BOTSWANA NATIONAL HEALTH QUALITY STANDARDS FOR CLINICS

2.Human Resource Management

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: ....

Republic of Botswana

2.1 Personnel Planning

2.1.1 Standard

There is a plan for the provision of adequate numbers of suitably qualified personnel.

Standard Intent: Appropriate and adequate personnel are critical to patient care. The health facility's leaders define the desired education, skills, knowledge and any other requirements as part of projecting personnel complements and needs.

Personnel retention, rather than recruitment, provides greater long-term benefit. Retention is increased when leaders support personnel development. Thus, the leaders collaborate to plan and implement uniform programmes and processes related to the recruitment, retention and development of all staff members.
There is a written plan which identifies the numbers and types of personnel required, and the skills, knowledge and other requirements needed in each department and service.

The planning process includes: a) personnel recruitment b) the numbers and categories of personnel required c) the desired education, qualifications, skills and knowledge d) assignment and reassignment of staff members e) personal development of staff members, and f) personnel retention.

	Criterion	Comments
		Recommendations
Criterion 2.1.1.1 Critical: ˙˙ Catg: Basic Management + Efficiency **Compliance** NA NC PC C Default Severity for NC or PC = 2 Moderate	There are documented processes for staffing the health facility.	
Criterion 2.1.1.2 Critical: ˙˙ Catg: Basic Management + Efficiency **Compliance** NA NC PC C Default Severity for NC or PC = 2 Moderate	The desired education, qualifications, skills and knowledge are defined for all personnel.	
Criterion 2.1.1.3 Critical: ˙˙ Catg: Basic Process + Efficiency **Compliance** NA NC PC C Default Severity for NC or PC = 2 Moderate	Details of the organisation's absenteeism, sickness rates and personnel turnover rates are recorded and analysed to allow for informed decision-making by the management of the organisation.	

Criterion 2.1.1.4	Details of the personnel establishment (i.e. available posts, filled and vacant posts) are recorded and analysed to allow for informed decision-making by the organisation's management.	
Critical: `··`		
Catg: Basic Process + Efficiency		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 2 Moderate		

2.2 Personnel Management

2.2.1 Standard

Personnel files are maintained for all employees.

Standard Intent: Each staff member in the health facility has a record with information about his/her qualifications, results of evaluations and work history. These records are standardised and are kept current. The confidentiality of personnel records is protected. Personnel records are safely stored and their contents are monitored to ensure completeness.

	Criterion	Comments
		Recommendations
Criterion 2.2.1.1 Critical: `··` Catg: Basic Management + Efficiency **Compliance** NA NC PC C Default Severity for NC or PC = 3 Serious	A designated staff member is responsible for the storage and retrieval of personnel records.	
Criterion 2.2.1.2 Critical: `··` Catg: Basic Process + Efficiency **Compliance** NA NC PC C Default Severity for NC or PC = 2 Moderate	There is documented personnel information on each staff member.	
Criterion 2.2.1.3 Critical: `··` Catg: Basic Process + Efficiency **Compliance** NA NC PC C Default Severity for NC or PC = 3 Serious	Personnel files are kept current and reviewed annually.	

Criterion 2.2.1.4	Personnel files contain copies of educational certificates and/or licences.	
Critical: ¨		
Catg: Basic Process + Efficiency		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 3 Serious		

Criterion 2.2.1.5	Personnel files contain the current job description and performance agreement.	
Critical: ¨		
Catg: Basic Process + Efficiency		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 3 Serious		

Criterion 2.2.1.6	Personnel files contain evidence of orientation to the facility.	
Critical: ¨		
Catg: Basic Process + Efficiency		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 2 Moderate		

Criterion 2.2.1.7	Personnel files contain copies of records of in-service training and development received.	
Critical: ¨		
Catg: Basic Process + Efficiency		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 3 Serious		

Criterion 2.2.1.8	Personnel files contain copies of performance appraisals.	
Critical: ¨		
Catg: Basic Process + Efficiency		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 3 Serious		

Criterion 2.2.1.9	Only authorised persons have access to personnel records.	
Critical: ˙˙		
Catg: Basic Management + Efficiency		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 4 Very Serious		

2.2.2 Standard

Each staff member's responsibilities are defined in a current job description.

Standard Intent: Individual staff members have their responsibilities defined in a current job description. The job description and performance agreement provide details of accountability, responsibility, formal lines of communication, principal duties and entitlements. It is a guide for an individual in a specific position within an organisation. Key performance areas should be included in order to evaluate the staff member's performance.

	Criterion	Comments
		Recommendations
Criterion 2.2.2.1	Each employee has a written job description and performance agreement, which defines their responsibilities.	
Critical: ˙˙		
Catg: Basic Management + Efficiency		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 3 Serious		
Criterion 2.2.2.2	Each staff member signs their job description and performance agreement to show that that they accept it.	
Critical: ○		
Catg: Basic Process + Efficiency		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 4 Very Serious		
Criterion 2.2.2.3	Job descriptions and performance agreements are reviewed according to organisational policy.	
Critical: ˙˙		
Catg: Basic Process + Efficiency		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 2 Moderate		

2.2.3 Standard

The health facility uses a defined process to evaluate the knowledge and skills of the personnel to ensure that these are consistent with patient needs.

Standard Intent: The health facility defines the process for and the frequency of the ongoing evaluation of the abilities of the personnel. Ongoing evaluation ensures that training and development occurs when needed and that the staff member is able to assume new or changed responsibilities. While such evaluation is best carried out in an ongoing manner, there is at least one documented evaluation each year for each staff member.

	Criterion	Comments
		Recommendations
Criterion 2.2.3.1 Critical: `..` Catg: Basic Management + Efficiency **Compliance** NA NC PC C Default Severity for NC or PC = 4 Very Serious	The staff member's registration, education, training and experience are used to authorise the individual to provide clinical services consistent with his/her qualifications.	
Criterion 2.2.3.2 Critical: `..` Catg: Evaluation + Efficiency **Compliance** NA NC PC C Default Severity for NC or PC = 2 Moderate	There is at least one documented appraisal of each staff member each year or more frequently as defined by the health facility.	
Criterion 2.2.3.3 Critical: `..` Catg: Evaluation + Efficiency **Compliance** NA NC PC C Default Severity for NC or PC = 2 Moderate	New personnel are evaluated as determined by organisational policy.	

2.3 Credentialing

2.3.1 Standard

There is an effective process for gathering, verifying and evaluating the credentials (registration, education, training and experience) of those healthcare professionals who are permitted to provide patient care independently.

Standard Intent: Healthcare professionals who are registered to provide patient care without clinical supervision are primarily responsible for patient care and care outcomes. These professionals usually include doctors, dentists, nurses, radiographers and members of other professions allied to medicine. The health facility needs to ensure that it has qualified health professionals who appropriately match its mission, resources and patient needs.

An individual's credentials consist of an appropriate current registration, completion of professional education and any additional training and experience. There is a process for gathering this information, verifying its accuracy where possible and evaluating it in relation to the needs of the health facility and its patients. This process can be carried out by the health facility or by an external agency. The process applies to all types and levels of employed persons (employed, honorary, contract and private practitioners).

Evaluating an individual's credentials is the basis for two decisions: whether this individual can contribute to fulfilling the organisation's mission and meeting patient needs, and, if so, what clinical services this individual is qualified to perform.

These two decisions are documented, and the latter decision is the basis for evaluating the individual's ongoing performance.

	Criterion	Comments
		Recommendations
Criterion 2.3.1.1 Critical: ○ Catg: Basic Management + Legality **Compliance** NA NC PC C Default Severity for NC or PC = 4 Very Serious	There is a process for evaluating and verifying the credentials (licence, education, training and experience) of medical practitioners.	
Criterion 2.3.1.2 Critical: ○ Catg: Basic Management + Legality **Compliance** NA NC PC C Default Severity for NC or PC = 4 Very Serious	There is a process for evaluating and verifying the credentials (licence, education, training and experience) of nurses and other health professionals.	

Criterion 2.3.1.3	The registration, education, training and experience of these individuals are documented.	
Critical: ˙˙		
Catg: Basic Process + Efficiency		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 4 Very Serious		

Criterion 2.3.1.4	A determination is made about the annual registration of the individual to provide patient care services.	
Critical: ˙˙		
Catg: Basic Process + Efficiency		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 3 Serious		

2.4 Personnel Orientation and Education

2.4.1 Standard

All staff members are orientated and inducted to the health facility and to their specific job responsibilities at the time of appointment.

Standard Intent: The decision to appoint an individual to the personnel of a health facility sets several processes in motion. To perform well, a new staff member needs to understand the operations of the entire health facility and how his/her specific responsibilities contribute to the health facility's mission. This is accomplished through a general orientation to the health facility and his/her role in the facility, and a specific orientation to the job responsibilities of his/her position. The health facility includes, as appropriate, the reporting of medical errors, infection control practices, the health facility's policies on telephonic medication orders, and so on.

It is important to orientate and induct all healthcare workers. Contract workers and volunteers are also orientated to the health facility and their specific assignment or responsibilities, such as patient safety and infection control.

	Criterion	Comments
		Recommendations
Criterion 2.4.1.1	There are written programmes for orientating and inducting personnel to the health facility.	
Critical: ˙˙		
Catg: Basic Management + Efficiency		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 3 Serious		

Criterion 2.4.1.2	Contract workers and volunteers are orientated to the health facility, their job responsibilities and their specific assignments.	
Critical: ˙˙		
Catg: Basic Process + Efficiency		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 3 Serious		

2.4.2 Standard

Each staff member receives on-going in-service education, training and development to maintain or advance his/her skills and knowledge, based on identified needs.

Standard Intent: The health facility has a responsibility to ensure that the personnel are educated in matters that affect their functioning in the specific health facility. In particular, the personnel are trained in health and safety matters, infection control and cardiac life support. The health facility also collects and integrates data from several sources to understand the ongoing educational needs of the personnel. Such sources include monitoring data from the facility management programme, the introduction of new technology, skills and knowledge areas identified through the review of job performance, new clinical procedures and future plans and strategies of the health facility.

Education is relevant to each staff member as well as to the continuing advancement of the health facility in meeting patient needs and maintaining acceptable performance, teaching new skills and providing training on new equipment and procedures. There is documented evidence that each staff member who has attended training has gained the required competencies.

	Criterion	Comments
		Recommendations
Criterion 2.4.2.1	The health facility has a coordinated plan for in-service education.	
Critical: ˙˙		
Catg: Basic Management + Efficiency		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 3 Serious		
Criterion 2.4.2.2	The health facility uses various sources of data and information to identify the in-service training and development needs of the personnel.	
Critical: ˙˙		
Catg: Basic Process + Efficiency		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 3 Serious		

Criterion 2.4.2.3 Critical: ·· Catg: Basic Process + Efficiency **Compliance** NA NC PC C Default Severity for NC or PC = 3 Serious	All health facility personnel are provided with on-going in-service education, training and development.	
Criterion 2.4.2.4 Critical: ·· Catg: Evaluation + Efficiency **Compliance** NA NC PC C Default Severity for NC or PC = 3 Serious	Personnel competencies, where relevant, are assessed and recorded before and after in-service training and development.	

2.4.3 Standard

Staff members participate in continuing education, research, and other educational experiences to acquire new skills and knowledge and to support job advancement.

Standard Intent: The health facility has a process for informing the personnel of opportunities for continuing education and training, participation in research and investigational studies and to acquire advanced or new skills. These opportunities may be offered by the health facility, by a staff member's professional or trade association or through educational programmes in the community. The health facility supports such opportunities as appropriate to its mission and resources. Such support may be given through tuition support, scheduled time away from work, recognition for achievement and in other ways.

	Criterion	Comments
		Recommendations
Criterion 2.4.3.1 Critical: ·· Catg: Basic Process + Efficiency **Compliance** NA NC PC C Default Severity for NC or PC = 3 Serious	The health facility supports continuing education for its professional personnel and maintains records of this in personnel files.	
Criterion 2.4.3.2 Critical: ·· Catg: Basic Management + Efficiency **Compliance** NA NC PC C Default Severity for NC or PC = 4 Very Serious	There is a development strategy for the health facility that ensures that managers receive the training and development required to fulfil their responsibilities.	

Republic of Botswana

Criterion 2.4.3.3	Personnel members are informed of opportunities to participate in advanced education, training and development, research and other experiences.	
Critical: ˙˙		
Catg: Basic Process + Efficiency		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 2 Moderate		