not found			No tracing attempt* (Give reason in comments)		
													0	9	3	0	0	0	0					
											A1	B1	B2	B3	B4	B5	B6	B7	Total # MA clients who attended appointment	<b>8</b>				

\*Possible reasons for no tracing attempted: no contact info/file not found; patient came for follow up before tracing attempt; relaxed tracing; CHW error

Missed Appointments- Use Appointment Register (Report Data for Previous Month)													
<b>Instructions:</b> The following data will be filled from the outcome reporting month (ORM) from the Appointment Register. Please see to determine the ORM. After determining the ORM, write both the reporting month and the ORM below.													
Reporting Month	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	
ORM	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	
<b>Reporting Month:</b>				<b>Outcome Reporting Month (ORM):</b>									
MA1	Total Number of Clients Registered				Appointment Register								<b>100</b>
MA1.1	Number of clients with a Missed appointment > 2 wks				Appointment Register (Box A1)								<b>12</b>
MA 2.0	Died				Appointment Register (Box B1)								<b>0</b>
MA 2.1	Found, intends to return				Appointment Register (Box B2)								<b>9</b>
MA 2.2	Moved				Appointment Register (Box B3)								<b>3</b>
MA 2.3	ART at another Facility				Appointment Register (Box B4)								<b>0</b>
MA 2.4	Declined/ Refused				Appointment Register (Box B5)								<b>0</b>
MA 2.5	Attempted, but not found				Appointment Register (Box B6)								<b>0</b>
MA 2.6	No Tracing Attempt				Appointment Register (Box B7)								<b>0</b>
<b>Comments:</b>													

1. Fill the top of the monthly report with the site name, district, reporting month and reporting year.
2. Collect the Appointment Register.
3. Count the total number of clients the appointment register by counting each name registered. Write this value in MA1 'Total number of clients registered'.
4. Tally and complete the total section at the bottom of each Appointment Register sheet for the reporting month.
5. Add the total boxes across each sheet (e.g. add the Box A total from page 1 to Box A total from page 2, etc).

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- Enter the calculation totals into the corresponding row on the Monthly Report in the 'Site Result' column.
- Once all sections have been completed, sign and date the report, then give it to the site supervision for a data check.

### **SECTION 4: DEFAULTER TRACING SHEET**

While defaulters should be identified through the appointment register system, the defaulter tracing program will provide extra attention to those who have defaulted from care.

#### **Definitions:**

**Defaulter:** A client who has missed a scheduled ART refill appointment by more than 2 months

#### **Procedure:**

- Each quarter, the ART clinic and Tingathe staff (clinical mentors and CHW with support of district M&E officer) should complete an audit of patient records to determine those who have defaulted from care.
- Clients who have defaulted should be documented on the Defaulter Tracing Sheet.
- The defaulter tracing focal person should assign a CHW to each patient for tracing. Details of the client tracing procedure can be found in the '**Client Tracing Tools**' section.
- Weekly, the defaulter tracing focal person should follow up with CHWs about their final tracing outcomes. Outcomes for all patients should be recorded by the next monthly reporting period or sooner if the tracing procedure has been fully exhausted.
- Extensive adherence counselling is necessary for all traced patients. If the patient was traced via phone, CHWs should ensure the patient receives the counselling when they return to the health facility. If traced at home, counselling can be done there.

#### **Design of Sheet:**

Complete the top of the sheet with the date of the audit and the name of the health facility.

Time to Complete	Heading	Description	Response Options
At time of audit	<b>Date of Last Scheduled ART Refill (&gt;2 mo ago)</b>		
	<b>Name</b>	first name of the client	
	<b>Surname</b>	last name or family name of the client	
	<b>ART Number</b>	Unique ID given to a patient by the MOH when initiated on ART	
	<b>Village</b>	Name of the patient's village	
	<b>Phone Number</b>	Phone number of patient	
	<b>Sex</b>	the gender and/or current pregnancy state of the client	M = male; FNP = female non-pregnant; FP = pregnant female
	<b>Age</b>	Age of the client	A= aged 0 to 11 months; B= aged 1 to 14 years; C=aged 15 to 24 years; D = aged 25 years or more
Immediately after audit by defaulter focal person	<b>Responsible CHW</b>	The CHW appointed to trace the client	Write CHW first and last name
At time of final outcome (follow up CHWs weekly for	<b>Final Tracing Outcome</b>	The final tracing outcome (i.e. outcome after one successful tracing attempt or two unsuccessful attempts)	D= died; I = Found through tracing and client has said they intend to return to clinic (fill date attended apt w rescheduled); M = moved; AE = client is now receiving ART at a different health facility; R = client has declined or refused to return to ART clinic; AT = tracing attempts were

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outcomes, final completion by end of following month)			made, but the client could not be found/traced; NT = no tracing was attempted
	<b>Date of Outcome</b>	Date of the final tracing outcome. If <i>'Found, intends to return'</i> , then the date that the patient returned to clinic	DD/MM/YYYY
	<b>Comments</b>	Any comments. Specific comments are required for those that indicated 'No Tracing Attempt'	

Appointment Register Date: \_\_\_\_\_

Complete this Information when Scheduling Appointment					COMPLETE ONLY FOR PATIENTS WITH MISSED APPOINTMENT > 2 WEEKS																	
Surname	First Name	ART Number	Sex		Age				Patient Attendance			Needs tracing (Mark X)	Responsible CHW	Final Tracing Outcome							Date attended appointment	Comments
			Male	Female	0-11 mo	1 - 14 y	15 - 24 y	25 + y	On scheduled date	Within 2 weeks of date	Missed appointment > 2 wks			Died	Found, intends to return	Moved	ART at another Facility	Declined/Refused	Attempted, but not found	No tracing attempt* (Give reason in comments)		
			M	F	A	B	C	D	S	WK	MA			D	I	M	AE	R	AT	NT		
			M	F	A	B	C	D	S	WK	MA			D	I	M	AE	R	AT	NT		
			M	F	A	B	C	D	S	WK	MA			D	I	M	AE	R	AT	NT		
			M	F	A	B	C	D	S	WK	MA			D	I	M	AE	R	AT	NT		
			M	F	A	B	C	D	S	WK	MA			D	I	M	AE	R	AT	NT		
			M	F	A	B	C	D	S	WK	MA			D	I	M	AE	R	AT	NT		
			M	F	A	B	C	D	S	WK	MA			D	I	M	AE	R	AT	NT		
			M	F	A	B	C	D	S	WK	MA			D	I	M	AE	R	AT	NT		
			M	F	A	B	C	D	S	WK	MA			D	I	M	AE	R	AT	NT		
			M	F	A	B	C	D	S	WK	MA			D	I	M	AE	R	AT	NT		
			M	F	A	B	C	D	S	WK	MA			D	I	M	AE	R	AT	NT		
			M	F	A	B	C	D	S	WK	MA			D	I	M	AE	R	AT	NT		
			M	F	A	B	C	D	S	WK	MA			D	I	M	AE	R	AT	NT		
			M	F	A	B	C	D	S	WK	MA			D	I	M	AE	R	AT	NT		
			M	F	A	B	C	D	S	WK	MA			D	I	M	AE	R	AT	NT		
			M	F	A	B	C	D	S	WK	MA			D	I	M	AE	R	AT	NT		
			M	F	A	B	C	D	S	WK	MA			D	I	M	AE	R	AT	NT		
			M	F	A	B	C	D	S	WK	MA			D	I	M	AE	R	AT	NT		
			M	F	A	B	C	D	S	WK	MA			D	I	M	AE	R	AT	NT		
			M	F	A	B	C	D	S	WK	MA			D	I	M	AE	R	AT	NT		

A1

B1

B2

B3

B4

B5

B6

B7

\*Possible reasons for no tracing attempted: no contact info/file not found; patient came for follow up before tracing attempt; refused tracing; CHW error

Total # MA clients who attended appointment

Date of Audit: \_\_\_\_\_

Health Facility Name: \_\_\_\_\_

	Date of Last Scheduled ART Refill (>2 mo ago)	Surname	First Name	ART Number	Village	Phone Number	Sex		Age				Responsible CHW	Final Tracing Outcome							Date of Outcome <i>(if 'intends to return', write date of return)</i>	Comments
							Male	Female	0-11 mo	1-14 y	15-24 y	25+y		Died	Found, intends to return	Moved	ART at another Facility	Declined/Refused	Attempted, but not found	No tracing attempt* (Give reason in comments)		
1							M	F	A	B	C	D		D	I	M	AE	R	AT	NT		
2							M	F	A	B	C	D		D	I	M	AE	R	AT	NT		
3							M	F	A	B	C	D		D	I	M	AE	R	AT	NT		
4							M	F	A	B	C	D		D	I	M	AE	R	AT	NT		
5							M	F	A	B	C	D		D	I	M	AE	R	AT	NT		
6							M	F	A	B	C	D		D	I	M	AE	R	AT	NT		
7							M	F	A	B	C	D		D	I	M	AE	R	AT	NT		
8							M	F	A	B	C	D		D	I	M	AE	R	AT	NT		
9							M	F	A	B	C	D		D	I	M	AE	R	AT	NT		
10							M	F	A	B	C	D		D	I	M	AE	R	AT	NT		
11							M	F	A	B	C	D		D	I	M	AE	R	AT	NT		
12							M	F	A	B	C	D		D	I	M	AE	R	AT	NT		
13							M	F	A	B	C	D		D	I	M	AE	R	AT	NT		
14							M	F	A	B	C	D		D	I	M	AE	R	AT	NT		
15							M	F	A	B	C	D		D	I	M	AE	R	AT	NT		
16							M	F	A	B	C	D		D	I	M	AE	R	AT	NT		
17							M	F	A	B	C	D		D	I	M	AE	R	AT	NT		
18							M	F	A	B	C	D		D	I	M	AE	R	AT	NT		
19							M	F	A	B	C	D		D	I	M	AE	R	AT	NT		
20							M	F	A	B	C	D		D	I	M	AE	R	AT	NT		
21							M	F	A	B	C	D		D	I	M	AE	R	AT	NT		
22							M	F	A	B	C	D		D	I	M	AE	R	AT	NT		
23							M	F	A	B	C	D		D	I	M	AE	R	AT	NT		
24							M	F	A	B	C	D		D	I	M	AE	R	AT	NT		
25							M	F	A	B	C	D		D	I	M	AE	R	AT	NT		
26							M	F	A	B	C	D		D	I	M	AE	R	AT	NT		
27							M	F	A	B	C	D		D	I	M	AE	R	AT	NT		
28							M	F	A	B	C	D		D	I	M	AE	R	AT	NT		

Totals: 

A1	A2	B1	B2	B3	B4

C1	C2	C3	C4	C5	C6	C7

**Tingathe Appointment Register Monthly Report**

Site: \_\_\_\_\_

District: \_\_\_\_\_

Reporting Month: \_\_\_\_\_ Reporting Year: \_\_\_\_\_

**Instructions:** Site supervisor must sign for data quality check before submitting. M&E must also verify and not accept reports as final until all data quality checks have been completed. Use comments sections to explain any unusual or incomplete data.

**Appointment Register**

**Missed Appointments- Use Appointment Register (Report Data for Previous Month)**

**Instructions:** The following data will be filled from the outcome reporting month (ORM) from the Appointment Register. Please see table below to determine the ORM. After determining the ORM, write both the reporting month and the ORM below.

<b>Reporting Month</b>	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
<b>ORM</b>	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov

Reporting Month: \_\_\_\_\_ Outcome Reporting Month (ORM): \_\_\_\_\_

	Description	Data Location	Accuracy check	Site Result	M&E Check
MA1	Total Number of Clients Registered in ORM	Appointment Register			
MA1.1	Number of clients with a Missed appointment >2 wks	Appointment Register (Box A1)			
MA 2.0	Died	Appointment Register (Box B1)			
MA 2.1	Found, intends to return	Appointment Register (Box B2)			
MA 2.2	Moved	Appointment Register (Box B3)			
MA 2.3	ART at another Facility	Appointment Register (Box B4)			
MA 2.4	Declined/ Refused	Appointment Register (Box B5)			
MA 2.5	Attempted, but not found	Appointment Register (Box B6)			
MA 2.6	No Tracing Attempt	Appointment Register (Box B7)			

**Comments:**

Report Completed by \_\_\_\_\_ Date Submitted: \_\_/\_\_/\_\_\_\_ Signature: \_\_\_\_\_

Quality Check Completed by \_\_\_\_\_ Date Checked \_\_/\_\_/\_\_\_\_ Signature \_\_\_\_\_

Entered by (for M&E only) \_\_\_\_\_ Date Entered \_\_/\_\_/\_\_\_\_ Signature \_\_\_\_\_