



BOTSWANA NATIONAL HEALTH QUALITY STANDARDS FOR EMERGENCY MEDICAL SERVICES

Republic of Botswana

6. Management of Information

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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6.1 Planning

6.1.1 Standard

The organisation plans and implements processes to meet the information needs of those who carry out dispatch activities or provide clinical services, those who manage the organisation and those outside the organisation who 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 staff and other human and technical resources.

The plan is comprehensive and includes all the departments and services of the organisation.

Criterion	Comments
	Recommendations
Criterion 6.1.1.1	The organisation has a plan to meet information needs.
Critical: ..	
Catg: Basic Management + Efficiency	
Compliance	
NA NC PC C	
Default Severity for NC or PC = 3 Serious	
Criterion 6.1.1.2	The plan is based on an assessment of the needs of those within and outside the organisation.
Critical: ..	
Catg: Basic Management + Efficiency	
Compliance	
NA NC PC C	
Default Severity for NC or PC = 2 Moderate	



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Criterion 6.1.1.3 Critical: .. Catg: Basic Management + Efficiency Compliance NA NC PC C	The information needs of those who carry out dispatch activities are considered in the planning process. Default Severity for NC or PC = 2 Moderate	
Criterion 6.1.1.4 Critical: .. Catg: Basic Management + Efficiency Compliance NA NC PC C	The information needs of those who provide clinical services are considered in the planning process. Default Severity for NC or PC = 3 Serious	
Criterion 6.1.1.5 Critical: .. Catg: Basic Management + Efficiency Compliance NA NC PC C	The information needs of those who manage the organisation are considered in the planning process. Default Severity for NC or PC = 3 Serious	
Criterion 6.1.1.6 Critical: .. Catg: Basic Management + Efficiency Compliance NA NC PC C	The information needs and requirements of individuals and agencies outside the organisation are considered in the planning process. Default Severity for NC or PC = 3 Serious	
Criterion 6.1.1.7 Critical: .. Catg: Basic Management + Efficiency Compliance NA NC PC C	The information plan includes how the confidentiality, security and integrity of data and information will be maintained. Default Severity for NC or PC = 4 Very Serious	



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Criterion 6.1.1.8 Critical: .. Catg: Basic Process + Efficiency Compliance NA NC PC C	Medical direction participates in information technology decisions.	
Default Severity for NC or PC = 3 Serious		

Criterion 6.1.1.9 Critical: .. Catg: Basic Process + Efficiency Compliance NA NC PC C	Senior managers participate in information technology decisions.	
Default Severity for NC or PC = 3 Serious		

6.1.2 Standard

The organisation has a policy on the retention time of records, data and information.

Standard Intent: Dispatch records, recorded calls, patient records and other data are retained for a sufficient period to comply with laws and regulations and are then destroyed in a manner that retains confidentiality.

Criterion	Comments	Recommendations
	Recommendations	
Criterion 6.1.2.1 Critical: .. Catg: Basic Management + Efficiency Compliance NA NC PC C	The organisation has a policy on the retention of dispatch records, dispatch calls, patient records and other data and information.	
Default Severity for NC or PC = 4 Very Serious		
Criterion 6.1.2.2 Critical: .. Catg: Basic Management + Efficiency Compliance NA NC PC C	The retention process provides expected confidentiality and security.	
Default Severity for NC or PC = 4 Very Serious		



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Criterion 6.1.2.3	Records, data and information are retained according to policy or laws and regulations.	
Critical: O		
Catg: Basic Management + Legality		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 4 Very Serious		
Criterion 6.1.2.4	Records, data and information are destroyed appropriately.	
Critical: ..		
Catg: Basic Process + Efficiency		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 3 Serious		



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6.1.3 Standard

The information plan is implemented and supported by sufficient staff and other resources.

Standard Intent: The organisation's information management plan, once complete and approved as necessary, is implemented. The organisation provides the staff, technology and other resources necessary to implement the plan 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 health 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 staff participate in the selection process. The management of the organisation ensures that staff members have the required supplies, registers, check lists, forms, etc. required for data management.

	Criterion	Comments
		Recommendations
Criterion 6.1.3.1 Critical: .. Catg: Basic Management + Efficiency Compliance NA NC PC C Default Severity for NC or PC = 3 Serious	Sufficient staff members support the implementation.	
Criterion 6.1.3.2 Critical: .. Catg: Basic Management + Physical Struct Compliance NA NC PC C Default Severity for NC or PC = 3 Serious	Required technology and other resources support the implementation.	



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Criterion 6.1.3.3 Critical: .. Catg: Basic Process + Efficiency Compliance NA NC PC C Default Severity for NC or PC = 3 Serious	Strategies are implemented to meet the information needs of those who carry out dispatch activities.	
Criterion 6.1.3.4 Critical: .. Catg: Basic Process + Efficiency Compliance NA NC PC C Default Severity for NC or PC = 3 Serious	Strategies are implemented to meet the information needs of those who provide clinical services.	
Criterion 6.1.3.5 Critical: .. Catg: Basic Process + Efficiency Compliance NA NC PC C Default Severity for NC or PC = 3 Serious	Strategies are implemented to meet the information needs of those who manage the organisation.	
Criterion 6.1.3.6 Critical: .. Catg: Basic Process + Efficiency Compliance NA NC PC C Default Severity for NC or PC = 3 Serious	Strategies are implemented to meet the information needs of individuals and agencies outside the organisation.	



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6.2 Aggregate Data and Information

6.2.1 Standard

Aggregate data and information support patient care, organisation management and the quality management programme.

Standard Intent: Individual facilities submit statistical data on a regular basis but this must be aggregated and analysed to produce a profile of the organisation over time, to allow comparison between facilities in the same organisation and to allow the organisation to compare its performance with other organisations regionally, nationally and internationally.

Criterion	Comments	Recommendations
	Compliance	
Criterion 6.2.1.1 Critical: .. Catg: Basic Management + Efficiency Compliance NA NC PC C Default Severity for NC or PC = 4 Very Serious	The organisation has a process to aggregate data and has determined what data and information are to be regularly aggregated to meet the needs of medical direction and managerial staff in the organisation and agencies outside the organisation.	
Criterion 6.2.1.2 Critical: .. Catg: Basic Process + Patient Care Compliance NA NC PC C Default Severity for NC or PC = 3 Serious	Aggregate data and information support patient care.	
Criterion 6.2.1.3 Critical: .. Catg: Basic Process + Efficiency Compliance NA NC PC C Default Severity for NC or PC = 3 Serious	Aggregate data and information support organisation management.	
Criterion 6.2.1.4 Critical: .. Catg: Basic Process + Efficiency Compliance NA NC PC C Default Severity for NC or PC = 3 Serious	Aggregate data and information support the quality management programme.	



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Criterion 6.2.1.5 Critical: .. Catg: Basic Process + Efficiency Compliance NA NC PC C Default Severity for NC or PC = 4 Very Serious	The organisation provides needed data to agencies outside the organisation.	
Criterion 6.2.1.6 Critical: .. Catg: Basic Process + Efficiency Compliance NA NC PC C Default Severity for NC or PC = 2 Moderate	The organisation contributes data or information to external databases in accordance with laws or regulations.	
Criterion 6.2.1.7 Critical: .. Catg: Basic Process + Efficiency Compliance NA NC PC C Default Severity for NC or PC = 2 Moderate	The organisation compares its performance using external databases.	
Criterion 6.2.1.8 Critical: .. Catg: Basic Process + Patient Care Compliance NA NC PC C Default Severity for NC or PC = 4 Very Serious	Security and confidentiality of patient-specific data and information are maintained when contributing to or using external databases.	



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6.3 EMS Dispatch Records

6.3.1 Standard

The organisation initiates and maintains dispatch records for each request for service.

	Criterion	Comments Recommendations
Criterion 6.3.1.1 Critical: .. Catg: Basic Process + Efficiency Compliance NA NC PC C Default Severity for NC or PC = 3 Serious	The organisation maintains a dispatch record for each request for service.	
Criterion 6.3.1.2 Critical: .. Catg: Basic Process + Efficiency Compliance NA NC PC C Default Severity for NC or PC = 3 Serious	The record includes the location of the incident.	
Criterion 6.3.1.3 Critical: .. Catg: Basic Process + Efficiency Compliance NA NC PC C Default Severity for NC or PC = 3 Serious	The record includes call-back information.	
Criterion 6.3.1.4 Critical: .. Catg: Basic Process + Efficiency Compliance NA NC PC C Default Severity for NC or PC = 3 Serious	The record includes the type and nature of the request.	



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Criterion 6.3.1.5 Critical: .. Catg: Basic Process + Efficiency Compliance NA NC PC C Default Severity for NC or PC = 3 Serious	The record includes any pre-arrival information, if needed.	
Criterion 6.3.1.6 Critical: .. Catg: Basic Process + Efficiency Compliance NA NC PC C Default Severity for NC or PC = 3 Serious	The record includes identification of the vehicle responding to the request.	
Criterion 6.3.1.7 Critical: .. Catg: Basic Process + Efficiency Compliance NA NC PC C Default Severity for NC or PC = 2 Moderate	The record includes assistance from any other agency, if needed.	
Criterion 6.3.1.8 Critical: .. Catg: Basic Process + Efficiency Compliance NA NC PC C Default Severity for NC or PC = 3 Serious	All voice calls are recorded for recovery at a later stage.	
Criterion 6.3.1.9 Critical: .. Catg: Basic Process + Efficiency Compliance NA NC PC C Default Severity for NC or PC = 2 Moderate	All voice calls are backed up at a remote site.	



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6.4 Clinical Records

6.4.1 Standard

The organisation initiates and maintains a clinical record for every patient assessed or treated which is protected from loss, destruction, tampering and un-prescribed access or use.

	Criterion	Comments Recommendations
Criterion 6.4.1.1 Critical: .. Catg: Basic Process + Patient Care Compliance NA NC PC C	A clinical record is initiated for every patient assessed or treated by the organisation.	
Default Severity for NC or PC = 4 Very Serious		
Criterion 6.4.1.2 Critical: .. Catg: Basic Process + Patient Care Compliance NA NC PC C	Patient clinical records are maintained through the use of an identifier unique to the patient, or some other effective method.	
Default Severity for NC or PC = 4 Very Serious		
Criterion 6.4.1.3 Critical: .. Catg: Basic Process + Patient Care Compliance NA NC PC C	Records and information are protected from loss or destruction according to documented policies and procedures.	
Default Severity for NC or PC = 4 Very Serious		
Criterion 6.4.1.4 Critical: .. Catg: Basic Process + Patient Care Compliance NA NC PC C	There is provision for authorised access to patient records at all times.	
Default Severity for NC or PC = 3 Serious		



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Criterion 6.4.1.5 Critical: .. Catg: Basic Management + Physical Struct Compliance NA NC PC C	Storage space for health records is secured against unauthorised entry.	
Default Severity for NC or PC = 3 Serious		
Criterion 6.4.1.6 Critical: .. Catg: Basic Process + Efficiency Compliance NA NC PC C	Records and information are protected from tampering and un-prescribed access or use according to documented policies and procedures.	
Default Severity for NC or PC = 4 Very Serious		
Criterion 6.4.1.7 Critical: .. Catg: Basic Process + Efficiency Compliance NA NC PC C	Access is consistent with organisation confidentiality and security policies.	
Default Severity for NC or PC = 4 Very Serious		
Criterion 6.4.1.8 Critical: .. Catg: Basic Process + Efficiency Compliance NA NC PC C	Records, data and information are destroyed appropriately.	
Default Severity for NC or PC = 3 Serious		



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6.4.2 Standard

Organisation policy identifies those authorised to make entries in the patient record and determines the record's content and format.

Standard Intent: Each organisation has a process to assess the quality and completeness of patient records. That process is a part of the organisation's performance improvement activities and is carried out regularly. Clinical record review is based on a representative sample (a sample representing the practitioners providing care and the types of care provided). The medical staff, nursing staff and other relevant clinical professionals who are authorised to make entries in the patient record conduct the review process. The focus of the review is on the quality of the record and clinical information available during the care process. Thus, the organisation's record review process includes the review of the records of patients currently receiving care as well as the records of discharged patients.

	Criterion	Comments
		Recommendations
Criterion 6.4.2.1	The specific content of patient records has been determined by the organisation.	
Critical: .. Catg: Basic Management + Efficiency Compliance NA NC PC C		
Default Severity for NC or PC = 3 Serious		
Criterion 6.4.2.2	Those prescribed to make entries in the patient record are identified in organisation policy.	
Critical: .. Catg: Basic Management + Efficiency Compliance NA NC PC C		
Default Severity for NC or PC = 3 Serious		
Criterion 6.4.2.3	The format and location of entries are determined by organisation policy.	
Critical: .. Catg: Basic Management + Efficiency Compliance NA NC PC C		
Default Severity for NC or PC = 3 Serious		



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Criterion 6.4.2.4	There is a process to ensure that only authorised individuals make entries in patient records.	
Critical: ..		
Catg: Basic Process + Efficiency		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 4 Very Serious		

6.4.3 Standard

Record content is sufficient to meet clinical needs.

	Criterion	Comments Recommendations
Criterion 6.4.3.1	Patient records contain adequate information to identify the patient.	
Critical: ..		
Catg: Basic Process + Patient Care		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 3 Serious		
Criterion 6.4.3.2	Patient records contain adequate information to determine the patient's medical needs.	
Critical: ..		
Catg: Basic Process + Patient Care		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 3 Serious		
Criterion 6.4.3.3	Patient records contain adequate information to justify the care and treatment.	
Critical: ..		
Catg: Basic Process + Patient Care		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 3 Serious		
Criterion 6.4.3.4	Patient records contain adequate information to document the course and results of treatment.	
Critical: ..		
Catg: Basic Process + Patient Care		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 3 Serious		



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Criterion 6.4.3.5 Critical: .. Catg: Basic Process + Patient Care Compliance NA NC PC C Default Severity for NC or PC = 3 Serious	Patient records contain adequate information about the patient's disposition.	
Criterion 6.4.3.6 Critical: .. Catg: Basic Process + Efficiency Compliance NA NC PC C Default Severity for NC or PC = 4 Very Serious	The author of each patient record entry can be identified.	
Criterion 6.4.3.7 Critical: .. Catg: Basic Process + Efficiency Compliance NA NC PC C Default Severity for NC or PC = 4 Very Serious	The date of each patient record entry can be identified.	
Criterion 6.4.3.8 Critical: .. Catg: Basic Process + Efficiency Compliance NA NC PC C Default Severity for NC or PC = 4 Very Serious	When required by the organisation, the time of an entry can be identified.	
Criterion 6.4.3.9 Critical: .. Catg: Basic Process + Efficiency Compliance NA NC PC C Default Severity for NC or PC = 3 Serious	Standardised diagnosis codes, according to national guidelines, are used.	



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Criterion 6.4.3.10 Critical: .. Catg: Basic Process + Efficiency Compliance NA NC PC C Default Severity for NC or PC = 3 Serious	Procedures are noted in standardised format.	
Criterion 6.4.3.11 Critical: .. Catg: Basic Process + Efficiency Compliance NA NC PC C Default Severity for NC or PC = 3 Serious	Standardised symbols, definitions and abbreviations are used.	

6.4.4 Standard

Treat and release and non-treat, non-transport occurrences are documented.

	Criterion	Comments
		Recommendations
Criterion 6.4.4.1 Critical: .. Catg: Basic Process + Efficiency Compliance NA NC PC C Default Severity for NC or PC = 4 Very Serious	Treat and release and non-treat, non-transport occurrences are documented.	
Criterion 6.4.4.2 Critical: .. Catg: Basic Process + Patient Care Compliance NA NC PC C Default Severity for NC or PC = 4 Very Serious	The clinical record contains a description of the patient's physical and clinical status.	
Criterion 6.4.4.3 Critical: .. Catg: Basic Process + Patient Care Compliance NA NC PC C Default Severity for NC or PC = 3 Serious	The clinical record contains the criteria used to determine the patient's competence.	



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Criterion 6.4.4.4 Critical: .. Catg: Basic Process + Patient Care Compliance NA NC PC C Default Severity for NC or PC = 3 Serious	The clinical record contains a description of the treatment rendered.	
Criterion 6.4.4.5 Critical: .. Catg: Basic Process + Patient Care Compliance NA NC PC C Default Severity for NC or PC = 3 Serious	The clinical record contains a description of options for follow-up care, including re-contacting the medical transport provider.	
Criterion 6.4.4.6 Critical: .. Catg: Basic Process + Legality Compliance NA NC PC C Default Severity for NC or PC = 4 Very Serious	The clinical record contains verification and signature of the competent patient indicating that he or she understands his or her right to refuse treatment or transport, any treatment received and any follow-up care needed.	
Criterion 6.4.4.7 Critical: .. Catg: Basic Process + Patient Care Compliance NA NC PC C Default Severity for NC or PC = 3 Serious	The clinical record contains the reason for incomplete or non-treatment and non-transport.	



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6.4.5 Standard

As part of its performance improvement activities, the organisation regularly assesses patient record content and the completeness of patient records.

	Criterion	Comments
		Recommendations
Criterion 6.4.5.1 Critical: .. Catg: Evaluation + Efficiency Compliance NA NC PC C Default Severity for NC or PC = 3 Serious	Patient records are reviewed regularly.	
Criterion 6.4.5.2 Critical: .. Catg: Evaluation + Efficiency Compliance NA NC PC C Default Severity for NC or PC = 3 Serious	The review uses a representative sample.	
Criterion 6.4.5.3 Critical: .. Catg: Evaluation + Efficiency Compliance NA NC PC C Default Severity for NC or PC = 3 Serious	The review is conducted by clinical professionals.	
Criterion 6.4.5.4 Critical: .. Catg: Evaluation + Patient Care Compliance NA NC PC C Default Severity for NC or PC = 4 Very Serious	The review focuses on the timeliness, legibility and completeness of the clinical record.	



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Criterion 6.4.5.5	Record contents required by law or regulation are included in the review process.	
Critical: ..		
Catg: Evaluation + Legality		
Compliance		
NA NC PC C		
Default Severity for NC or PC = 4 Very Serious		