BOTSWANA NATIONAL HEALTH QUALITY STANDARDS FOR HOSPITALS

6.Management of Information

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: ....

6.1 Planning

6.1.1 Standard

The organisation plans and implements processes to meet the information needs of clinical and managerial services and those outside the organisation that require data and information from the organisation.

Standard Intent: Information is generated and used during patient care and for safely and effectively managing an organisation. The ability to capture and provide information requires effective planning. Planning incorporates input from a variety of sources:

- the care providers
- the organisation's managers and leaders, and
- those outside the organisation who need or require data or information about the organisation's operational and care processes.

The most urgent information needs of those sources influence the organisation's information management strategies and its ability to implement those strategies. The strategies are appropriate for the organisation's size, complexity of services, availability of trained personnel and other human and technical resources. The plan is comprehensive and includes all the departments and services of the organization.

	Criterion	Comments
		Recommendations
Criterion 6.1.1.1 Critical: ˙˙ Catg: Basic Process + Efficiency **Compliance** NA NC PC C Default Severity for NC or PC = 4 Very Serious	Information systems are developed and implemented in the organisation.	
Criterion 6.1.1.2 Critical: ˙˙ Catg: Basic Process + Efficiency **Compliance** NA NC PC C Default Severity for NC or PC = 3 Serious	Those who provide clinical and managerial services identify their information needs.	
Criterion 6.1.1.3 Critical: ˙˙ Catg: Basic Process + Efficiency **Compliance** NA NC PC C Default Severity for NC or PC = 3 Serious	Clinical and managerial personnel participate in information technology decisions.	

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6.1.2 Standard

Confidentiality, security and integrity of data and information is maintained.

Standard Intent: The organisation determines the level of security and confidentiality to be maintained for different categories of information. Access to each category of information is based on need and defined by job title and function. An effective process defines:
- who has access to information
- the information to which an individual has access
- the user's obligation to keep information confidential, and
- the process followed when confidentiality and security are violated.

One aspect of maintaining security of patient information is to determine who is authorised to obtain a patient record and who makes entries into the patient record. The organisation develops a policy to authorise such individuals and identifies the contents and format for entries into patient records. There is a process to ensure that only authorised individuals make entries in patient records.

The organisation maintains the security and confidentiality of data and information and is especially careful about preserving the confidentially of sensitive data and information. The balance between data sharing and data confidentiality is addressed.

Adequate and appropriate back-up systems are in place.

	Criterion	Comments
		Recommendations
Criterion 6.1.2.1 Critical: O Catg: Basic Process + Efficiency **Compliance** NA NC PC C Default Severity for NC or PC = 4 Very Serious	Confidentiality of data and information is maintained.	
Criterion 6.1.2.2 Critical: .. Catg: Basic Process + Efficiency **Compliance** NA NC PC C Default Severity for NC or PC = 4 Very Serious	Security and integrity of data and information is maintained.	

6.2 Information Management Support

6.2.1 Standard

The information systems are implemented and supported by sufficient personnel and other resources.

Standard Intent: The organisation's information management systems, once completed and approved as necessary, are implemented. The organisation provides the personnel, technology and other resources necessary to implement the information systems and meet the identified information needs of the healthcare providers, managers and others.

Individuals in the organisation who generate, collect, analyse and use data and information are educated and trained to effectively participate in managing information. Such education and training enables these individuals to:

- understand the security and confidentiality of data and information
- use measurement instruments, statistical tools and data analysis methods
- assist in interpreting data
- use data and information to help in decision making
- educate and support the participation of patients and families in care processes, and
- use indicators to assess and improve care and work processes.

Individuals are appropriately educated and trained in regard to their responsibilities, job descriptions, and data and information needs.

Information management technology represents a major investment of resources for a healthcare organisation. For this reason, technology is carefully matched to the current and future needs of the organisation and the organisation's resources. Available technology needs to be integrated with existing information management processes and serves to integrate the activities of all the departments and services of the organisation. This level of coordination requires that key clinical and managerial personnel participate in the selection process. The management of the organisation ensures that the personnel have the required supplies, registers, check lists, forms, etc. required for data management.

	Criterion	Comments
		Recommendations
Criterion 6.2.1.1 Critical: `` Catg: Basic Management + Efficiency **Compliance** NA NC PC C Default Severity for NC or PC = 3 Serious	Sufficient personnel support the implementation.	
Criterion 6.2.1.2 Critical: `` Catg: Basic Management + Efficiency **Compliance** NA NC PC C Default Severity for NC or PC = 3 Serious	Decision-makers and others are provided with appropriate training in the principles of information management.	

Criterion 6.2.1.3	Required technology and other resources support the implementation.	
Critical: ‥		
Catg: Basic Management + Efficiency		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 2 Moderate		

6.2.2 Standard

Where information, communication and technology (ICT) equipment is available, it is properly maintained to meet the needs of the services.

Standard Intent: Organisations have a responsibility to ensure 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 information technology equipment is available to meet organisational demands.

Managers take responsibility for ensuring that ICT equipment is available, appropriately maintained and calibrated and that personnel are competent in the use thereof. Policies and procedures are available to guide personnel in the back-up of data.

	Criterion	Comments
		Recommendations
Criterion 6.2.2.1 Critical: ‥ Catg: Basic Management + Efficiency **Compliance** NA NC PC C Default Severity for NC or PC = 4 Very Serious	A designated individual supervises the management of ICT equipment in the organisation.	
Criterion 6.2.2.2 Critical: ‥ Catg: Basic Process + Efficiency **Compliance** NA NC PC C Default Severity for NC or PC = 3 Serious	Policies and procedures that guide the management of ICT equipment are implemented.	
Criterion 6.2.2.3 Critical: ‥ Catg: Basic Process + Physical Struct **Compliance** NA NC PC C Default Severity for NC or PC = 3 Serious	All desktop and server computers are attached to an uninterrupted power supply (UPS) with surge protection.	

Criterion 6.2.2.4	Records are kept of the maintenance of ICT equipment.	
Critical: ˙˙		
Catg: Basic Process + Efficiency		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 4 Very Serious		
Criterion 6.2.2.5	Where technical ICT support is not available at facility level, an arrangement is in place to obtain such support from outside.	
Critical: ˙˙		
Catg: Basic Management + Efficiency		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 3 Serious		
Criterion 6.2.2.6	There is a documented procedure known to personnel for reporting defects in ICT equipment during and after normal working hours.	
Critical: ˙˙		
Catg: Basic Management + Efficiency		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 3 Serious		

6.3 Data Processing and Information Management

6.3.1 Standard

The organisation has a process to aggregate data for user needs.

Standard Intent: The organisation collects and analyses aggregated data to support patient care and management of the organisation. Aggregated data provide a profile of the organisation over time and allow for comparison between the organisation's various performance improvement activities. In particular, aggregated data from risk management, utility system management, infection control and utilisation review can help the organisation to understand its current performance and identify opportunities for improvement.

	Criterion	Comments
		Recommendations
Criterion 6.3.1.1	The organisation has a process to aggregate data.	
Critical: ˙˙		
Catg: Basic Process + Efficiency		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 3 Serious		

Criterion 6.3.1.2 Critical: ·· Catg: Basic Process + Efficiency **Compliance** NA NC PC C Default Severity for NC or PC = 4 Very Serious	Clinical and managerial data and information are integrated as needed to support decision-making.
Criterion 6.3.1.3 Critical: ·· Catg: Basic Process + Patient Care **Compliance** NA NC PC C Default Severity for NC or PC = 4 Very Serious	Aggregated data and information are used to support patient care.
Criterion 6.3.1.4 Critical: ·· Catg: Basic Process + Efficiency **Compliance** NA NC PC C Default Severity for NC or PC = 4 Very Serious	Aggregated data and information are used to support management of the organisation.
Criterion 6.3.1.5 Critical: ·· Catg: Evaluation + Efficiency **Compliance** NA NC PC C Default Severity for NC or PC = 4 Very Serious	Aggregated data and information are used to support the quality management programmes.

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6.3.2 Standard

The organisation contributes to external databases when required by laws or regulations.

Standard Intent: By participating in external performance databases, an organisation can compare its performance with that of other similar organisations locally, nationally or internationally. Performance comparison is an effective tool for identifying opportunities for improvement and documenting the organisation's performance level. Healthcare networks and those purchasing or paying for health care often ask for such information.

	Criterion	Comments
		Recommendations
Criterion 6.3.2.1 Critical: ˙˙ Catg: Basic Process + Efficiency **Compliance** NA NC PC C Default Severity for NC or PC = 3 Serious	The organisation has a process to participate in or use information from external databases.	
Criterion 6.3.2.2 Critical: ˙˙ Catg: Basic Process + Legality **Compliance** NA NC PC C Default Severity for NC or PC = 4 Very Serious	Data or information is contributed to external databases as required by law or regulation, where applicable.	
Criterion 6.3.2.3 Critical: ˙˙ Catg: Evaluation + Efficiency **Compliance** NA NC PC C Default Severity for NC or PC = 4 Very Serious	The organisation compares its performance with that of other similar organisations using external reference databases.	