# Maturity Assessment Planning Guide

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# Maturity Assessment Planning Guide
# IS4H- APG 2.0



## Acknowledgments

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## INTRODUCTION

PAHO's approach to provide technical assistance in the assessment of National Information Systems for Health (IS4H) is a country-led process that will help strengthen the Ministry of Health (MoH) stewardship capacity for their national information system across all sectors.

The assessment will focus on key components of the national information system for health, including governance, strategies and plans, legislation and policy, financial sustainability, human resources, data management and quality processes, data analysis capabilities, business and clinical workflow and processes, project and change management, and information technology platforms and infrastructure.

The assessment and roadmap will be prepared according to the PAHO's renewed framework for IS4H and the CARICOM (Caribbean Community) Roadmap for Information Systems for Health as approved by the COHSOD (Council for Human and Social Development) in 2017.

The Maturity Assessment will include several information gathering methodologies', including:

- Meetings with subject matter experts
- Review of policies, procedures and technical documentation
- Site visits for direct observation of information platform use, data collection and interviews with front-line administrative and clinical staff

This guide can be used as a tool for the Ministry to identify meeting participants and schedule meeting times and locations; identify relevant documentation and plan the site visits.

### Document Identification Guide

The table below highlights the types of documents that will support an effective maturity assessment. *It is not expected that all listed documents will be available and the MoH may identify other relevant documents not mentioned*. A tracking table can be used to list the documents and their status.

### Potential Documents

| Strategic and other plans | Governance documents | Policies and legislation |
|---|---|---|
| • National Health System Strategic Plan (current or in progress drafts)<br><br>• IS4H Strategic Plan (current, draft or expired)<br><br>• e-Government Strategic Plan or Project Plans<br><br>• Technical Program priorities, plans | • Governance structures and terms of reference for committees/working groups/advisory bodies<br><br>• Organizational structure<br><br>• Any relevant human resource (HR) | • Related policies or legislation that address:<br><br>  • Personal health information or data protection<br><br>  • Medical records<br><br>  • Notifiable disease reporting |

| | | |
|---|---|---|
| • Plans for census, vital registration/statistics<br><br>• Plan or commitments related to other national or international efforts (e.g. Sustainable Development Goals, HIV, Noncommunicable Diseases, Maternal and Child Care, etc.)<br><br>• Recent evaluations/assessments | documents (e.g. staffing numbers/competency framework/HR plans) | • International Health Regulations (IHR)<br><br>• Use of information technology<br><br>• Vital statistics<br><br>• E-Government<br><br>• Open data<br><br>• Unique identifiers<br><br>• Use of standards (e.g. classifications ICD-10 version) |

| Technical documentation | Information architecture documentation | Information Products |
|---|---|---|
| • Software/solutions inventory<br><br>• Technical/network architecture<br><br>• Information technology platform and other system document (training manuals, Standard Operating Procedures (SOP)<br><br>• Service Level Agreements/contract with vendor(s) | • Data management policies, guidelines, standards<br><br>• Data dictionary<br><br>• Indicators compendium<br><br>• Data flows<br><br>• Data standards | • Chief Medical Officer Report<br><br>• Examples of weekly epidemiological reports<br><br>• Examples of weekly, monthly administrative reports (e.g., hospital and clinic utilization statistics, etc.)<br><br>• Special reports (e.g. status of a specific disease, health behaviors, etc.) |

**Tracking Table:**

The table below can be used to help compile the documents for the PAHO desk review.
**Documents should be e-mailed to Marcelo D'Agostino, Senior Advisor, Information Systems for Health at [dagostim@paho.org](mailto:dagostim@paho.org).**

| Document Name | Type | Status | Comments |
|---|---|---|---|
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

## Engagement Activities

### Objective:

Engage health authorities and staff in the Maturity Model Assessment process.

### Activities:

- ✓ Familiarize authorities with IS4H Maturity Model (MM) assessment objectives and plan
- ✓ Review assessment restrictions, rules and regulations (country and regional restrictions)
- ✓ Review Define with assessment scope
- ✓ Review agree on assessment outputs
- ✓ Revise documentation

## IS4H Maturity assessment consultation

### Methodology

- ✓ Presentations
- ✓ Group work
- ✓ Group interviews
- ✓ Individual interviews

### Goal:

To analyze Country maturity on Information Systems for Health (IS4H) on information management processes, information governance readiness, open government initiatives and knowledge management process adoption levels

### Objectives

- To introduce the IS4H Maturity model Tool which will be used to assess IS4H
- To apply the IS4H Maturity Model Assessment tool
- To collect data and evidence for the assessment validation
- To define scope of the assessment of the country maturity model

## Facilitators

TBD

## Participants:

Decision-makers, policymakers, as well as technical staff involved in data production (data collection, data integration, processing, analyzing, dissemination) and data users, stakeholders or individuals from the National Information System in general or from specific health topics areas:

- ✓ Information Systems/Epidemiology Unit
- ✓ Health Planning or Health Policy Unit
- ✓ Health Information Unit/Population Monitoring Unit
- ✓ Information Technology/Information System Area
- ✓ Statistics Unit
- ✓ Technical health care programs/units
- ✓ Health programs planners
- ✓ Key stakeholders: civil registration, national statistical office
- ✓ Hospitals
- ✓ Academic Institutions
- ✓ E-Government initiative
- ✓ Other ministries or entities directly involved on health issues (economy, technology, education, etc.)
- ✓ If health is decentralized or is a federal country, the most representation of all states, areas, provinces is required.
- ✓ Others

## Preparation for the assessment:

1) The country focal point will gather information about the information system for health needs of the Ministry of health; and will engage with the health institutions to collaborate with the assessment team to understand the country's assessment processes.

2) The focal point will identify a core group (5-10 individuals) that will participate throughout the MM Assessment process. The core group should include MoH and other stakeholder representatives across key IS4H domains, such as information technology, information management, information analysis and use, e-government, etc. The core group will participate on the assessment to learn more about the IS4H Framework and MM Assessment Process and will also work with the facilitators to validate findings and identify recommendations for strengthening IS4H at the end of the assessment.

3) Define the scope of the assessment:
   a. Intra-institutional: focused within the health sector, central level or all levels.
   b. Inter-ministerial: Broader scope and other social sectors related to health, such as economic, education and labor.

## Agenda

| Time | Topic |
|---|---|
| **DAY 1: Core Group** | |
| 9:00 to 10:30 | • Welcome remarks<br>• Confirmation of activities and logistics<br>• Introductions<br>• Overview of evaluation objectives, scope, process, methodologies<br>• Presentation and discussion of PAHO Information Systems for Health Conceptual Framework<br>• Q&A |
| 10:30 to 11:00 | **Coffee Break** |
| 11:00 to 12:30 | • Overview of PAHO's Conceptual Framework (IS4H)<br>• IS4H-Maturity Model (MM) General Concepts<br>• IS4H-Maturity Model (MM) Assessment Overview<br>• Standard IS4H Assessment Method for MM Elements<br>  ▪ Maturity Model warming-up questions<br>  ▪ PAHO/WHO assessment findings<br>    ○ *Strategic Goal 1: Data Management and Information Technologies*<br>    ○ *Strategic Goal 2: Management and Governance*<br>    ○ *Strategic Goal 3: Knowledge Management and Sharing*<br>    ○ *Strategic Goal 4: Innovation* |
| 12:30 to 13.30 | **Lunch Break** |
| 13:30 to 15:30 | Group work - tool running: Guided session to answer tool questions |
| 15:30 to 17:30 | **Facilitators meeting** |
| **DAY 2: Core Group + Key Stakeholder Participants** | |
| 9:00 to 10:30 | Group work - tool running: Guided session to answer tool questions |
| 10:30 to 11:00 | **Coffee Break** |
| 11:00 to 12:30 | Group work - tool running: Guided session to answer tool questions |
| 12:30 to 13:30 | **Lunch Break** |
| 13:30 to 15:30 | Group work - tool running: Guided session to answer tool questions |
| 15:30 to 17:30 | **Facilitators meeting** |
| **DAY 3: Core Group + Key Stakeholder Participants** | |
| 9:00 to 10:30 | Group work presentations, discussions and conclusions |
| 10:30 to 11:00 | **Coffee Break** |
| 11:00 to 12:00 | Facilitators Conclusions – Next Steps - Closing |
| 12:30 to 13:30 | **Lunch Break** |
| 13:30 to 17:00 | Facilitators meeting in hotel |

| Time | Topic |
|---|---|
| **DAY 4: Core Group + Key Stakeholder Participants** | |
| 9:00 to 15:00 | Observation Phase – Visit to institutions |
| 15:00 to 17:00 | **Facilitators meeting in hotel** |
| **DAY 5: Core Group + Key Stakeholder Participants** | |
| 9:00 to 13:30 | Observation Phase – Visit to institutions |
| 15:00 to 17:00 | Debriefing to PWR and/or National Authorities |

## Follow-Up

### Maturity Model Assessment Report

Following the initial MM Model Assessment, the PAHO consultants will review the findings and develop a report for review and feedback by the Core Team. The draft MM Assessment Report will be shared with the Core Team for their review following the on-site assessment. A remote conference call will be held to review feedback from the core team members and to validate the findings.

### Future State and Critical Success Factors Workshop

The findings from the MM Assessment will be used as a key input for a Future State and Critical Success Factors Workshop. The objective of this workshop will be to identify and prioritize activities and investments to develop an operational work plan.

A detailed methodology and stakeholder participant list will be shared with the MoH Focal Point in advance to support the planning processes.

### Strategic Roadmap Workshop

A third workshop will be held to review and validate the strategic roadmap, operational plan and budget for IS4H strengthening based on the Future State and Critical Success Factors Workshop outcome. This workshop will also focus on validating and securing leadership support for an IS4H Strategic Roadmap, which identifies key activities and funding sources from internal but also external sources.

This meeting will include input from key stakeholders that have participated in previous engagement activities and will require a meeting with Senior Ministry of Health authorities to present and validate the proposed IS4H strategic roadmap, operational plan and budget.