BOTSWANA NATIONAL HEALTH QUALITY STANDARDS FOR CLINICS

12.Facility Management Services

Republic of Botswana

These forms are designed to be used by both hospital personnel and external surveyors. The following information must be provided after each survey, before submitting the completed survey forms.

1.NAME OF HOSPITAL/CLINIC/FACILITY:_____

2. BASELINE/INTERNAL SURVEY INFORMATION:

Title and name of person who completed this document: _____

Post and position held: _____

Date of survey: _____

3. EXTERNAL SURVEY INFORMATION:

Name of external surveyor: _____

Date of external survey: _____

GUIDE TO COMPLETION OF FORM

N.B. Hospital staff are please to use BLACK ink at all times. The external surveyors are requested to use RED ink at all times.

Please circle the rated compliance with the criterion, e.g. NA (Not applicable), NC (Non-compliant), PC (Partially compliant), C (Compliant).

The default category affected is designated on the form for
 each criterion as follows:
1. patient and staff safety
2. legality
3. patient care
4. efficiency
5. structure
6. basic management
7. basic process
8. evaluation

The seriousness of the default is designated on the
 form for each criterion as follows:
1. mild
2. moderate
3. serious
4. very serious

Documents Checked
Surveyor: ....
Surveyor: ....

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12.1 Facilities and Equipment

12.1.1 Standard

Functional facilities are available to provide safety and comfort for patients, visitors and personnel.

Standard Intent: Laws, regulations and inspections by government and local authorities determine in large part how a facility is designed, used and maintained. All organisations, regardless of size and resources, must comply with these requirements as part of their responsibilities to their patients, families, staff and visitors.

Buildings, grounds, plant and machinery are provided and maintained, and do not pose hazards to the occupants. The construction of the building in terms of walls, ceilings, floors, doors and windows must be sound. The general appearance will be examined for neatness, condition of paintwork, signs of leakage, mould spots, etc.

Utility systems (electrical, water, oxygen, ventilation, mosquito screening and other utility systems) are maintained to minimise the risks of operating failures. Ensuring that buildings, grounds, plant and machinery are provided and maintained requires that the personnel be knowledgeable and competent.

	Criterion	Comments
		Recommendations
Criterion 12.1.1.1 Critical: ¨ Catg: Basic Management + Legality **Compliance** NA NC PC C Default Severity for NC or PC = 4 Very Serious	Laws, regulations and other requirements applicable to the organisation's facilities are available in writing to the personnel.	
Criterion 12.1.1.2 Critical: ¨ Catg: Basic Management + Physical Struct **Compliance** NA NC PC C Default Severity for NC or PC = 3 Serious	The building is appropriate as a healthcare facility in terms of size and layout.	
Criterion 12.1.1.3 Critical: ¨ Catg: Basic Management + Physical Struct **Compliance** NA NC PC C Default Severity for NC or PC = 3 Serious	Mosquito net screening is available at external windows and doors throughout the facility, where applicable.	

Criterion 12.1.1.4	All rooms are adequately ventilated.	
Critical: ˙˙		
Catg: Basic Management + Physical Struct		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 3 Serious		

Criterion 12.1.1.5	Where required, air-conditioning is installed in laboratories, pharmacies, operating theatres and sterilising departments and is tested and maintained.	
Critical: ˙˙		
Catg: Basic Process + Efficiency		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 4 Very Serious		

Criterion 12.1.1.6	Temperature and ventilation control mechanisms are installed and maintained in the pharmacy, laboratory, kitchens, laundries and other relevant areas.	
Critical: ˙˙		
Catg: Basic Process + Efficiency		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 4 Very Serious		

Criterion 12.1.1.7	Toilet/washroom facilities are clean and in working order.	
Critical: ˙˙		
Catg: Basic Process + Efficiency		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 4 Very Serious		

Criterion 12.1.1.8	There is a separate area for the personnel with secure storage facilities for outdoor clothing, handbags and personal possessions.	
Critical: ˙˙		
Catg: Basic Management + Physical Struct		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 4 Very Serious		

Criterion 12.1.1.9	Sufficient office/administrative space is available for the personnel	
Critical: `..`		
Catg: Basic Management + Physical Struct		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 2 Moderate		

12.2 Buildings, Plant, Installations and Machinery

12.2.1 Standard

The maintenance service is managed to ensure the provision of a safe and effective service.

Standard Intent: A suitably qualified individual, with proven competence, is appointed to manage the service. The accountabilities and responsibilities of this individual are clearly defined.

Management ensures that enough competent personnel are available to manage routine and emergency functions and meet the needs of a safe and effective health service. Personnel may be employed by the organisation or be contracted out. Where there are contracted personnel, there must be clear contracts outlining their responsibilities. The roles of the personnel need to be clearly defined and management needs to ensure that they maintain their competence.

	Criterion	Comments
		Recommendations
Criterion 12.2.1.1	A designated, competent individual is responsible for supervising the maintenance of buildings, plant and installations.	
Critical: `..`		
Catg: Basic Management + Physical Struct		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 3 Serious		
Criterion 12.2.1.2	Where these services are outsourced, the organisation's personnel have access at all times to a list of these private contractors with their contact numbers.	
Critical: `..`		
Catg: Basic Process + Efficiency		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 3 Serious		

Criterion 12.2.1.3 Critical: ·· Catg: Basic Process + Efficiency **Compliance** NA NC PC C Default Severity for NC or PC = 4 Very Serious	Written agreements ensure 24-hour technical back-up services.	
Criterion 12.2.1.4 Critical: ·· Catg: Basic Process + Efficiency **Compliance** NA NC PC C Default Severity for NC or PC = 4 Very Serious	Written policies and procedures guide the organisation's personnel in the implementation of all service-related requirements.	
Criterion 12.2.1.5 Critical: ·· Catg: Basic Management + Physical Struct **Compliance** NA NC PC C Default Severity for NC or PC = 3 Serious	There is a dedicated work area for maintenance activities.	
Criterion 12.2.1.6 Critical: ·· Catg: Basic Management + Physical Struct **Compliance** NA NC PC C Default Severity for NC or PC = 3 Serious	Basic maintenance equipment and tools are available.	
Criterion 12.2.1.7 Critical: ·· Catg: Basic Management + Physical Struct **Compliance** NA NC PC C Default Severity for NC or PC = 3 Serious	Basic technical spare parts are available.	

12.2.2 Standard

The organisation implements a documented preventive planned maintenance programme for buildings, plant, installations and machinery.

Standard Intent: The organisation plans for regular in-house inspection of facilities and testing of plant and machinery to avoid hazards. The organisation's personnel may carry out the testing, or the manufacturer's technicians may carry out these tasks. Whatever the system in use, the organisation has a documented plan for testing plant and machinery.

Building maintenance will include the monitoring of the following aspects:

- the general appearance of the inside and outside structure, which includes the construction of walls, floors, doors and windows
- the condition of the paintwork
- water leaks, mould spots
- electrical wiring, e.g. exposed wires, switches, electrical sockets, and
- maintenance of the grounds (no litter, neat garden and grass kept short).

	Criterion	Comments
		Recommendations
Criterion 12.2.2.1 Critical: `` Catg: Basic Management + Pat & Staff Safety **Compliance** NA NC PC C Default Severity for NC or PC = 4 Very Serious	The organisation plans and budgets for upgrading or replacing systems, buildings or components needed for the continued operation of a safe and effective facility.	
Criterion 12.2.2.2 Critical: `` Catg: Basic Process + Efficiency **Compliance** NA NC PC C Default Severity for NC or PC = 4 Very Serious	There are site and floor plans that depict the locations and layout of the main services (e.g. water, sanitation, electricity supply).	
Criterion 12.2.2.3 Critical: `` Catg: Basic Process + Efficiency **Compliance** NA NC PC C Default Severity for NC or PC = 3 Serious	The facility has an established, documented preventive maintenance management plan.	

Criterion 12.2.2.4	Regular inspections of all buildings, plant, installations and machinery are documented.	
Critical: o		
Catg: Basic Process + Efficiency		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 4 Very Serious		
Criterion 12.2.2.5	A documented procedure for reporting defects in maintenance installations during and after normal working hours is known to the personnel.	
Critical: ..		
Catg: Basic Process + Efficiency		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 3 Serious		

12.2.3 Standard

Electrical installations are regularly inspected, tested, maintained and, when appropriate, improved.

Standard Intent: The effective and efficient operation of all key systems in the organisation is essential for patient, family, volunteer and visitor safety and for meeting patient care needs.

The organisation needs to protect patients and personnel in emergencies, such as system failure, interruption or contamination.

An uninterrupted source of electricity is essential to meet patient care needs, both routine and urgent, twenty four (24) hours a day. Regular and alternate sources can be used.

Critical instruments that provide required emergency services need to be connected to an emergency power system. Critical instruments are available in several different departments, e.g. refrigerators in the pharmacy and the laboratory, and lights and equipment in the operating theatre and delivery room.

Critical points to be lighted by emergency power are identified and listed. These include:
- operating theatres and recovery rooms
- lights and sockets in the delivery rooms
- strategic lights and sockets in ward corridors
- the neonatal nursery, and
- casualty and trauma areas.
- Emergency electricity supplies:
- each patient care area is provided with at least one socket outlet which is connected to the emergency power supply
- all emergency supply socket outlets are appropriately demarcated
- emergency and backup power sources are tested.

	Criterion	Comments
		Recommendations
Criterion 12.2.3.1 Critical: b Catg: Basic Process + Efficiency **Compliance** NA NC PC C Default Severity for NC or PC = 4 Very Serious	Electrical power is available twenty four (24) hours a day, seven (7) days a week, from regular or emergency sources.	
Criterion 12.2.3.2 Critical: .. Catg: Basic Process + Pat & Staff Safety **Compliance** NA NC PC C Default Severity for NC or PC = 3 Serious	Sufficient light sources are available to provide adequate light (no dark areas) in all areas such as the entrance, waiting rooms, halls and offices.	

Criterion 12.2.3.3	Sufficient electrical socket outlets are provided in all areas to avoid overloading of individual outlets and to minimise fire risks.	
Critical: ¨		
Catg: Basic Process + Pat & Staff Safety		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 4 Very Serious		

Criterion 12.2.3.4	Provision has been made for an emergency electrical supply.	
Critical: ¨		
Catg: Basic Process + Efficiency		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 4 Very Serious		

Criterion 12.2.3.5	There is documented evidence that relevant personnel are regularly trained to use/operate electrical supply systems and to access power in emergencies.	
Critical: ¨		
Catg: Basic Process + Efficiency		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 3 Serious		

Criterion 12.2.3.6	Servicing and testing of the uninterrupted power supplies (UPS) and/or battery backup systems is documented.	
Critical: þ		
Catg: Basic Process + Efficiency		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 4 Very Serious		

Criterion 12.2.3.7	Emergency generators are tested on full load in accordance with manufacturers' specifications and such tests are documented.	
Critical: þ		
Catg: Basic Process + Efficiency		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 4 Very Serious		

Criterion 12.2.3.8	Sufficient fuel, e.g. diesel, is available to provide power for twenty four (24) hours.	
Critical: `..`		
Catg: Basic Process + Efficiency		
Compliance NA NC PC C		
Default Severity for NC or PC = 4 Very Serious		

12.2.4 Standard

Water supplies are regularly inspected, tested, maintained and, when appropriate, improved.

Standard Intent: An uninterrupted source of clean water is essential to meet patient care needs, both routine and urgent, twenty four (24) hours a day. Drinkable water needs to be available in all essential areas such as medical departments, wards, OPD and ablution facilities. Storage areas such as a well, storage tanks or other backup systems must be safe from contamination. Regular and alternate sources can be used.

Water quality can change suddenly due to many causes, some of which can be outside the organisation, such as a break in the supply line to the organisation, or contamination of the water source. The frequency of water quality monitoring is based in part on previous experience with water quality problems. The monitoring can be carried out by individuals designated by the organisation, such as personnel from the clinical laboratory, or by public health or water control authorities outside the organisation. Records of all checks are available.

Monitoring data is collected and documented for the medical utility management programme and is used for planning and improvement purposes.

	Criterion	Comments
		Recommendations
Criterion 12.2.4.1	Regular and/or emergency water supplies, including drinkable water, are available twenty four (24) hours a day, seven days a week in all essential areas.	
Critical: b		
Catg: Basic Process + Efficiency		
Compliance NA NC PC C		
Default Severity for NC or PC = 4 Very Serious		
Criterion 12.2.4.2	Water filters are available to remove mud and dust particles.	
Critical: `..`		
Catg: Basic Management + Physical Struct		
Compliance NA NC PC C		
Default Severity for NC or PC = 3 Serious		

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Criterion 12.2.4.3	Should the water supply be contaminated or interrupted, the areas and services at risk have been identified and provision has been made for an alternative water supply.	
Critical: ¨		
Catg: Basic Management + Efficiency		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 3 Serious		
Criterion 12.2.4.4	There is documented evidence that relevant personnel are regularly trained to ensure that all operations to secure safe water are properly performed.	
Critical: ¨		
Catg: Basic Process + Efficiency		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 3 Serious		
Criterion 12.2.4.5	All drinkable water supplies are tested on a regular basis and the results are documented.	
Critical: ¨		
Catg: Basic Process + Efficiency		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 3 Serious		

12.2.5 Standard

Medical gas systems are regularly inspected and maintained and when appropriate, improved.

Standard Intent: The organisation plans its oxygen supplies according to the needs of the patients served.

Policies and procedures relating to the storage, testing and safety of gas supplies are available and are implemented.

Gas cylinders are stored in outside facilities, chained in the upright position, and have "no smoking" and "no oil" signs.

Emergency oxygen supplies ensure that:
• where there is no piped oxygen supply, there is at least one mobile oxygen supply per ward, and more depending on the number of beds/cots in the ward and
• all the necessary fittings for oxygen are suitable for the ages of the children admitted, and are working satisfactorily.

	Criterion	Comments
		Recommendations
Criterion 12.2.5.1 Critical: ·· Catg: Basic Management + Physical Struct **Compliance** NA NC PC C Default Severity for NC or PC = 3 Serious	Medical gas (oxygen, nitrous oxide and medical air) supplies are available according to the operational requirements of the facility.	
Criterion 12.2.5.2 Critical: ·· Catg: Basic Process + Pat & Staff Safety **Compliance** NA NC PC C Default Severity for NC or PC = 4 Very Serious	Medical gas supply systems comply with safety standards.	
Criterion 12.2.5.3 Critical: ·· Catg: Basic Process + Pat & Staff Safety **Compliance** NA NC PC C Default Severity for NC or PC = 3 Serious	Where there is piped gas, the enclosure, gas bank, pressure regulators, related control/alarm systems and all outlet points are clean and in good operating condition.	

Criterion 12.2.5.4 Critical: о Catg: Basic Process + Pat & Staff Safety **Compliance** NA NC PC C Default Severity for NC or PC = 4 Very Serious	Where there is piped gas, the main oxygen supply system is fitted with an alarm, which operates automatically in the event of low pressure in the gas supplies and is regularly tested.	
Criterion 12.2.5.5 Critical: .. Catg: Basic Process + Efficiency **Compliance** NA NC PC C Default Severity for NC or PC = 3 Serious	Where there is piped gas, medical gas alarm systems are regularly tested and these tests are documented.	
Criterion 12.2.5.6 Critical: .. Catg: Basic Process + Pat & Staff Safety **Compliance** NA NC PC C Default Severity for NC or PC = 4 Very Serious	Backup supplies of medical gas are available and strategically positioned to ensure timely deployment in emergencies.	

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12.2.6 Standard

Medical vacuum systems are regularly inspected, maintained and, when appropriate, improved.

Standard Intent: The organisation plans its vacuum supplies according to the needs of the patients served.

Policies and procedures relating to the testing and safety of vacuum systems are available and implemented.

Vacuum systems are regularly tested in accordance with the specifications of the suppliers.

Emergency vacuum supplies ensure that:
- where there is no vacuum supply, there is at least one mobile vacuum pump per ward, and more depending on the number of beds/cots in
- the ward, and
- all the necessary fittings for suction are suitable for the ages of the children admitted and are working satisfactorily.

	Criterion	Comments
		Recommendations
Criterion 12.2.6.1 Critical: ˙˙ Catg: Basic Management + Physical Struct **Compliance** NA NC PC C Default Severity for NC or PC = 3 Serious	Where there is a piped vacuum system, it is externally ventilated and able to provide sufficient suction to all piped vacuum points in the facility.	
Criterion 12.2.6.2 Critical: ˙˙ Catg: Basic Process + Efficiency **Compliance** NA NC PC C Default Severity for NC or PC = 3 Serious	Piped vacuum systems are regularly tested, and these tests are documented.	
Criterion 12.2.6.3 Critical: ˙˙ Catg: Basic Process + Pat & Staff Safety **Compliance** NA NC PC C Default Severity for NC or PC = 4 Very Serious	Alternative vacuum/suction units are available and strategically positioned to ensure timely deployment in emergencies.	

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12.2.7 Standard

The sewerage system is regularly inspected, tested, maintained and, when appropriate, improved.

Standard Intent: An appropriate sewerage system must be available and maintained. This will include disposal of waste water, surface water and sewage. The infrastructure, including drainage points, pipes, pumps and mains, needs to be protected to prevent spillage and contamination of the environment.

	Criterion	Comments
		Recommendations
Criterion 12.2.7.1 Critical: ·· Catg: Basic Management + Physical Struct **Compliance** NA NC PC C Default Severity for NC or PC = 3 Serious	There is an appropriate and effective sewerage system.	
Criterion 12.2.7.2 Critical: ·· Catg: Basic Process + Efficiency **Compliance** NA NC PC C Default Severity for NC or PC = 3 Serious	Septic tank systems are properly managed and functional.	
Criterion 12.2.7.3 Critical: ·· Catg: Basic Process + Pat & Staff Safety **Compliance** NA NC PC C Default Severity for NC or PC = 4 Very Serious	All drains are appropriately covered.	

12.3 Medical Equipment

12.3.1 Standard

Medical equipment is available and properly maintained to meet the needs of the patient population.

Standard Intent: Healthcare organisations are responsible for ensuring that appropriate medical equipment is available and ready for use at all times. There is an accountable, systematic approach to ensuring that cost-effective, safe and appropriate medical equipment is available to meet the demands of quality patient care.

Managers take responsibility for ensuring that medical equipment is available, appropriately maintained and calibrated and that the personnel are competent to use it.

	Criterion	Comments
		Recommendations
Criterion 12.3.1.1 Critical: `..` Catg: Basic Management + Efficiency **Compliance** NA NC PC C Default Severity for NC or PC = 3 Serious	A designated individual supervises the management of medical equipment in the organisation.	
Criterion 12.3.1.2 Critical: `..` Catg: Basic Process + Efficiency **Compliance** NA NC PC C Default Severity for NC or PC = 4 Very Serious	Policies and procedures guide the management of medical equipment.	
Criterion 12.3.1.3 Critical: `..` Catg: Basic Management + Physical Struct **Compliance** NA NC PC C Default Severity for NC or PC = 4 Very Serious	The supply of medical equipment is adequate to meet the needs of the service.	
Criterion 12.3.1.4 Critical: `..` Catg: Basic Process + Efficiency **Compliance** NA NC PC C Default Severity for NC or PC = 3 Serious	There is an inventory of all medical equipment.	

Criterion 12.3.1.5 Critical: ˙˙ Catg: Basic Process + Efficiency **Compliance** NA NC PC C Default Severity for NC or PC = 3 Serious	Records are kept of the checking and maintenance of medical equipment.	
Criterion 12.3.1.6 Critical: ˙˙ Catg: Basic Process + Efficiency **Compliance** NA NC PC C Default Severity for NC or PC = 3 Serious	There is a documented procedure known to the personnel for reporting defects in medical equipment during and after normal working hours.	

12.4 Information and Communication Technology (ICT) Equipment

12.4.1 Standard

ICT equipment is available and properly maintained to meet the needs of the services.

Standard Intent: Healthcare organisations are responsible for ensuring that appropriate ICT equipment is available and ready for use at all times. There is an accountable, systematic approach to ensuring that cost-effective, safe and appropriate ICT equipment is available to meet the demands of quality patient care.

Managers take responsibility for ensuring that ICT equipment is available, appropriately maintained and calibrated and that the personnel are competent to use it.

	Criterion	Comments
		Recommendations
Criterion 12.4.1.1 Critical: ˙˙ Catg: Basic Management + Physical Struct **Compliance** NA NC PC C Default Severity for NC or PC = 3 Serious	Policies and procedures guide the management of ICT equipment.	

Criterion 12.4.1.2	A designated individual supervises the management of ICT equipment in the organisation.	
Critical: `··`		
Catg: Basic Management + Efficiency		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 3 Serious		

Criterion 12.4.1.3	The supply of ICT equipment is adequate to meet the needs of the services.	
Critical: `··`		
Catg: Basic Management + Physical Struct		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 3 Serious		

Criterion 12.4.1.4	There is an inventory of all ICT equipment.	
Critical: `··`		
Catg: Basic Process + Efficiency		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 3 Serious		

Criterion 12.4.1.5	All desktop and server computers are attached to an uninterrupted power supply (UPS) with surge protection.	
Critical: `··`		
Catg: Basic Process + Efficiency		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 2 Moderate		

Criterion 12.4.1.6	There is a data back-up system.	
Critical: `··`		
Catg: Basic Process + Efficiency		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 2 Moderate		

Criterion 12.4.1.7 Critical: .. Catg: Basic Process + Efficiency **Compliance** NA NC PC C Default Severity for NC or PC = 2 Moderate	Records are kept of the checking and maintenance of ICT equipment.	
Criterion 12.4.1.8 Critical: .. Catg: Basic Process + Patient Care **Compliance** NA NC PC C Default Severity for NC or PC = 2 Moderate	Where technical ICT support is not available at facility level, an arrangement is in place to obtain such support from outside.	
Criterion 12.4.1.9 Critical: .. Catg: Basic Process + Efficiency **Compliance** NA NC PC C Default Severity for NC or PC = 3 Serious	There is documented evidence that relevant personnel are regularly trained to use/operate ICT equipment.	
Criterion 12.4.1.10 Critical: .. Catg: Basic Process + Efficiency **Compliance** NA NC PC C Default Severity for NC or PC = 3 Serious	There is a documented procedure known to the personnel for reporting defects in ICT equipment during and after normal working hours.	
Criterion 12.4.1.11 Critical: .. Catg: Basic Management + Pat & Staff Safety **Compliance** NA NC PC C Default Severity for NC or PC = 4 Very Serious	Computers are equipped with officially licensed software only.	

Criterion 12.4.1.12	Operating system patches/updates are installed as they become available.	
Critical: ``		
Catg: Basic Process + Efficiency		
Compliance NA NC PC C		
Default Severity for NC or PC = 2 Moderate		

Criterion 12.4.1.13	Each computer is equipped with an up-to-date virus scanner.	
Critical: ``		
Catg: Basic Process + Efficiency		
Compliance NA NC PC C		
Default Severity for NC or PC = 2 Moderate		

Criterion 12.4.1.14	Basic technical spare parts are available.	
Critical: ``		
Catg: Basic Process + Efficiency		
Compliance NA NC PC C		
Default Severity for NC or PC = 3 Serious		