

# INTRODUCTION TO THE NGO INFORMATION CHECKLIST TOOL

## *Background*

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This tool was developed by Hutt DHB Funding & Planning in conjunction with Platform Trust to assist mental health and addiction NGOs to assess organisational performance with specific regard to the collection of data for PRIMHD, reporting and use of information. The format of the tool is based on the 'Health Check', a tool that is used by the Wellington City Council to help local NGOs build strong and effective organisations and communities.<sup>1</sup>

The part of the tool that addresses the wider information landscape was developed by members of the Platform Trust NGO Information User Group in June 2012.

This tool enables users to assess the performance of an organisation with the use of a rubric that provides an evaluative description of what performance looks like at each point on a 5-point scale, ranging from 'at risk' to 'thriving.'

With the development of PRIMHD as a national data collection, there is an opportunity to make the most of the available data. However, some providers have struggled to meet the requirements of the Ministry with regards to PRIMHD compliance and some NGO providers need support to make the best use of the information that is available.

Hutt DHB Funding & Planning were interested in developing the tool because they intend to make PRIMHD the main data source for the monitoring of provider performance and the planning of services. They also want to support providers through the transition period so that they can use the information to help inform their own process of service development.

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<sup>1</sup> Please contact Platform Trust at [admin@platform.org.nz](mailto:admin@platform.org.nz) or phone Anne Bristol, administrator, Platform Trust at (04) 385-0385 should you wish to obtain the complete version of the 'Health Check' as an ongoing self-evaluation tool for your organisation.

The complete version of the tool covers other important areas of organisational performance such as governance, leadership, financial management, planning, workers & volunteers, partnerships and communication. Wellington City Council has given permission to Platform Trust to distribute the Health Check Tool to those NGOs that want to evaluate and improve their organisational performance.

Please note that a new on-line self-assessment tool called NZ Navigator is due to go live later in 2013. This tool will help community organisations to review their organisational infrastructure. It is currently being developed through a community partnership amongst ANGOA, Platform Trust, Social Development Partners, Bishops Action Trust and Charities Services (under Department of Internal Affairs).

## Purpose

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The purpose of the tool is to highlight areas for further development by NGO providers.

This tool is designed to be self-administered and is an opportunity for NGOs to be open and honest about how their organisation is performing with regards to a number of areas relating to PRIMHD data collection, reporting and use. It also offers organisations a baseline measure for future evaluation.

Ideally, a small group of key staff members should work through the tool together so that a balanced viewpoint is reached. However, in some instances only one person in the NGO will have the relevant knowledge necessary to complete the tool.

## How to use the Tool

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The Health Check Tool provides a rubric (refer to page 7) with a description of performance that relates to the capacity and capability of your organisation in particular areas of PRIMHD and general information management, allowing you to indicate where you perceive your organisation currently operates.

For example, the following table describes what performance looks at each point on the assessment scale for the 'technical' area of information management:

<i>(Example only, not complete)</i>	
<b>1. at risk</b>	No hardware or software.
<b>2. vulnerable</b>	Limited electronic information infrastructure.
<b>3. viable</b>	An electronic information system that is able to support the collection and retrieval of information.
<b>4. sustainable</b>	The organisation has a PMS that is flexible enough that it can easily accommodate changes to the data.
<b>5. thriving</b>	The organisation has a PMS and an electronic network that meets all national standards for data privacy and security.

Please work through and discuss each assessment area in the tool and agree on the applicable rating based on the descriptions given in the attached rubric.

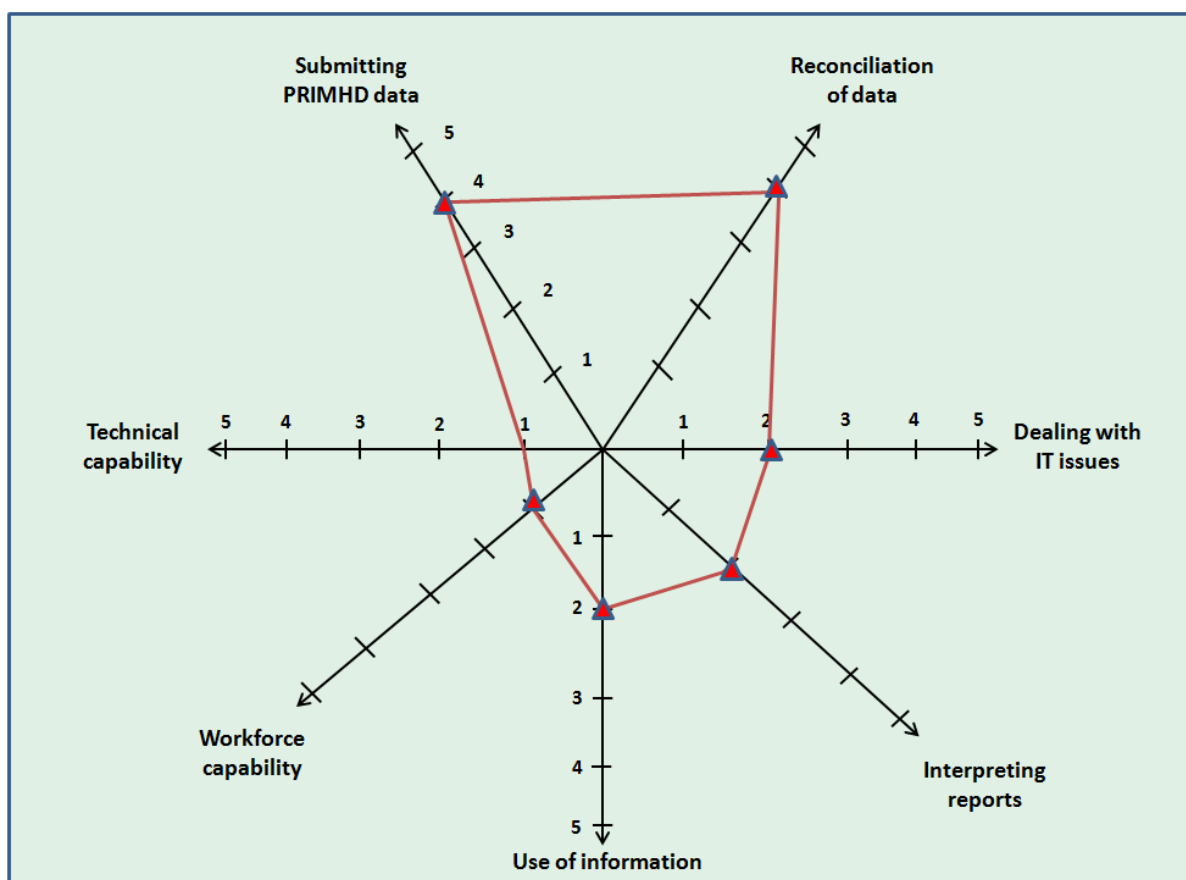
Use the summary table and spider web graph that forms part of the tool to record these assessments.

Summary table and visual matrix for the completed tool

**Table of assessment results - example**

<i>Example</i>	At risk (1)	Vulnerable (2)	Viable (3)	Sustainable (4)	Thriving (5)
Submitting PRIMHD data				√	
Reconciliation of data				√	
Dealing with IT issues		√			
Interpreting reports		√			
Use of information		√			
Workforce capability	√				
Technical capability	√				

**Visual Matrix** – this example shows that this provider is strong on submitting data and reconciliation of data but is weaker in other key areas



## NGO PRIMHD INFORMATION CHECKLIST

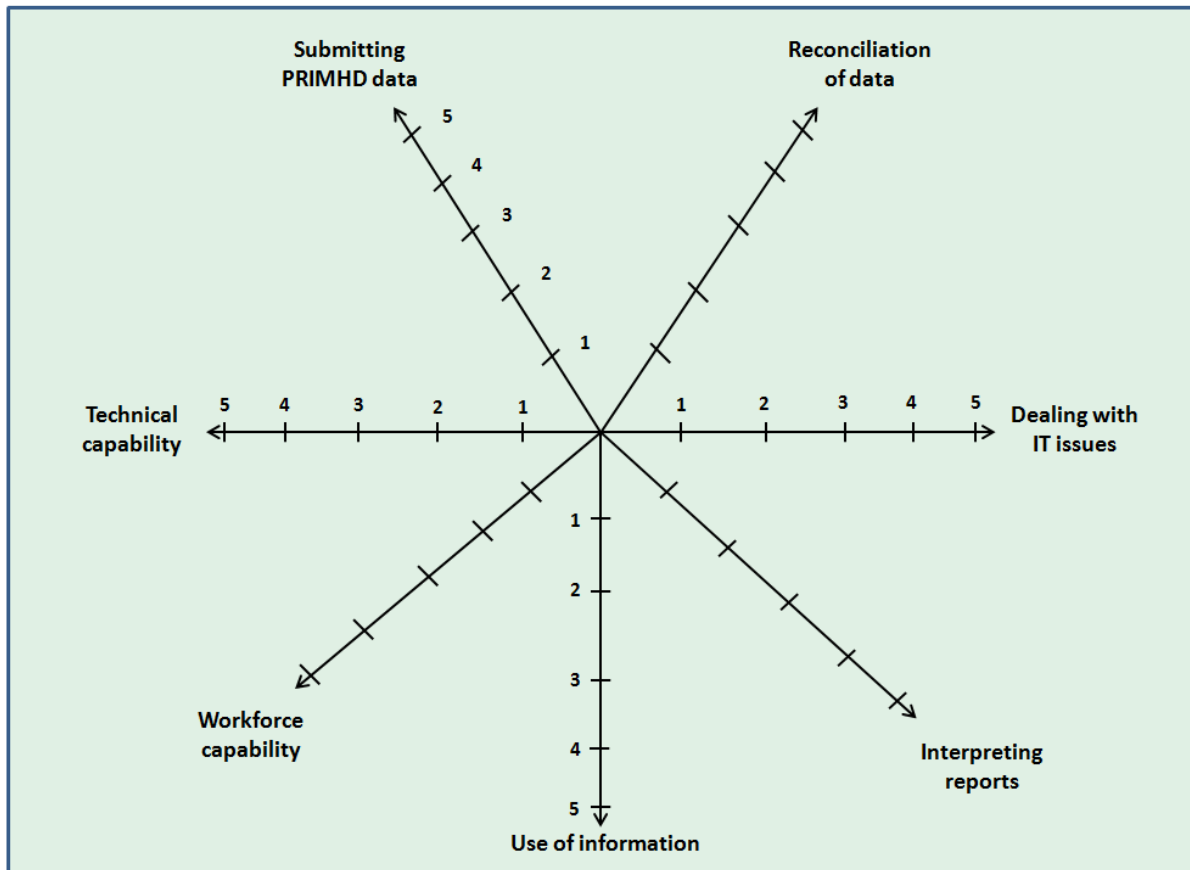
<b>Name of organisation:</b>	
<b>Contact person:</b>	
<b>Assessment signed off by General Manager or CEO:</b>	
<b>Date:</b>	

### Assessment Results – table format

Key area	At risk (1)	Vulnerable (2)	Viable (3)	Sustainable (4)	Thriving (5)
Submitting PRIMHD data					
Reconciliation of data					
Dealing with IT issues					
Interpreting reports					
Use of information					
Workforce capability					
Technical capability					

NB: Please refer to the attached rubric - it describes what performance looks like at each point on the assessment scale.

## Assessment Results - Visual Matrix



On the spider web graph above there is a line for each key area. Mark your rating for your organisation on the line for each key area. Then join the dots to show where your organisation is strongest or weakest.

### Key

- 1 = at risk
- 2 = vulnerable
- 3 = viable
- 4 = sustainable
- 5 = thriving

## Mental Health & Addiction NGO PRIMHD rubric

	At risk	Vulnerable	Viable	Sustainable/successful	Thriving
<b><i>EITHER -</i></b> Submitting PRIMHD data via an IT vendor (if this is the mechanism that you use)	<ul style="list-style-type: none"> <li>Poor design of the PMS does not support the accurate reporting of data.</li> <li>The NGO is either not aware of the problem or if they are aware then they do not know how to fix it.</li> </ul>	<ul style="list-style-type: none"> <li>The PMS supports the accurate reporting of PRIMHD data but the NGO is of the view that it is the responsibility of the vendor to submit high quality PRIMHD data.</li> </ul>	<ul style="list-style-type: none"> <li>The responsibility for submitting high quality data sits with the data admin person or the IT person within the NGO.</li> </ul>	<ul style="list-style-type: none"> <li>Staff consistently enter their own data as part of their daily routine.</li> <li>Staff understand how to accurately record their activity.</li> <li>Their data entry has few errors .</li> </ul>	<ul style="list-style-type: none"> <li>Staff are exposed to ongoing educational opportunities that help them collect and record high quality PRIMHD data.</li> <li>Staff use data collection and entry as an integral part of effective daily practice.</li> </ul>
<b><i>OR -</i></b> Submitting PRIMHD data via PRIMHD On-line (if this is the mechanism that you use)	<ul style="list-style-type: none"> <li>PRIMHD data is not submitted in a timely fashion.</li> <li>The quality of the data that is submitted is poor.</li> <li>NGO staff are not provided with the right tools to enable them to collect accurate PRIMHD data.</li> </ul>	<ul style="list-style-type: none"> <li>Process for data collection has been established but staff do not follow it properly.</li> <li>Data entry is often a month or two behind, incomplete and with errors.</li> </ul>	<ul style="list-style-type: none"> <li>Process for data collection is streamlined and easy for staff to use.</li> <li>Data entry is regular, timely, complete and has few errors.</li> </ul>	<ul style="list-style-type: none"> <li>Process for data collection is part of daily work routine for staff.</li> <li>Data entry is regular, timely, complete and with very few errors.</li> </ul>	<ul style="list-style-type: none"> <li>Staff are exposed to ongoing educational opportunities that helps them collect and record high quality PRIMHD data.</li> <li>Process for data collection is an integral part of workday for staff and useful for daily practice.</li> <li>Data entry is regular, timely, complete and accurate.</li> </ul>

## Mental Health & Addiction NGO PRIMHD rubric

	At risk	Vulnerable	Viable	Sustainable/successful	Thriving
<b>Reconciliation of PRIMHD data with own data</b>	<ul style="list-style-type: none"> <li>Data quality is not a priority for the organisation.</li> <li>The NGO is unable to reconcile PRIMHD data based on the Ministry reports.</li> </ul>	<ul style="list-style-type: none"> <li>One person in the NGO is responsible for correcting 'bad data' on the basis of the Ministry reports.</li> <li>The staff are not provided with any information that would enable them to collect and report accurate data to PRIMHD.</li> </ul>	<ul style="list-style-type: none"> <li>The NGO actively monitors data quality.</li> <li>At least one person in the NGO is able to reconcile PRIMHD data and to quickly resubmit corrections.</li> <li>Staff are provided with regular feedback to help them improve the quality of PRIMHD data over time.</li> </ul>	<ul style="list-style-type: none"> <li>The organisation takes an organisational view of data management and data quality.</li> </ul>	<ul style="list-style-type: none"> <li>The NGO has a culture of collecting and using high quality data.</li> </ul>
<b>Dealing with IT issues</b>	<ul style="list-style-type: none"> <li>The NGO is not able to deal with any IT issues.</li> </ul>	<ul style="list-style-type: none"> <li>The NGO relies on 1 person to deal with IT issues or relies on external IT support which is expensive and/or slow to respond.</li> </ul>	<ul style="list-style-type: none"> <li>The NGO has more than one person who can deal with IT issues or has external IT support which is affordable and responsive.</li> </ul>	<ul style="list-style-type: none"> <li>NGO has staff who are confident in fixing IT issues or have dedicated staff to provide IT support.</li> </ul>	<ul style="list-style-type: none"> <li>The organisation has a team that provides effective IT support for PMS and other functions that use IT.</li> </ul>
<b>Interpreting reports</b>	<ul style="list-style-type: none"> <li>Does not understand the PRIMHD reports.</li> <li>Cannot access PRIMHD InfoView reports.</li> <li>Cannot access reports from internal data system.</li> </ul>	<ul style="list-style-type: none"> <li>At least one person in the NGO is able to interpret the PRIMHD reports with some external support.</li> </ul>	<ul style="list-style-type: none"> <li>Management regularly uses PRIMHD reports.</li> <li>NGO uses them to reconcile with internal data and improve data quality.</li> </ul>	<ul style="list-style-type: none"> <li>Management and staff are familiar with PRIMHD reports .</li> <li>NGO uses them to reconcile with internal data and improve data quality.</li> </ul>	<ul style="list-style-type: none"> <li>Critically analyses the PRIMHD reports and develops new theories about service processes and practices that might be contributing to sub-optimal performance.</li> <li>Draws conclusions based on the reports as well as other sources of relevant contextual information.</li> </ul>

## Mental Health & Addiction NGO PRIMHD rubric

	At risk	Vulnerable	Viable	Sustainable/successful	Thriving
<b>Use of information for continuous service improvement purposes (e.g. PDSA cycle)</b>	<ul style="list-style-type: none"> <li>Lack of awareness of why data is collected and what it can be used for.</li> </ul>	<ul style="list-style-type: none"> <li>Plans improvements based on data but struggles to carry them out.</li> <li>The collection of baseline data is not a performance requirement for teams/staff in the organisation.</li> </ul>	<ul style="list-style-type: none"> <li>Plans for and carries out one or two improvements based on data but has limited capacity to determine how effective the interventions were.</li> <li>Finds it difficult to adopt successful improvement interventions into standard operations.</li> </ul>	<ul style="list-style-type: none"> <li>Organisational performance metrics are reviewed internally.</li> <li>Metrics are used to make and monitor improvements.</li> <li>Successful improvements take some time to be adopted into standard operations across organisation.</li> </ul>	<ul style="list-style-type: none"> <li>Organisational performance metrics are reviewed and shared externally.</li> <li>Metrics are regularly used to make and monitor improvements</li> <li>The improvement cycle is a routine part of business operations.</li> <li>Staff quickly adopt successful improvements into standard operations.</li> <li>Staff use relevant data with service users to deliver effective services.</li> </ul>
<b>Workforce capability</b>	<ul style="list-style-type: none"> <li>Dependent on one person.</li> <li>Significant gaps in staff knowledge and capability in the use of information.</li> <li>No succession planning.</li> </ul>	<ul style="list-style-type: none"> <li>Basic capability in information management is shared between one or two people only.</li> <li>Succession plan is not operational.</li> </ul>	<ul style="list-style-type: none"> <li>Advanced capability in information management is invested in only one or two people.</li> <li>Some other staff receives basic training in the use of information to support the delivery of services to Service users.</li> </ul>	<ul style="list-style-type: none"> <li>Most of the workforce knows how to collect access and use relevant information for contract reporting, business development or service delivery purposes.</li> </ul>	<ul style="list-style-type: none"> <li>All of the workforce knows how to collect, access and use information that is relevant to their role for contract reporting, business development or service delivery purposes.</li> </ul>



## Mental Health & Addiction NGO PRIMHD rubric

	At risk	Vulnerable	Viable	Sustainable/successful	Thriving
Technical Capability	<ul style="list-style-type: none"> <li>No electronic information infrastructure (i.e. the organisation does not have any hardware or software).</li> <li>No access to IT support or to a resource that can act as a trouble shooter.</li> </ul>	<ul style="list-style-type: none"> <li>Limited electronic information infrastructure (i.e. has the hardware but has very few applications).</li> <li>Is unable to securely connect to the national health network.</li> <li>Limited access to IT support</li> </ul>	<ul style="list-style-type: none"> <li>Electronic information system (e.g. Excel or a PMS) that is able to support the collection and retrieval of information for service delivery, contract reporting and business support purposes.</li> </ul>	<ul style="list-style-type: none"> <li>The organisation uses a Patient management system (PMS).</li> <li>The PMS is flexible enough that it can accommodate changes to the data.</li> </ul>	<ul style="list-style-type: none"> <li>The organisation has a PMS and an electronic network that meets all national standards for data privacy &amp; security.</li> </ul>

Based on the information management rubric for the NGO Development Checklist Tool (Platform Trust, 2012)