

**REQUEST FOR EXPRESSIONS OF INTEREST
(CONSULTING SERVICES– FIRMS SELECTION)**

COUNTRY- India

**NAME OF PROJECT – Uttarakhand Health Systems Development
Project**

Loan No./Credit No./Grant No.: 5948-IN

Assignment Title: Independent Monitoring and Verification Agency

Reference No. :

The Govt. of Uttarakhand has received financing from the World Bank toward the cost of the Uttarakhand Health Systems Development Project (UKHSDP) and intends to apply part of the proceeds for consulting services.

The Consulting Services (“the Services”) include of field level monitoring of the contracted out Healthcare Facilities in the Tehri Cluster, ensure quality of service delivery and verify their performance and the oversight of the Service Provider’s obligations on behalf of the project , and in accordance with the provisions of the project contracts

The UKHSDP now invites eligible consulting firms (“Consultants”) to indicate their interest in providing the Services. Interested Consultants should provide information demonstrating that they have the required qualifications and relevant experience to perform the Services. The short listing criteria are as per the attached Terms of Reference

The attention of interested Consultants is drawn to paragraph 1.9 of the World Bank’s *Guidelines: Selection and Employment of Consultants [under IBRD Loans and IDA Credits & Grants] by World Bank Borrowers* (“Consultant Guidelines”), setting forth the World Bank’s policy on conflict of interest. In addition, please refer to the specific information on conflict of interest related to this assignment.

A Consultant will be selected in accordance with the Quality and Cost Based Selection (QCBS) method set out in the Procurement Guidelines.

Further information can be obtained at the address below during office hours [*i.e. 1000 to 1700 hours*].

Expressions of interest must be submitted online only through website www.uktenders.gov.in) latest by 04/09/2018 by 1500 hours

Attn: Additional Project Director
Office of Project Director, Uttarakhand Health System Development Project
1st Floor, Homeopathy Directorate, Danda Lakhaund, Sahastradhara Road, Dehradun
Phone -0135-2607610
E Mail – contact@ukhsdp.org

Terms of Reference

Independent Monitoring and Verification Agency

BACKGROUND

The World Bank is supporting the state government of Uttarakhand in its plan for improving access to quality health care in the state under the Uttarakhand Health Systems Development Project (UKHSDP) which has a total financing envelope of US\$125 million. The project will support the stewardship role and capacity of the state's Department of Medical Health and Family Welfare (DoMHFW) for improving health outcomes and addressing the changing morbidity and mortality patterns through innovations in engaging the private sector; institutional strengthening; and improved management of health services. Interventions will support the state's plans for scaling up health system reform initiatives and making progress towards universal health coverage. Special focus will be on improving access to quality health services for the geographically dispersed and remote populations in the state and finding innovative ways to engage with the private sector. The project also aims to reduce financial risk and make affordable, quality healthcare available to all of the state's citizens.

The project has two components: a) Innovations in engaging the private sector (for integrated service delivery and health financing), and b) Stewardship and system improvement. The first component on private sector engagement includes a strengthening of provision of primary care and referral services in the state as well as expansion of insurance. The latter includes the expansion of Rashtriya Swasthya Bima Yojana (RSBY) (now the Ayushman Bharat – National Health Protection Mission) and the state's new Mukhyamantri Swasthya Bima Yojana (MSBY) to cover primary care including childhood and adolescent health and case management of non-communicable diseases. The former includes greater engagement of private health care providers and expanding their role in meeting the unmet needs of the state's population to access health services.

In order to achieve the aforementioned objectives on service delivery, the project will select Service Provider for the augmentation, development, operation and maintenance of integrated network of the Healthcare Facilities and provision of Healthcare Services on a Public Private Partnerships (PPP) basis. The Partner will sign a performance based contract operate the facilities according to the provided guidelines and laid down KPIs in the contract. These guidelines includes the Operation and Maintenance including the provision of Human Resource, Equipment etc.

The first such cluster will be operated in Tehri District and is comprised of -:

- District Hospital at Baurari, New Tehri;
- 2 (Two) community health centres (CHC) at Beleshwar and Devprayag; and
- 3 (Three) mobile health vans to be deployed in Tehri district.

The model i.e. managing a sub district level cluster of Health Facilities with Mobile Health Vans will be replicated in two more districts at a later date.

Within this context, Independent Monitoring and Verification Agency (IMVA) will be appointed by the Project of field level monitoring of the contracted out Healthcare Facilities in the Tehri Cluster, ensure quality of service delivery and verify their performance and the oversight of the Service Provider's obligations on behalf of the project, and in accordance with the provisions of the project contracts. The IMVA will monitor the insurance component of Ayushman Bharat and Universal Health Insurance Scheme of the state as well and undertake audits of 5-10 percent of the Claims Processed related to the all the Government sponsored Health Insurance Schemes on monthly basis as described below.

The Independent Expert shall be required to exercise its duties and functions under the Concession Agreement between the Authorities and the Operator

- a) To facilitate the smooth completion of the Service Provider's obligations related to Facility Strengthening and Development Works and
- b) Monitoring of the performance of the Service Provider's obligations during the Operation Period.

SCOPE OF WORK

Scope of the assignment for the Firm/ Agency will be as follows

Medical Audits

1. The medical audit should be undertaken by a qualified Medical Practitioner who is a part of the IMVA's organization or is otherwise duly authorized to undertake such medical audit by the IMVA.
2. The IMVA shall develop and share the operational plan for conducting medical audits with the Service Provider and the Authority. The plan shall include audit of all the Healthcare Facilities in the integrated cluster operated by the Service Provider (6 for each cluster- one district hospital, 2 CHCs and 3 Mobile Vans). The IMVA will conduct at least one audit of each Healthcare Facility per week, with four such audits being conducted per facility in a month.

3. The Independent Monitoring and Verification Agency (IMVA) will develop the methodology & tools based on Standard Treatment Protocols for provision of services .
4. The Independent Monitoring and Verification Agency (IMVA) shall carry out regular inspection of each Healthcare Facility and conduct periodic medical audits, to verify provision of quality service delivery
5. The medical audit will include a review of medical notes and a review of the medical appropriateness in as per the prescribed formats. The medical cases to be audited will be identified randomly or can be specified by the Authority's audit team for specific conditions or cases.
6. The process for conducting a medical audit is set out as follows:
 - a. The auditor shall check the Point of Service/Registration data before meeting the Patients, and all admitted Patients at that time are to be audited.
 - b. The audit should preferably be conducted in the presence of the physician/treating doctor at the Healthcare Facility.
 - c. While cross examining the Patients, the indoor Patient file should be made available by the Service Provider to the Independent Expert. The auditor shall review the complete file and note down the anomalies observed in the audit sheet.
 - d. If any triggered Patient is already discharged, only the indoor Patient file shall be examined and the auditor shall note down the anomalies observed in the audit sheet.
 - e. Scanned/photocopy of indoor Patient files of all examined/triggered Patients shall be compulsorily collected from the Healthcare Facility where such audit is taking place, along with a pre-texted format mentioning complete documents pertaining to the Patients are handed over to the auditor duly signed by the authority of such Healthcare Provider.
 - f. Finally, the auditor shall discuss all anomalies observed with the treating doctor and seek his/her explanation/opinion on a case to case basis and the report shall be signed by the auditor and in case of any discrepancy the facility will respond to the report and provide any inputs/clarifications and the final report will be submitted based on that.
 - g. The report should also mention any Abuse or Fraud or Medical Malpractice identified during the medical audit.
7. The IMVA shall submit a report to the project authorities within 15 (fifteen) days of the close of each month regarding the medical audits conducted in that month with a copy also sent to the facility.

8. Audit of a specified sample (5 to 10 percent) of claims processed related to the Govt. sponsored Health Insurance Schemes on monthly basis for financial, payment and procedural accuracy. It will cover clinical audit and administrative and financial audit. The clinical/medical audit will need to be undertaken by a medical doctor who will review appropriateness of treatment based on the submitted documentation including the diagnostic and investigation reports, pre-authorization, treatment provided (per se and vis-à-vis preauthorization) , discharge summary, post discharge follow-up and medications, etc. The administrative and financial will include checking of pre-authorization and claim documents to verify beneficiary entitlement, coverage of the beneficiary (within the stipulated annual coverage), pre-authorization amount, benefit package rate for procedure specified, claim settlement amount, , payment, mode of transfer and amount, tax withheld as per requirement, etc. Beneficiary satisfaction about the aforementioned insurance schemes . A minimum of 5 percent and a maximum of 10 percent of the claims will be sampled to ensure that 5 percent of a random sample is audited and a purposive sample of high end procedures, commonly abused procedures such as hysterectomies, cataract surgery, hospitals with high volume of claims, etc.

Death Audit

The IMVA will undertake a detailed death audit in the prescribed format for every beneficiary death reported during treatment in hospitals and during follow up till one month after hospitalization under the scheme. The number of cases to be reported is per actual.

Patient Satisfaction Survey

1. The IMVA shall conduct periodic Patient Satisfaction Surveys of each Healthcare Facility within the facility premises (post service delivery) by handing out a Patient Satisfaction Form, in the format prescribed a similar form designed by the IMVA, to the Patients and their relatives, randomly chosen by the IMVA. The Patient Satisfaction Survey shall include responses (by means of an exit survey on fixed days in each month) amounting to a total of at least 2 percent of the total number of Patients who have received Healthcare Services at each such Healthcare Facility during such year.
2. Random Beneficiary Visits – Hospitals: The IMVA will undertake a detailed patient interview as per the prescribed format for 5 percent of the beneficiaries per month during their stay in hospital.
3. Random Beneficiary Visits - Post-discharge: The IMVA will undertake a detailed house visit and patient as well as family assessment as per the prescribed format for 1 percent of the beneficiaries post their discharge from hospital per month.

4. In designing the Patient Satisfaction Survey, the IMVA shall rely on guidelines provided by the State government.
5. The IMVA shall submit a report of the findings of such a survey to the Authority every quarter, within 15 (fifteen) days of the end of each qtr.

Compliance Reports

1. The IMVA shall within 7 (Seven) days of the close of every month during the year, furnish to the Authority a report in the prescribed formats specified in setting forth details regarding compliance by the Service Provider with each of the prescribed KPIs in the previous month of the year and such other information as the project authorities may require. In preparing such monthly Compliance Report, the IMVA shall rely on the information provided by the Service Provider and any independent verification conducted by the IMVA.
2. The report specified above shall state in reasonable detail the compliance of the Healthcare Facilities and the Healthcare Services with each of the KPIs set forth in contract agreement, along with an analysis of the reasons for the Service Provider's failures, if any, and the strategies for addressing the same and for otherwise improving the operational performance of the Healthcare Facilities. The report shall also include a quantification of the deductions and incentives earned by the Service Provider and calculated in accordance with Concession Agreement. In submitting this Compliance Report, the IMVA shall take into account the adverse observations (if any) of the Authority Representative for each Healthcare Facility.

Inspection

1. The IMVA shall inspect the Healthcare Facilities at least once every six months from the Commercial operations date. The inspection shall cover equipment and other physical parameters apart from availability KPIS. It shall make a report of such inspection stating in reasonable detail the defects or deficiencies, if any, with particular reference to the Key Performance Indicators, and send a copy thereof to the Service Provider within 15 (fifteen) days of such inspection.

QUALIFYING CRITERIA FOR FIRM AND QUALIFICATIONS OF STAFF

Following are the defined qualifying criteria for the Firm/ Agency:

- Firm should have at least 5 (five) years of documented experience in monitoring and verification in the health sector.
- Experience of conducting medical audits is required
- Experience of conducting patient satisfaction surveys is preferable
- Demonstrated analytical experience and documentation in English is essential

- Current availability of team of key professionals with experience in monitoring and verification (as described below).

The IMVA hired by the project shall maintain full-time staff possessing the necessary minimum skills and qualifications, as mentioned below, at all times. Any disruption in the availability of the minimum required staff must be immediately brought to the notice of the project authorities and may result in termination of the contract of the IMVA if the same is not intimated or maintained to the satisfaction of the project.

1. At least three doctors (Minimum Qualification M.B.B.S) with experience in conducting medical audits, of which at least one should have a postgraduate degree/diploma in public health/health administration.
2. At least two skilled insurance claims investigators with experience of over three years in investigating medical insurance claims.
3. At least one coordinator with a postgraduate degree in management or hospital management or public health
4. At least one data analyst with over three years' experience in running health related analytical reports and other database formats.
5. At least one social/behavioral scientist who can develop tools and frameworks for stakeholder interactions, patient interviews etc., and provide staff training in managing the behavioral aspects of the audits
6. At least five field researchers fluent in the local language

In addition, the IMVA must have access to an expert panel of specialist doctors, health researchers and analytical experts to contribute to the design, overview and reporting aspects of the various activities being undertaken by the agency.

OUTPUTS EXPECTED FROM THE IMVA:

The consultants shall submit the following reports:

1. Inception report: This report shall outline the approach and methodology for monitoring and verification along with a detailed operational plan for deployment of staff and implementation of various tasks involved in the assignment
2. Monthly progress report: This report shall cover all the tasks performed, details of reports submitted and shall detail the status of the various tasks to be performed.
3. Specific Reports: These will include but may not be limited to the medical audits, death audits, the patient satisfaction surveys, inspection reports, compliance reports and monthly KPI reports

4. Medical Pre-authorization and Claims Process Monitoring –The report is to be submitted within seven days after completion of the month.

ACCEPTANCE CRITERIA FOR DELIVERABLES

For each deliverable, criteria will be applied to determine acceptability of content and quality. The following questions will specifically be assessed:

- (a) Are the deliverables clearly written?
- (b) Are the deliverables at the appropriate and agreed upon level of detail?
- (c) Are the deliverables' content relevant for the topic matter, and can it clearly be understood?
- (d) Do the deliverables meet the criteria and expectations from the TOR?
- (e) Do the deliverables meet the expectations for its intended use by UKHSDP?

REPORTING

The firm/ / Agency will work under the overall direction and guidance of the UKHSDP office with direct reporting to the Additional Project Director, UKHSDP. For day to day technical and managerial coordination, the firm/ / Agency will directly communicate with Joint Director, PPP UKHSDP and work closely with his team. The firm/ / Agency is also required to provide name and contact details of single point of contact at their end. UKHSDP office will maintain contact with this person specifically for any communication and coordination regarding the work.

DURATION OF ASSIGNMENT

The engagement period shall be for a period of one year from the start of the contract with annual renewal based on satisfactory annual performance report. The contract may be terminated with one month's notice by either party . The Govt. may also terminate the contract due to nonperformance, indiscipline or reasons that undermine the performance of the project, after giving one month's notice.

REVIEW & MONITORING

The performance of the / Firm/ Agency will be assessed on the basis of agreed deliverables. The / Firm/ Agency will prepare a detailed action plan for the assignment and share it with UKHSDP. A joint monthly review mechanism will be put in place and represented by officials and / Firm/ Agency from UKHSDP. UKHSDP will inform the agency in writing of any suggestions/recommendations related to the assignment. The Consultancy/ Firm/ Agency will comply with the recommendations made by UKHSDP

and complete the assignment accordingly at no additional cost. If there are any grievances for any party, it must be shared with the other party in writing.

Review Committee will be comprised of the following members:

Project Director /Additional Project Director; UKHSDP

Joint Director; PPP UKHSDP

Assistant Director Procurement; UKHSDP

Any other official designated by Project Director