

## SE01 - Governance & Management

### 1.1 - Governance of the healthcare facility

**1.1.1** - The governance structure as well as responsibilities and accountability of the governing body are documented and are known to the healthcare facility managers.

**1.1.1.1** - The governance structure is documented (organogram/chart).

**1.1.1.2** - The relationship between the healthcare facility managers and leaders and governance is documented in the governance structure.

**1.1.1.3** - The governance structure, accountabilities and responsibilities are known to managers.

**1.1.1.4** - Regional or district managers (if applicable) perform regular supervisory visits.

**1.1.2** - The responsibilities of the governing entity for the operation of the healthcare facility are carried out in accordance with organizational policy.

**1.1.2.1** - Those responsible for governance define, approve and monitor the healthcare facility's strategic plans, mission statement, operational plans and policies.

**1.1.2.2** - Those responsible for governance approve or provide the healthcare facility's operating budget(s) required to meet the healthcare facility's mission.

**1.1.2.3** - Those responsible for governance appoint and periodically evaluate the healthcare facility manager.

**1.1.2.4** - Those responsible for governance approve, (periodically) review and make public the healthcare facility's mission statement.

**1.1.3** - The healthcare facility complies with national laws and regulations and operates under a valid current license.

**1.1.3.1** - The healthcare facility has a current license, issued by an acknowledged healthcare licensing authority, to operate as a healthcare facility.

**1.1.3.2** - The healthcare facility has valid licenses for specific services (e.g. pharmacy, diagnostic imaging, laboratory, dental) issued by an acknowledged authority, according to local legislation.

**1.1.3.3** - There is a process that ensures that licenses are renewed within the required timeframe.

**1.1.3.4** - There is a dedicated file that has all the license related documentation.

## 1.2 - Management of the healthcare facility

**1.2.1** - A healthcare facility leader(s), a manager or a leadership team, is responsible for operating the healthcare facility and complying with applicable laws and regulations.

**1.2.1.1** - A healthcare facility leader(s) is appointed and is responsible for operating the healthcare facility and carrying out the healthcare facility's mission.

**1.2.1.2** - The healthcare facility leader(s) has the education and experience to carry out his/her responsibilities.

**1.2.1.3** - The healthcare facility leader(s) is responsible for creating and carrying out of the policies and procedures to support the activities of the healthcare facility and guide staff, patients and visitors.

**1.2.1.4** - The healthcare facility leader(s) ensures compliance with policies, applicable laws and regulations.

**1.2.2** - The healthcare facility leader(s) identifies and plans for the type of services required to meet the mission and the needs of the patients served by the healthcare facility.

**1.2.2.1** - The healthcare facility leader(s) defines the care and services to be provided, compliant with national rules and regulations, and documents this in a service charter.

**1.2.2.2** - A regular needs assessment is performed to ensure that the services provided are consistent with the healthcare facility's mission and needs of the population served.

**1.2.2.3** - The healthcare facility leader(s) communicates information about its patient care services with key stakeholders in the community.

**1.2.2.4** - The healthcare facility leader(s) is aware of services that are provided by other provider facilities operating in the area and has a current referral list available.

**1.2.3** - The healthcare facility leader(s) ensures that supplies and provisions are ordered, received, safely stored and provided to the clinical care units in time to meet the patient needs.

**1.2.3.1** - A qualified or experienced individual is designated for supply chain management.

**1.2.3.2** - There is a system for ensuring that equipment and supplies are ordered, available, monitored for quality, correctly stored and distributed/dispensed.

**1.2.3.3** - Adequate secure storage facilities are available.

**1.2.3.4** - There is a system regarding the 'first expired first out' principle for stock.

**1.2.4** - The healthcare facility leader(s) plans, develops and implements a quality improvement and patient safety program.

**1.2.4.1** - The program is directed or managed by a designated individual or quality team.

**1.2.4.2** - The healthcare facility leader(s) plans, develops and implements a quality improvement and patient safety program with an appropriate structure and adequate resources.

**1.2.4.3** - Corrective and preventive actions (CAPA) are defined and implemented.

**1.2.4.4** - The leadership team communicates quality improvement and patient safety information to all stakeholders concerned on a regular basis.

**1.2.5** - Books of accounts, utilization data and budgets are kept and used as a source of management information.

**1.2.5.1** - Books of accounts are kept in a manner that is appropriate for the size and complexity of the healthcare facility and external financial reporting meets national bookkeeping standards.

**1.2.5.2** - There is a system for gathering utilization data of all (clinical) units.

**1.2.5.3** - There is an annual budgeting cycle, whereby budgets have an adequate level of detail, based on prudent assumptions regarding projected income and expenditures.

**1.2.5.4** - Books of accounts, budgets and utilization data are systematically and integrally reported and analyzed and used as a management information tool.

**1.2.6** - The healthcare facility manages its money in an effective manner.

**1.2.6.1** - The healthcare facility has developed and implemented appropriate cash management practices in Standard Operating Procedures.

**1.2.6.2** - The healthcare facility implements standardized banking practices.

**1.2.6.3** - There is an effective system for claims submission/invoicing to insurance companies/corporate clients and the monitoring of claims/invoices to ensure that the level of debtors is kept to a minimum.

**1.2.6.4** - The healthcare facility actively monitors its cash flows.

**1.2.7** - There is evidence that the healthcare facility keeps track of fixed assets and related maintenance activities.

**1.2.7.1** - There is a Fixed Asset Register (FAR) which contains the relevant information for all fixed assets in the healthcare facility.

**1.2.7.2** - There is a designated staff member who is responsible for the FAR.

**1.2.7.3** - There is a maintenance program in place that ensures that fixed assets are kept in good condition and work as designed.

**1.2.7.4** - There is a guideline describing the frequency of crosschecks of fixed assets and the FAR, including how and when to update the FAR.

**1.2.8** - The healthcare facility regularly monitors (audits) key processes and healthcare services provided in order to continuously improve medical, financial and managerial performance.

**1.2.8.1** - The healthcare facility leader(s) has defined which processes and services require auditing.

**1.2.8.2** - There are auditing templates available to guide staff in the different auditing processes.

**1.2.8.3** - Regular audits of specified guidelines and processes take place.

**1.2.8.4** - The audit outcomes are recorded, discussed and corrective actions defined to improve performance.