BOTSWANA NATIONAL HEALTH QUALITY STANDARDS FOR HOSPITALS

3.Administrative Support

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: ....

3.1 Financial Management Support

3.1.1 Standard

Budgeting, reporting and auditing processes are consistent with statutory requirements and accepted standards.

Standard Intent: Financial planning and management needs to be conducted by a person who is suitably qualified and experienced in all matters relating to the organisation's finances. Clinical and other leaders need to be included in planning their financial requirements. They also require information relating to the funds available to them for the management of their departments and up-to-date statements of current expenditure. Sound accounting and auditing practices are implemented to ensure transparency.

Financial managers improve their services through quality improvement methods.

	Criterion	Comments
		Recommendations
Criterion 3.1.1.1 Critical: ·· Catg: Basic Management + Efficiency **Compliance** NA NC PC C Default Severity for NC or PC = 4 Very Serious	A designated financial manager is responsible for the implementation and maintenance of the financial strategy.	
Criterion 3.1.1.2 Critical: ·· Catg: Basic Process + Efficiency **Compliance** NA NC PC C Default Severity for NC or PC = 4 Very Serious	The financial manager ensures that policies and procedures are available to guide the staff and that they are implemented.	
Criterion 3.1.1.3 Critical: ·· Catg: Basic Process + Efficiency **Compliance** NA NC PC C Default Severity for NC or PC = 3 Serious	There is a mechanism for allowing the personnel to participate in the development and management of budgets (e.g. cost centres).	
Criterion 3.1.1.4 Critical: ·· Catg: Basic Process + Efficiency **Compliance** NA NC PC C Default Severity for NC or PC = 3 Serious	A monthly report is produced for the organisation's management, setting out the financial position to date.	

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Criterion 3.1.1.5	There is a mechanism for establishing the reason for budget variation in either income or expenditure.	
Critical: ··		
Catg: Evaluation + Efficiency		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 4 Very Serious		

Criterion 3.1.1.6	Annual financial statements are produced at the end of the financial year.	
Critical: ··		
Catg: Basic Process + Efficiency		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 3 Serious		

Criterion 3.1.1.7	Internal/external audit reports and responses thereto are available.	
Critical: ʘ		
Catg: Basic Process + Legality		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 4 Very Serious		

Criterion 3.1.1.8	There is a capital asset register which is routinely maintained.	
Critical: ··		
Catg: Basic Process + Efficiency		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 3 Serious		

Criterion 3.1.1.9	There is a capital asset replacement programme.	
Critical: ··		
Catg: Basic Process + Efficiency		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 3 Serious		

Criterion 3.1.1.10	There is a mechanism to ensure that the level of debtors is kept to a minimum.	
Critical: ··		
Catg: Basic Process + Efficiency		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 3 Serious		

3.2 Health Record Management

3.2.1 Standard

There is a system for the management of health records which meets the needs of confidentiality and safety.

Standard Intent: Health record management must be implemented by a person with suitable training and experience. The manager controls the safe storage and retrieval of health records. Health records must be readily available each time the patient visits a healthcare professional, and therefore must be filed in such a way that they are easily identified. Policies and procedures as well as managerial supervision ensure the safety and confidentiality of health records. Loss of information may be through electronic failure, fire, flood or natural or man made disasters. The organisation develops and implements a policy that guides the retention of health records and other data and information. Health records and other data and information are retained for sufficient periods to comply with laws and regulations and support patient care, the management of the organisation, legal documentation, research and education. The retention policy is consistent with the confidentiality and security of such information. When the retention period is complete, health records and other data and information are destroyed appropriately.

Facilities make more use of electronic systems, requiring these standards and criteria to be assessed appropriately in such instances. These electronic systems vary greatly in their application and can range from a simple spreadsheet which registers all patient admissions/folders to very sophisticated systems where the entire health record is kept electronically.

Often organisations do not have a single central location from where records are managed and it is important to apply the standards and criteria to all areas where health records are being handled, stored or archived. All these areas (that are under the control/management of the organisation) need to be assessed, even if located off-site, e.g. across the street, on an adjacent plot (within reasonable travelling distance). This assessment does not include warehouses of private companies to whom the archiving of records has been contracted as the service agreement/contract will have to make provision for the monitoring of compliance with specifications (refer to standard 1.2.7).

	Criterion	Comments
		Recommendations
Criterion 3.2.1.1	A designated individual is responsible for the storage, maintenance and retrieval of health records.	
Critical: ··		
Catg: Basic Management + Efficiency		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 4 Very Serious		

Criterion 3.2.1.2 Critical: .. Catg: Basic Process + Efficiency **Compliance** NA NC PC C Default Severity for NC or PC = 4 Very Serious	The health record manager ensures that policies and procedures are available to guide the personnel and that they are implemented.	
Criterion 3.2.1.3 Critical: o Catg: Basic Management + Legality **Compliance** NA NC PC C Default Severity for NC or PC = 4 Very Serious	There is a written policy for addressing the privacy and confidentiality of information that is based on and consistent with laws and regulations.	
Criterion 3.2.1.4 Critical: .. Catg: Basic Process + Patient Care **Compliance** NA NC PC C Default Severity for NC or PC = 3 Serious	Originals of all reports by medical, nursing and other health professionals are filed in the records.	
Criterion 3.2.1.5 Critical: .. Catg: Basic Process + Efficiency **Compliance** NA NC PC C Default Severity for NC or PC = 3 Serious	A documented policy regarding records that are kept separately (e.g. psychiatric, social work, motor vehicle accidents) is implemented.	
Criterion 3.2.1.6 Critical: .. Catg: Basic Process + Efficiency **Compliance** NA NC PC C Default Severity for NC or PC = 3 Serious	There is a system that allows for the rapid retrieval and distribution of health records.	

Republic of Botswana

Criterion 3.2.1.7	There is a communication system for the request of health records.	
Critical: ··		
Catg: Basic Process + Efficiency		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 3 Serious		

Criterion 3.2.1.8	The organisation implements a policy regarding patients having access to their health information and the process for gaining access when permitted.	
Critical: ··		
Catg: Basic Management + Patient Care		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 3 Serious		

Criterion 3.2.1.9	There is an effective monitoring system (e.g. by using tracer cards) whereby records can be traced within the facility at all times.	
Critical: ··		
Catg: Basic Process + Efficiency		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 3 Serious		

Criterion 3.2.1.10	The filing system allows for incorrectly filed records to be easily identified (e.g. by using colour coding).	
Critical: ··		
Catg: Basic Process + Efficiency		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 3 Serious		

Criterion 3.2.1.11	There is provision for authorised access to health records at all times.	
Critical: ··		
Catg: Basic Process + Efficiency		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 4 Very Serious		

Republic of Botswana

Criterion 3.2.1.12 Critical: .. Catg: Basic Process + Efficiency **Compliance** NA NC PC C Default Severity for NC or PC = 4 Very Serious	Where electronic health records are used, there is a system to protect the integrity of the records.	
Criterion 3.2.1.13 Critical: .. Catg: Basic Process + Efficiency **Compliance** NA NC PC C Default Severity for NC or PC = 4 Very Serious	All storage areas for health records are secure against unauthorised entry.	
Criterion 3.2.1.14 Critical: .. Catg: Basic Management + Efficiency **Compliance** NA NC PC C Default Severity for NC or PC = 3 Serious	The organisation's policy on the retention of health records and other data and information is implemented.	
Criterion 3.2.1.15 Critical: .. Catg: Basic Management + Efficiency **Compliance** NA NC PC C Default Severity for NC or PC = 3 Serious	Policies and procedures for health record destruction, specifying the criteria for selection and the method of destruction of records, are implemented.	

Republic of Botswana

3.3 Procurement and Provisioning of Supplies

3.3.1 Standard

There is a system to ensure that equipment and supplies are ordered, available, stored and distributed from a central point.

Standard Intent: A competent and qualified person ensures the effective administration of the provisioning department. This includes the timely ordering of equipment and supplies, safe storage, prevention and notification of losses, effective distribution to departments on request and maintenance of information relating to ordering, receipt, storage and distribution of equipment and supplies. Managers need to be assured that all equipment and supplies needed by departments will be immediately available on request.

Policies and procedures guide the processes of provisioning management. Such policies could include the ordering of and the payment for supplies and equipment, the safe storage of supplies, condemning procedures and the security of order books, prescription pads and other face-value documents.

The organisation's leaders need to ensure that finances are made available for the purchase of those items of equipment and supplies which have been identified as needed by clinical and managerial leaders. The provisioning managers therefore need to work closely with the financial manager.

The high costs of hospital supplies and equipment make it essential that sound auditing practices are in place to ensure control of the financial aspects of provisioning. A management information system must track all inventory. Expenditure on equipment and supplies is transparent and all records must be monitored and available to managers and auditors for accounting.

	Criterion
	Comments
	Recommendations
Criterion 3.3.1.1 Critical: .. Catg: Basic Management + Efficiency **Compliance** NA NC PC C Default Severity for NC or PC = 4 Very Serious	An individual is designated to control the ordering, storage, distribution and control of equipment and supplies used in the organisation.	
Criterion 3.3.1.2 Critical: .. Catg: Basic Process + Efficiency **Compliance** NA NC PC C Default Severity for NC or PC = 4 Very Serious	The provisioning manager ensures that policies and procedures are available to guide the personnel and that they are implemented.	

Criterion 3.3.1.3	A record is kept of goods received and goods issued.	
Critical: ··		
Catg: Basic Process + Efficiency		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 4 Very Serious		

Criterion 3.3.1.4	Records are audited.	
Critical: ··		
Catg: Evaluation + Efficiency		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 3 Serious		

Criterion 3.3.1.5	All losses are investigated, reported and recorded.	
Critical: ··		
Catg: Basic Process + Efficiency		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 4 Very Serious		

Criterion 3.3.1.6	There is an inventory of all goods stored.	
Critical: ··		
Catg: Basic Process + Efficiency		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 3 Serious		

3.3.2 Standard

All equipment and supplies are safely stored.

Standard Intent: The storage of equipment and supplies must allow for security, ease of access and effective inventory taking. Acts and regulations, as well as policies and procedures, guide the storage of equipment and supplies.

The administrative support service ensures that supplies and provisions are ordered, received and provided to departments in time to meet their needs.

This standard is scored NA if the physical facility (central main store) does not exist, e.g. in small hospitals or private hospitals where ordered items go straight to ward/department on delivery.

Please note that 3.3.2.2 (storage of hazardous and flammable materials) applies to this central store ONLY. Criteria in other SEs should be used to assess such storage in other areas of the facility.

Criterion	Criterion	Comments
		Recommendations
Criterion 3.3.2.1 Critical: .. Catg: Basic Management + Physical Struct **Compliance** NA NC PC C Default Severity for NC or PC = 4 Very Serious	Secure storage facilities are available.	
Criterion 3.3.2.2 Critical: þ Catg: Basic Process + Legality **Compliance** NA NC PC C Default Severity for NC or PC = 4 Very Serious	Hazardous and flammable materials are stored in accordance with relevant regulations.	
Criterion 3.3.2.3 Critical: .. Catg: Basic Management + Physical Struct **Compliance** NA NC PC C Default Severity for NC or PC = 3 Serious	Separate designated storage areas for a) receiving and b) unpacking incoming goods are provided.	

Republic of Botswana

Criterion 3.3.2.4 Critical: `` Catg: Basic Process + Physical Struct **Compliance** NA NC PC C Default Severity for NC or PC = 4 Very Serious	Arrangements, including alarm systems and door access controls, are used to provide security.	
Criterion 3.3.2.5 Critical: `` Catg: Basic Management + Physical Struct **Compliance** NA NC PC C Default Severity for NC or PC = 3 Serious	There is adequate storage space to enable the retrieval and removal of equipment and supplies, when needed.	

3.4 Use of Motor Vehicles
3.4.1 Standard

The use of organisational motor vehicles by personnel is planned and monitored to ensure safety and legality.

Standard Intent: The use of vehicles needs to be controlled because of the cost of acquiring and maintaining vehicles and the legal aspects of driving motor vehicles and transporting passengers.

	Criterion	Comments
		Recommendations
Criterion 3.4.1.1 Critical: `` Catg: Basic Management + Efficiency **Compliance** NA NC PC C Default Severity for NC or PC = 4 Very Serious	A specific manager is identified for the control, use and maintenance of vehicles.	
Criterion 3.4.1.2 Critical: `` Catg: Basic Process + Efficiency **Compliance** NA NC PC C Default Severity for NC or PC = 3 Serious	The need to use transport is established by the management of the organisation in consultation with the users of vehicles and is reviewed annually.	

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Criterion 3.4.1.3 Critical: ˙˙ Catg: Evaluation + Efficiency **Compliance** NA NC PC C Default Severity for NC or PC = 4 Very Serious	There is a system for monitoring the use of vehicles (e.g. permission, records).
Criterion 3.4.1.4 Critical: ˙˙ Catg: Basic Process + Efficiency **Compliance** NA NC PC C Default Severity for NC or PC = 3 Serious	There is a system for booking vehicles in advance.
Criterion 3.4.1.5 Critical: ˙˙ Catg: Evaluation + Efficiency **Compliance** NA NC PC C Default Severity for NC or PC = 4 Very Serious	There is a control system for mileage travelled.
Criterion 3.4.1.6 Critical: ˙˙ Catg: Basic Process + Efficiency **Compliance** NA NC PC C Default Severity for NC or PC = 3 Serious	There is a vehicle maintenance plan.
Criterion 3.4.1.7 Critical: ˙˙ Catg: Basic Process + Efficiency **Compliance** NA NC PC C Default Severity for NC or PC = 3 Serious	There is proof of vehicle maintenance.

Criterion 3.4.1.8	There is proof of current licensing of vehicles.	
Critical: O		
Catg: Basic Process + Legality		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 4 Very Serious		

Criterion 3.4.1.9	Drivers of vehicles are suitably licensed.	
Critical: O		
Catg: Basic Process + Legality		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 4 Very Serious		

3.4.2 Standard

The organisation provides a medical transport/ambulance service in line with relevant laws and regulations.

Standard Intent: A comprehensive response and deployment plan addresses the location of facilities and distribution of vehicles, personnel and other resources. These should be deployed in a way that optimises their use and provides uniform care across the area served.

	Criterion	Comments
		Recommendations
Criterion 3.4.2.1	The organisation has a written response and deployment plan including the identification of response areas and availability of response units.	
Critical: ··		
Catg: Basic Management + Efficiency		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 4 Very Serious		
Criterion 3.4.2.2	Response time standards are monitored against national laws, regulations, policies or guidelines.	
Critical: O		
Catg: Evaluation + Legality		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 4 Very Serious		

Republic of Botswana

Criterion 3.4.2.3 Critical: ˙˙ Catg: Basic Process + Efficiency **Compliance** NA NC PC C Default Severity for NC or PC = 3 Serious	The organisation designs and implements processes to provide coordination of services among other organisations and agencies in the community.
Criterion 3.4.2.4 Critical: ɒ Catg: Basic Management + Efficiency **Compliance** NA NC PC C Default Severity for NC or PC = 4 Very Serious	The individuals who provide patient care in the ambulance services have the required training and experience.
Criterion 3.4.2.5 Critical: ˙˙ Catg: Basic Process + Efficiency **Compliance** NA NC PC C Default Severity for NC or PC = 4 Very Serious	The organisation plans and implements processes for inspecting, testing and maintaining equipment and supplies.
Criterion 3.4.2.6 Critical: ˙˙ Catg: Basic Process + Pat & Staff Safety **Compliance** NA NC PC C Default Severity for NC or PC = 4 Very Serious	The organisation maintains its medical transport/ambulance vehicles to reduce risk and promote safety.
Criterion 3.4.2.7 Critical: ˙˙ Catg: Basic Process + Efficiency **Compliance** NA NC PC C Default Severity for NC or PC = 4 Very Serious	Medical transport/ambulance vehicles are clean.