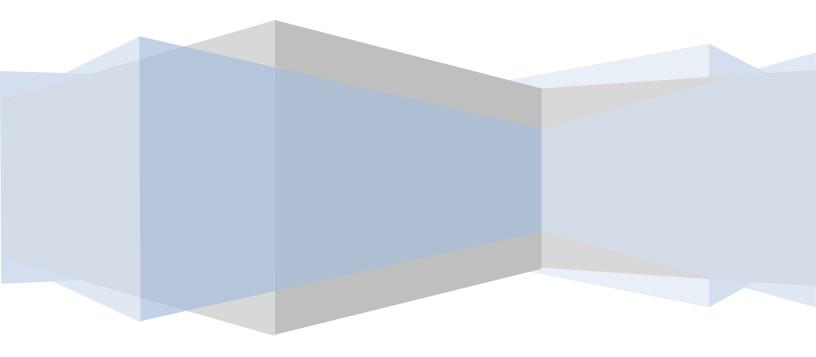
IKP Centre for Technologies in Public Health

Optical Mark Recognition Technology for Rural Health Data Collection

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Introduction:

Non-communicable and chronic diseases are the leading causes of death in this part of rural India. The observed pattern of death is unlikely to be unique to these villages and provides new insight into the rapid progression of epidemiological transition in rural India (Rohina Joshi1, July 5, 2006). Health statistics are necessary inputs in planning appropriate health interventions (Badara Samb MD, Badara, & Desai, 2010). Various life-threatening diseases if diagnosed at an early stage can be prevented at a low cost. The collection and use of data for planning and patient follow-up is a challenge for PHC (A.K., 2009). A confirmative diagnosis for an entire population is not always possible in a resource-constrained setting and therefore screening based on basic symptoms like Blood Pressure, Body Mass Index (BMI), Visual acuity, Nicotine and Alcohol consumption etc. (Dr.Christine L Parr PhD, August 2010) (K Srinath Reddy, 2005) can help the health provider to screen risk-prone individuals in the community and to devise strategies for personalized healthcare.

To do a primary level screening, access to household level data becomes extremely crucial. Though there are National surveys that are conducted by different agencies, these data are often not accessible to smaller groups implementing healthcare programs. Therefore there is a demand for household data collection and for making the data accessible to both the community and different intervention groups.

One of the main steps in this endeavour is to identify an appropriate platform for data collection in a rural setting. This paper focuses on different parameters taken into consideration while evaluating technologies and the rationale behind selecting Optical Mark Recognition (OMR) technology (Indonesia, 2001).

OMR technology has been used for various large scale surveys from different Governmental agencies (IT and population census; Paper to be presented in Forum for Asia Pacific Statistics, 3-4 Feb 2005) (Expert Group Meeting on Effective Use of IT in Population Census, 2007) to Microfinance companies like Equitas (EQUITAS Launches Optical Mark Reader based (OMR)solution, 2010) to collect customer enrolment data. Equitas has experienced thrice the normal efficiency by shifting from a conventional process like manual key-stroke entry to an OMR scanning (Innovation In Technology Report, Equitas).

Technology Evaluation for Data Collection:

Among various data collection technologies, viz. Optical Character Recognition (OCR), Optical Mark Recognition (OMR) and Conventional Data Entry methods are evaluated based on different parameters. Though mobile technology seems to be an appropriate solution, it is beyond the scope of this paper as there is no ready to use product available. Implication of mobile technology will be dealt separately in the next paper.



<u>Cost</u>: Though there is no formal documentation on costing, estimates indicate that manual transcribing of printed forms costs around Rs.15-20/- per page (Health Insurance e-Form Document Project, 2009). For a volume of around 20000 pages (Example: Sughavazhvu model-considering each form can be compressed into 2 pages) it will cost around Rs. 3-4 lakhs a year.

- 1. <u>Turnaround time</u>: Though the turnaround time for digitization is subjective to the volume to be processed, data entry and data cleaning of a batch of 300 pages takes 2-7 days. This makes the total turnaround time 9-14 days assuming the actual data collection of 300 pages takes 7 days (considering the BPO standards).
- 2. <u>Error rates:</u> Typically in a cycle of manual data collection and digitization there are two points of error. The first during the data collection in the field and the second in the data digitization by a data entry operator. Any optimization should target these two errors.

		Optical Character	Optical Mark
	Manual Data Entry	Recognition (OCR)	Recognition (OMR)
			Around Rs.1 to 2/- per
Digitization		Scanning cost of Rs.1/- per	OMR sheet depending
Cost	Rs.15-20/- per page	sheet	on volume.
Turnaround	2-7 days per 300	Around 5 minutes to scan	Around 5 minutes to
time	pages	the 300 pages	scan the 300 pages
	The training is often		Needs minor training on good practices and
	simple and easily	The training is often simple	precautions of filling out
Usability	comprehensible	and easily comprehensible	an OMR sheet.
Error	Error rates are high-2 levels of error point- As per BLS it's 0.25 %	Recognition of Tamil handwritten text is not reliable.	Error rates are low to medium-1 level of error points.
Versatility	Only stand-alone data collection	Stand-alone data collection	Stand-alone data collection

Technology Comparison:

<u>Table 1:</u> Technology evaluation of different data collection technologies used for various population surveys



The above evaluation is done considering specific context in terms of budget structure, time availability, resource availability and volume of work. Given below is an evaluation of different data collection approach with this specific context.

<u>Manual Data collection</u>: This is a conventional way of collecting data where they are collected manually as hand written text on printed templates. The data are then digitized by a key-stroke entry on a computer either in-house or by a BPO company. This method is ideal for processing of low volume data where an in-house resource can manually analyze the data. Outsourcing the digitization of data is fairly expensive. Manual data collection is ideal for capturing open ended qualitative data.

<u>OCR Technology</u>: While this is an inexpensive and less time-consuming method of data collection, this technology has limitations in reading handwritten regional languages which makes it ineffective in a rural setting where data is collected by lay workers with no knowledge of English.

<u>OMR Technology</u>: This is a cost effective solution for large surveys where closed-ended or objective type data is collected. The price reduces considerably with volume as there is a certain fixed cost involved in the printing and scanning process. OMR technologies could be availed in two different ways.

- a. <u>Building in-house capability</u>: This is preferable for organizations involved in regular data collection and mining as they could recover the setting up cost over time. An in-house capability also reduces unpredictability of the turnaround time.
- b. <u>Outsourcing to an OMR Company:</u> This suits best for organization collecting data in comparatively smaller volumes or during the pilot stage. This saves initial setting up cost and allows per page payment which is preferable as the volume is low. This is also suitable for non-frequent large volume surveys.

<u>Mobile Technologies/PDAs:</u> Mobile technology is suitable for data collection where live data is important. Moreover it opens up a range of possibilities apart from data collection. Example: 1. Collecting immediate health requirement of the patients for acute illnesses for immediate response; 2. Tracking disease outbreak etc. It is also suitable for both close and free text (open ended) data collection which is done in high frequency so that the initial fixed cost could be recovered.

This current paper focuses on the usage of OMR Technologies for piloting Population Level Screening Package (PLSP) (Chockalingam, 2010).

Benefits of OMR over Conventional forms:

1. <u>Accommodation of more fields:</u> As shown in *Figure 1* and *Figure 3*, the OMR template forms can accommodate many more fields than a conventional survey form (*Example: Figure 1. can accommodate only 19 fields whereas Figure 3. can accommodate 41 fields*



in the same given space). Accommodating more fields in a conventional form leads to higher error rates both during data capture and data scanning because of human error. Accommodating more fields into a small paper area also helps in reducing paper usage and thus the process is more environments friendly.

0300.	Malaria Frevenuon. Use or (bed) nets							
Q0560	Do you have a <u>mosquito (bed) net</u> in the house?	1. Yes		5. No		8 DK		If No or DK: Go to Q0570
Q0561	Were the (bed) nets treated with <u>insecticide</u> , a product that kills insects?	1. Yes		5. No		8 DK		If No or DK: Go to Q0563
Q0562	If Yes: When was the <u>last time</u> the (bed) nets were (re-) treated with this product?	1. Within the last 6 months	2. 7 m month:	onths-12 s ago	3. More than ago	l year	8. DK	
Q0563	Can you please tell me how many <u>children aged under 5 years</u> live in this household?							If No children under age 5 in
	Interviewer: Enter the number of children in the box. If no child under age 5 in household, enter "0". Correct number of children in household and update coster if necessary.							household: Go to Q0565
Q0564	How many of these children slept under a mosquito (bed) net <u>last night</u> ?				88. DK			
Q0565	Can you please tell me how many <u>women</u> who live in this household are currently <u>pregnant?</u> Interviewer: If no women are currently pregnant, enter "0".				88. DK			If No pregnant women in household: Co to Q0567
Q0566	How many of the pregnant women in this household slept under a mosquito (bed) net last night?				88. DK			
Q0567	How many <u>other persons</u> who live in this household slept under a mosquito (bed) net <u>last night</u> ? (That is, all the other household members except for young children or pregnant women.)				88. DK			

0560. Malaria Prevention: Use of (bed) nets

<u>Figure 1:</u> World Health Survey Conducted by WHO capturing information for Malaria Prevention. The above given is diagram was selected as the format is strikingly similar to ICTPH's old version of a PLSP form

2. <u>Turnaround time for OMR scanning</u>: Theoretically the turnaround time is almost a fraction of a second but in practice the logistics takes longer as all the field data needs to be converged to a centralized location for scanning. The turnaround time is also dependent on volume as the scanning process is not very economical below a threshold.

Process Documentation:

This documentation describes the different components of data collection through OMR which is currently piloted by ICTPH's implementation partner SughaVazhvu. This could be used as a guideline for other organizations who want to emulate this method.

Vendor Selection:

Some of the criteria for vendor selection are listed below:

a. <u>Printing and Scanning Infrastructure</u>: This is an important criterion for vendor selection. During the post-pilot stages, developing a partnership with an established provider is beneficial.



- b. <u>Independent Solution Provider</u>: It is advisable to avoid intermediary dealers who outsource the template designing, printing and scanning to other OMR companies. They are often more expensive and chances of miscommunication especially during the template designing can be higher.
- c. <u>Location</u>: The company should be ideally located nearest to the field as sending OMR sheet back and forth across geographies increases latency and expenses.
- d. <u>Price quotation</u>: Since there are no pricing standards price flexibility is one of the most important parameters during vendor selection.

OMR Vendors	URL Link
Mark Reader, Delhi	http://omrindia.com/
Maxso Technologies Pvt. Ltd.,	http://www.maxso.in/
Chennai	
OMR Home, Delhi	http://www.omrhome.com/default.asp
Vikmans, Delhi	http://vikmans.com/index.asp?menuID=14
Multi Graphics, Delhi	http://www.omrsolutionsmulti.com/index.html
Total Reflective Solutions (TRS),	http://www.trsforms.com/aboutus.php
Delhi	

Some of the OMR solution provider in India who was screened by ICTPH is listed below:

Table 2: List of OMR solution providers in India

Template Designing:

The first step to design an OMR template is to convert the existing content to an OMR logic. The given below (*Figure 2*) represents an intermediary version with OMR logic designed by ICTPH which was later converted into an actual OMR template (*Figure 3, Also refer* Annexure 1) by Mark India, an OMR company based in Delhi.

Inter	viewer checkpoint: Only ask Q.501-502 if ADOLESCENT has ev	er be	en ma	rried.									
501	Are you aware about contraception methods?	Yes		No (🖝 Ski	p to Q.	503)						
502	Do you use any contraceptive methods?	Yes		No		DK							
Inter	viewer checkpoint: Only ask Q.503-Q.504 if ADOLESCENT is Fe	emale	and ha	as eve	r bee	n marr	ied.						
503	Are you currently pregnant?	Yes (←Refe	r to RN	1HC)	No (+	Skip to	Q505)	Don't	ć know	(+ Skip	o to Q5	05)
504	How many times have you been pregnant? Flag: include current pregnancy, if applicable, and pregnancies that didn't result in a live birth	1	2	3	4	5	6	7	8	9	10	11	12
505	Have you ever smoked tobacco?	Yes		No	(🗲 Sk	ip to Q	507)						
506	Number of times tobacco consumed in past month	0; 1-	2; 3-5;	6-9;	10-19	; 20-2	9; 30;	DON'	r Knov	N			
507	Have you ever had any alcohol, like beer, wine, or liquor?	Yes		No	(🗲 Sk	ip to Se	ection 6	5)					
508	How many alcoholic drinks did you have in the last month?	0; 1-	2; 3-5;	6-9;	10-19	; 20-2	9; 30;	DON'	r Knov	N			
Flag:	Family members can now return to the room.												



Figure 2: Intermediary version ICTPH designed from an old questionnaire keeping the actual content of the Adolescent form.

501	Are you aware about contraception methods?				Yes	;	\bigcirc			No	\bigcirc		DK	ØR	
502	Do you use any contraception methods?				Yes		\bigcirc			No	\bigcirc		DK	ØR	
Inte	rviewer checkpoint: Only ask Q.503-Q.504 if ADOLESCEN	T IS	Fem	alea	and ha	as ev	er be	en ma	arred						
503	Are you currently pregnant ?	re	Yes fer to R	мно	$; \bigcirc$	Sk	No ip to C	2.505	\supset		DS	ON'T K kip to Q	NOW .505	ŒŔ	
504	How many times have you been pregnant? Flag: include current pregnancy, if applicable, and pregnancies that didn't result in a live birth	0		2)	3	4	C	5 (6	7	8	9	10	1	12
505	Have you ever smoked tobacco?				Yes		\bigcirc			No	\bigcirc				
506	Number of times tobacco consumed in past month	0	\bigcirc	1-2	\bigcirc	3-5	\bigcirc	6-9(⊃ 1	0-19	20	-29 🔿	30		KOW (DK)
507	Have you ever had any alcohol, like beer, wine, or liquor?				Yes		\bigcirc			N	lo (S	kip to S	ection	6) 🔿	
508	How many alcoholic drinks did you have in the last month?	0	0	1-2	0	3-5	0	6-9(⊃ 1	0-19	20	-29 🔿	30	O DON'T K	INW OK

Figure 3: OMR format developed by Mark Reader, a company specialized in OMR technology. The above diagram shows a sample section from the main OMR sheet for Adolescent.

Printing and scanning:

Printing and scanning of OMR is a specialized task and it is advisable to do both these tasks with the same vendor to avoid misalignment leading to error. The OMR templates are printed on a 100 or 105 GSM paper with a red ink. While the recommended paper-thickness prevents the scanner from reading marks on the back of the sheet, the red-ink prevents self recognition of the bubble by the scanner.

The marking could be done either by a pencil or a back ball pen. Ink pens are not recommended because the ink penetrating the opposite side of the OMR sheet could produce a false reading. Once the OMR sheet is filled out with marks it is then scanned by a high speed scanner. Preferably a double sided scanner is used which reduces paper usage and does faster scanning (5000-10000 pages per hour).

Best Practices for using OMR technology:

- 1. <u>Marking Bubbles:</u> It is advisable to mark the entire bubble with either black pencil or ball pen. Completely filling up of the bubbles increases sensitivity of the scanning. Newer scanners also read partially marked bubbles. Any marks on the main sheet beyond the bubbles should be avoided especially on the alignment marks on the sides. Precautions should be taken to avoid overlapping of marks.
- 2. <u>Avoid Folds:</u> Any folds or twist in the OMR sheet should be avoided as this hinders the scanning process. Slight curve or minor folds is acceptable, but sharp edge folds or torn sides should be eliminated.
- 3. <u>Transportation damage</u>: Damage during transportation could be avoided by packing the OMR sheets in a hard cardboard box during transit. A hard card board on either side of



the OMR stack is advisable to avoid folds. During field data collection the community worker should use a hard and a water-proof folder to avoid folding and rain.

4. <u>Mark Editing:</u> OMR sheets allow editing using a rubber eraser. During erasing the paper should not be damaged or made thin which might affect the reading quality by exposing the opposite side of the sheet. Pencil is normally advisable as it can be erased easily with the least damage to the OMR sheet.

Resource for Data collection and monitoring:

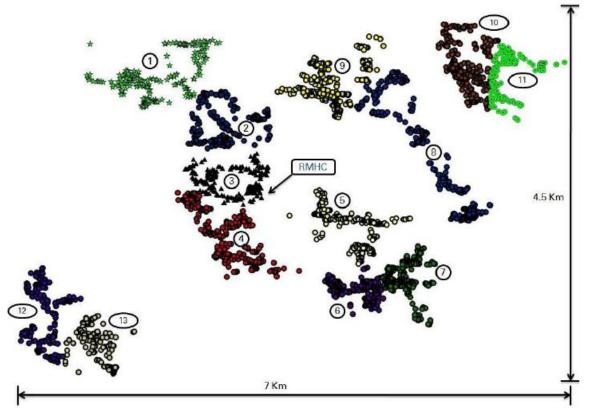
ICTPH is implementing these best practices through its field partner SughaVazhvu (Implementation partner of ICTPH, 2010). SughaVazhvu has a nurse-managed-doctorsupervised clinic called a Rural Micro Health Centre (RMHC) with one locally resident full-time graduate nurse (with a B.Sc. Nursing degree). These Nurses are involved in monitoring and evaluation of the OMR process. The nurses are supported by a network of thirteen locally hired and trained extension workers (Johar, 2010). These extension workers go to individual households to capture health data on OMR sheet. Each extension worker serves about 200 households or 1000 individual members.

Geography Allocation:

SughaVazhvu is currently using the GPS-marked map developed by Kshetriya Gramin Finance Services (KGFS), a microfinance company operating in Tanjore. KGFS has mapped all the households in the catchment area consisting of 11000 population including information on the household size and individual members like age, relation with the household head etc (Johar, 2010). Based on this information ICTPH came up with Household Roster forms which contain pre-populated household member name and a code. These forms also allow updating the information by the extension work. Example: New members of the family are added (in case new born or adding newly married) and a member who does not exist anymore in the household (in case of death and marriage) is dropped out from the list.

The entire catchment area was divided into 13 hamlets based on geographical distribution spread across 13 extension workers allowing each worker to serve a population of a 1000 people.





<u>Figure 4:</u> Spatial distribution of the GPS tagged households (2700) defining the catchment area of a Rural Micro Health Centre (RMHC) in Karambayam Village, Thanjavur district, Tamil Nadu, India. The illustrated field represents five villages with a population of 11,000 individuals. Color coded 13 enumerated zones denote the areas allocation for a guide provisioning services to a sub-set population of a 1,000 individuals each. The five village catchment of the RMHC -Karambayam (illustrated area 2-5); Ettuplikadu (6-7); Sembalur (8); Ambalapattu (1 & 9-11); Veppankadu (12-13)

Monitoring and Evaluation:

OMR sheets are dispatched every week to the extension workers as per the allocated Household Roster forms. Records are maintained about the dispatched forms. Once the OMR sheet is filled out by the extension worker they are collected back on a weekly basis. Quick checks on the good practices like folds, overlapping of marks etc. are done and any inconsistencies are eliminated from the batch and feedback is given to the particular extension worker responsible.



Consent form:

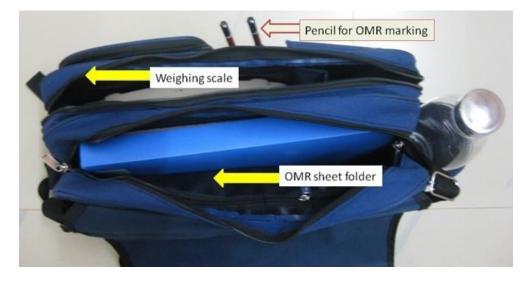
Getting consent is the first step to start with data collection by OMR technology. The household consent is taken from the household members after explaining SughaVazhvu's objective. Consent for infant and child is taken from the caregiver. The consent form also captures mobile numbers which could be used later for verification and follow-ups.

OMR training:

A one-day training was organized for all extension workers on the best practices of using OMR sheets. Interestingly, all the extension workers were already accustomed with an OMR sheet during previous Govt. test given by them. This might not be true for other places scoring lower educational status in which case more training would be required.

Accessories for PLSP and OMR sheets:

The extension worker is given a PLSP kit (*Figure 5*) during her visit to household which allows her effective management and usage of different accessories including the OMR sheets. There is a separate section for a hard folder which keeps the OMR sheet in proper condition. It also has a pencil and eraser-holder used for marking and editing OMR marks. There is provision made for essential accessories used in the data collection such as instruments for measuring Blood Pressure, Visual Acuity, Body Mass Index etc.



<u>Figure 5</u>: Community extension worker kit used to carry OMR sheet and other important accessory to fill out OMR forms like pencil, erase for marking and erasing respectively. It also carries other accessories like weighing scale, visual chart, measuring tape etc.

Integration of OMR scanned data with an Electronic Health Record:

Once the OMR sheet is scanned the data is captured into a columnar format that can be viewed and edited in a spreadsheet application such as MS Excel. ICTPH has partnered with Swasth India (Technology partners of ICTPH, 2010) to develop an Electronic Health Record (EHR)



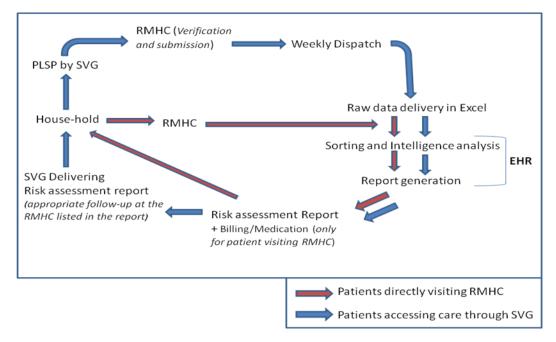
system which acts like a Management Information System. The spreadsheet is picked up by the EHR which allows effective data management and analysis. Example: Any abnormal health symptoms like Blood Pressure, Body Mass Index, Vision acuity etc. raises an alarm which will prompt the healthcare provider to take immediate follow-up.

Report Generation:

A simple report could be also generated by using easily available tools like MS Word. A detailed stepwise process flow is given in (Annexure 2). By this method any column in the excel data dump could be merged with any particular field in the word document.

Process Flow Chart:

At the field the SVG collects health data through OMR which then submitted to the RMHC which acts like a supervising body. These manual data are then sent for scanning and converted into a spreadsheet which is analyzed by the EHR. Risk Assessment Reports are generated by the EHR intelligence system based on which an assessment plan will be designed. A simple assessment report could also be generated by using Java script in Google docs and merging spreadsheet data into a MS Word doc (Annexure 2). This report will be delivered to the household through the assigned SVG which takes around 2-10 days.



<u>Figure 6</u>: Process flow chart describing OMR data collection and its integration with the EHR. It also describes its relation with the process flow of EHR entry of a patient and report generation.

Limitation of OMR Technology:



Though OMR Technology is an established way of large population level surveys and data collection, it faces some limitations over newer technologies like a Mobile/Handheld device based data collection techniques. Some of the limitations are listed below:

- 1. <u>Turnaround time:</u> The data collected in the field is not accessible to a large group of people immediately like in case of a mobile based data collection where the data is live. It is accessible only after all the forms are physically converged to a centralized scanning unit.
- 2. <u>Lack of versatility</u>: OMR can be used only a standalone data collection tool unlike various emerging technologies like GPS, Mobile applications etc.
- 3. <u>Damaging of OMR sheet</u>: OMR sheets should be carefully handled as any damage on the sheet will lead to errors.
- 4. <u>Error:</u> OMR logic does not accommodate any error validation logic and any wrong entry cannot be proof-read immediately.
- 5. <u>Rigidity:</u> Not easy to make changes once the OMR template is already designed.



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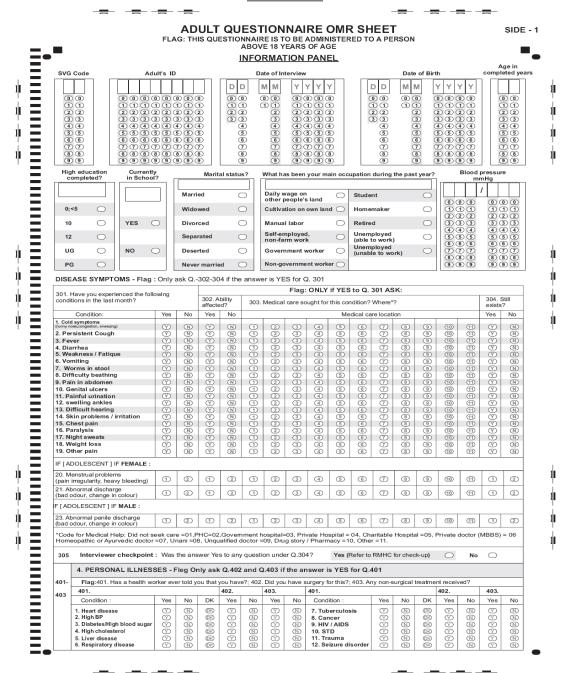
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Annexure1





5. FA	MILY HISTORY																
501	Has a health professiona	ever told	any of y	/our im	mediate	e family i	membe	rs (mothe	er, fathe	r, sister:	s, brothe	ers) that th	ey have:				
	Condition :		Yes		No	Dor	n't knov	v	Condi	ition :			res 🛛	N	lo	Don't	know
	1. Heart disease		(Y)				0K			pirator			\mathbb{Y}	Œ		0	
	2. High Blood Pressure 3. Diabetes/High blood sugar		(\mathbf{A})				0K OK		7. Tub 8. Can	erculos	is		Y	C C		0	
	4. High cholesterol		\bigotimes				œ			/ AIDS			Y	C		0	
	5. Liver disease		Y		\mathbb{N}		0K)		10. Se	izure d	isorder		Y	Œ	D	C	R)
	EXUAL AND REPRODUC													_			
601	Are you aware about con					_	• 〇				ny cont	raception	methods	s? Ye	s 🔾	No (
	viewer Checkpoint: Ask Q.6		only if [ever bee				_	-				-
603	Are you currently pregar	[?		Yes (F	Refer to	RMHC) ()		1	No (Skij	o to 605) ()	D	on't kn	ow (Ski	p to Q.	605) 🔘
604	Do you receiving any ar					Yes	\bigcirc					No	\supset				
605	How many times have y											\bigcirc (1)	234	0.50	670	B (9) (1	0 (1) (12
	pregnancy, if applicable How many children hav				t alan t	result i	naiiv	e birth									
606	Flag: include all live bin	hs, even	if child	died a	afterwa	rds.						00	2000	000		9990	0 (1) (12
607	Have you ever had any r	niscarriag	e, abort	tions,	or stillb	oirths?	Ye	s 🔿	No (Sk	tip to Se	ection 7	$) \bigcirc$	Don't	know	(Skip to	Sectio	n 7) 🔿
608	How many miscarriages,	abortions	or stillb	irths h	ave you	u had?						01	234	000	070	B (9 (0 (1) (12
7. SN	MOKING HABITS																
701	Have you ever chewed tab				kip to 70		702	Do you	current	ly chew	tabacco	o?		Yes C			No 〇
703	Have you ever smoked tab	acco? Yes	No No	(Skip to	Section	8)〇	704	,	current			cco?		Yes 🤇			tion 8) 🔿
705	How soon after you wake	o you smo	ke your	r first ci	igarette'	?	A	ter 60 inutes [0]	\circ	31- mii	-60 nutes [1	1°	6-30 minute	s [2] 🤇	\supset	Less the 5 minut	
706	Do you find it difficult to refr		No	\bigcirc	Yes	s 🔿	707	Which c	cigarette	would		,	First in	the _			er [0] ()
	smoking where it is forbidde			-					st hate g				Mornin	9[1]		-	
708	How many cigarettes per d			?			10 0	or less [0]		11	- 20 [1]	0)[2] C		re than	30 [4] 🔿
	Do you smoke more freque			t of the	day?		No	⊃ Yes		710		u smoke e ou are in be				s 🔿	No 🔾
709	first hours after awakening	han during															
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