

GUIDELINES FOR HMIS DATA FREEZING



Health Management Information System (HMIS)

A digital initiative under National Health Mission
(NHM)

ABSTRACT

This document provides the detailed Standard Operating Procedures (SOPs) to be followed for performing data freezing of HMIS Monthly data for a particular financial year.

Ministry of Health and Family Welfare

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Table of Contents

1. Introduction to Data Freezing.....	2
2. Guidelines for MIS Monthly Data Freezing.....	3
2.1. Seizing of Access Rights.....	3
2.2. Forwarding of MIS data up to district level	3
2.3. Data Compilation at District level	4
2.4. Forwarding of Compiled data to State Level and finally to National Level.....	4
2.5. Refreshing of Standard Reports for Respective Financial Year.....	4
3. Confirmation/ Verification of Freezing activity.....	5
3.1. Authenticating Seizing of user rights	5
3.2. Analysis of reports	5
Annexure - I.....	7
A. Data Entry – Facility level.....	7
B. Data Entry – Sub district/ Block level.....	8
Annexure - II.....	9

1. Introduction to Data Freezing

There are broadly two types of HMIS users i.e. ‘Data Entry Users (DEUs)’ & ‘Read Only Users (ROUs)’. The Data Entry Users have right to report/ upload data on HMIS portal in the defined formats and can view this data through available reports on HMIS whereas the “Read only Users” can only view the data reported by DEUs in the form of available reports on HMIS portal. The “Read Only Users” don’t have rights to enter or modify any data reported on HMIS portal.

For reporting/ uploading data in HMIS, there are specific set of formats with a specified period of reporting. The data can be reported in HMIS using any of the following mechanism:

- Online data entry (Direct entry into online form)
- Online data upload (single file upload)
- Offline data Upload (or bulk upload) *[This option is available only for MIS Monthly data entry formats]*

When user uploads/ enters data for the first time, it is known as addition of data. Further, if there’s a requirement of data modification, the user can modify data if the data is available in the draft mode. Data can only be modified by the user who has uploaded/ entered data. In case the user has forwarded the data to the next level then to make any changes in the data, the data is required to be reset to the draft mode. Once the data is in draft mode, user may modify data.

This document provides the detailed Standard Operating Procedures (SOPs) on Data Freezing which is one of the important process related to data finalization for “MIS Monthly Data” on HMIS portal. Following steps are required to be taken at the time of data freezing for a particular financial year:

- Seizing access rights of data modification/ addition by any user for that particular financial year
- Forwarding of MIS data up to district level i.e. Sub-District/ Block Forward
- Data Compilation at District level
- Forwarding of Monthly consolidated MIS data along with District HQ data to State Level and finally at National Level
- Refreshal of Standard Reports for Respective Financial Year

2. Guidelines for MIS Monthly Data Freezing

As per existing practice, the data is entered/ uploaded on HMIS portal and is forwarded to next immediate level. The data entry points can be facility, sub district/ block, district or State depending on the type of format which is uploaded/ entered. Facility/ sub district enters/uploads data and forwards to district. District enters/compiles data and forwards to State. State forwards the data to Centre after required validation/ scrutiny. Once the data is forwarded to the Centre it can't be modified or reset by the any level of user. In order to modify the forwarded data, the data needs to be reset to the draft mode at the source level by communicating the requirement to Central HMIS team.

At present, data can be reset by the Centre, State and district depending on the rights provided. As a practice, the data for past financial year is frozen after 6 to 9 months depending upon the decision taken by Ministry of Health and Family Welfare. The steps/ levels involved into freezing of data for specific financial year are described below:

2.1. Seizing of Access Rights

In this process the right of data entry users i.e. add, modify and delete HMIS data for particular financial year would be frozen so that no changes in MIS data would be allowed after predefined date. Thus, post freezing of HMIS data for particular financial year, the data would not get changed.

2.2. Forwarding of MIS data up to district level

It is expected that the data entered from facility/ block level is to be forwarded to next level till the time it is forwarded to district level to ensure compilation at district level. However, there are cases where the data entered at facility/ block level is not forwarded by the respective users till district level and hence there is a need to forward the MIS data at district level from backend. To ensure all data including District Head Quarter (DHQ) to be made available at district level for compilation, data from all facilities would be forwarded to district level. Details regarding various modes of data at different level is given at **Annexure-I**.

2.3. Data Compilation at District level

It is expected that district MIS officials will compile data of all facilities to generate Monthly Consolidated figure of the district. The detailed guidelines related to compilation are given at **Annexure-II**. However, it has been observed that in many cases District MIS officials do not compile or partially compile this data. Therefore, to consolidate data of all facilities at district level, compilation process would be done from the backend. This would ensure that there is no loss of data at district level. The compiled data is then ready to be forwarded to next immediate level i.e. State level.

2.4. Forwarding of Compiled data to State Level and finally to National Level

- Once the MIS data of all facilities is compiled at District level, the compiled data is then forwarded to State Level.
- The State level data is then forwarded to Central level.

2.5. Refreshing of Standard Reports for Respective Financial Year

The last and final step is to update the Standard Reports for that particular financial year for which the data was frozen. The final step is executed only after ensuring that following activity is done correctly:

- Access rights of users for data user i.e. add/ edit/ delete is seized for MIS data for respective financial year.
- All the MIS data entered from Facility/ Sub- District level are forwarded to district level.
- The MIS data along with data entered by DHQ is compiled at district level for all the districts.
- Forwarding of Monthly consolidated MIS data along with DHQ data to State Level and finally to National Level.

3. Confirmation/ Verification of Freezing activity

Following reports/ processes needs to be verified to ensure that all the above steps have been performed as per the instructions given in section 2.

3.1. Authenticating Seizing of user rights

Seizing of user rights can be checked by logging into data entry section of HMIS portal using credentials of facility/ block level user. Currently a message is displayed on the header of the web page that “Data has been frozen for these FY 20XX-YY”, if user tries to add/ modify data for the particular financial year.

3.2. Analysis of reports

Analysis of following reports is to be done to ensure that the freezing activities are performed/ completed as expected. Reports to be analyzed are mentioned below:

➤ Data Filled Status Report

This report shows the status of data at different level. This is to ensure that data for all months is appearing in State-Forward column in the report. If any facility appears in any other category other than State-Forward category as shown in below figure, all the freezing activities are to be performed all over again to arrive at expected result.

Month	Sub District-Draft					Sub District-Forward					District-Forward					State-Forward					
	Month Name	SC	PHC	CHC	SDH	DH	SC	PHC	CHC	SDH	DH	SC	PHC	CHC	SDH	DH	SC	PHC	CHC	SDH	DH
April	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1862	252	59	27	19
May	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1863	252	59	27	19
June	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1863	252	59	27	19
July	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1862	252	59	27	19
August	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1863	252	59	27	19
September	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1862	252	59	27	19
October	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1863	252	59	27	19
November	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1862	250	59	27	19
December	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1864	252	59	27	19
January	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1862	252	59	27	19
February	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1863	252	59	27	19
March	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1863	252	59	27	19

➤ **Uploaded and Committed Report**

Analysis of data uploaded and committed report is to be done regarding confirmation of data forwarding activity. If State had forwarded the data to National level, report shows “Level 4” for all districts within a State. If any other level is shown in the report, it means data is not been forwarded till National level. Sample for Uploaded & Committed report with definition of levels is mentioned below:

District	Status	Apr	May	June	July	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
	State committed	5	5	5	5	5	5	5	5	5	5	5	5
	To be committed by state	0	0	0	0	0	0	0	0	0	0	0	0
	To be committed by district	0	0	0	0	0	0	0	0	0	0	0	0
	District not uploaded.	0	0	0	0	0	0	0	0	0	0	0	0
District 1		level 4	level 4	level 4	level 4	level 4	level 4	level 4	level 4	level 4	level 4	level 4	level 4
District 2		level 4	level 4	level 4	level 4	level 4	level 4	level 4	level 4	level 4	level 4	level 4	level 4
District 3		level 4	level 4	level 4	level 4	level 4	level 4	level 4	level 4	level 4	level 4	level 4	level 4
District 4		level 4	level 4	level 4	level 4	level 4	level 4	level 4	level 4	level 4	level 4	level 4	level 4
District 5		level 4	level 4	level 4	level 4	level 4	level 4	level 4	level 4	level 4	level 4	level 4	level 4
Data committed by state									Level 4				
Data committed by District									Level 3				
Data uploaded but not committed by District									Level 2				
Data not uploaded									Level 1				

➤ **Comparison of Facility Consolidated with District Consolidated**

This report shows month wise comparison of Facility consolidated data with District Consolidated data for MIS data items for a particular financial year. If the difference between FC & DC is zero, then the freezing activities have been performed correctly as per expectation. However, if the difference between FC & DC is not zero, then all the freezing activities mentioned in section 2 is to be performed all over again. Sample report is mentioned below:

Data Items	April 14-15			May 14-15		
	Facility Consolidated(FC)*	District Consolidated(DC)	(FC - DC)**	Facility Consolidated(FC)*	District Consolidated(DC)	(FC - DC)**

Annexure - I

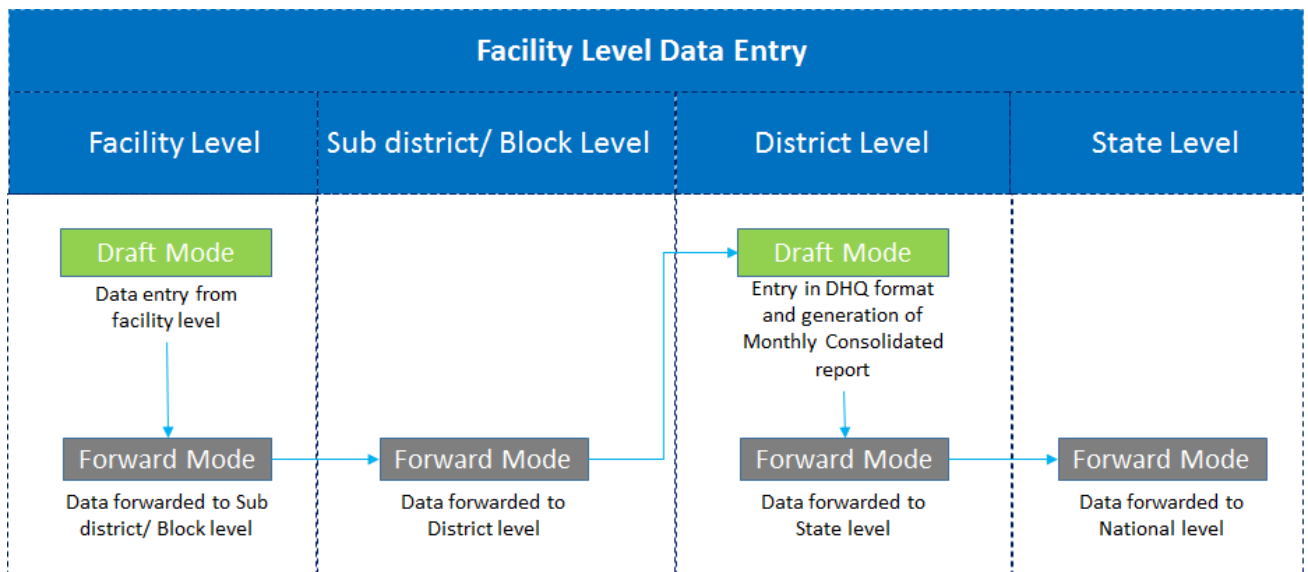
- **Draft Mode:** The MIS monthly data is displayed as draft modes, when data is entered/ uploaded from any level but not submitted/ forwarded. The Monthly MIS data can be in draft mode at Facility, Sub district or at District.
- **Forward Mode:** As and when the Monthly data is forwarded from one level to next level, the Monthly data appears in forwarded mode in previous level.

There are two type of scenarios for draft and forward mode which are listed below:

A. Data Entry – Facility level

Flow of Monthly MIS Data for data entry done at facility level are mentioned below:

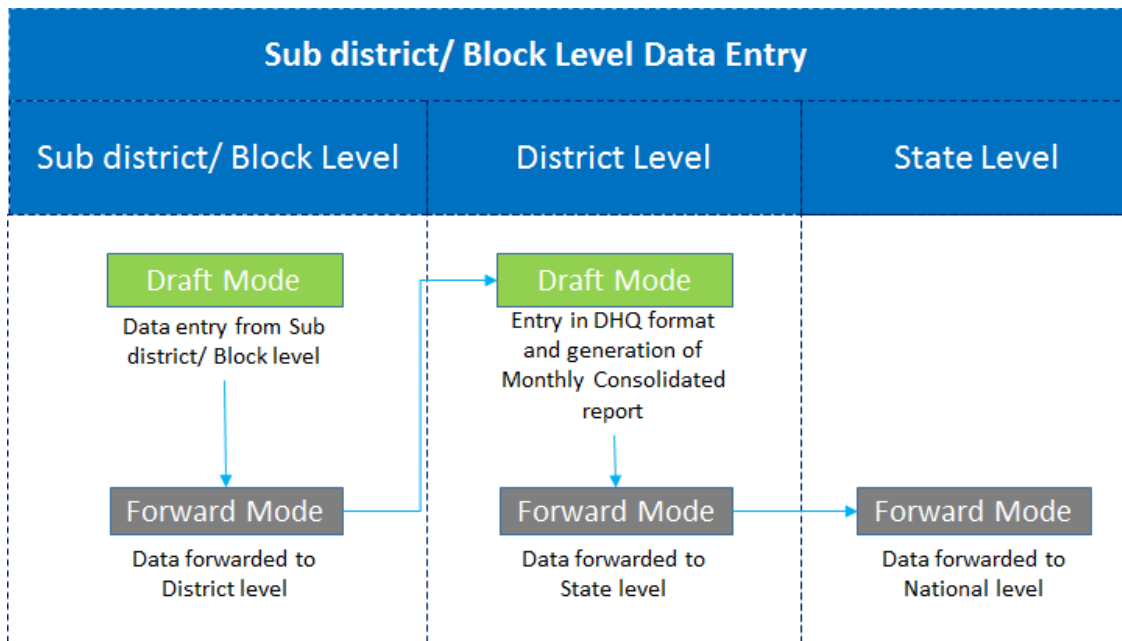
- Data entered by facility level user in the HMIS portal. (**Facility Draft**)
- Data is forwarded from facility level to Sub district/ Block level. (**Facility Forward**)
- Sub district/ Block level user forwards data to District level. (**Sub district Forward**)
- Post filling of DHQ format the MIS data is compiled at District level and Monthly consolidated report is generated. (**Monthly Consolidation**)
- District level user forwards data to State level. (**District Forward**)
- State level user finally forwards data to National level. (**State Forward**)



B. Data Entry – Sub district/ Block level

Data flow channels for data entry done at Sub district/ Block level are mentioned below:

- a. Data entered by Sub district/ Block level in the HMIS portal. (***Sub district/ Block Draft***)
- b. Sub district/ Block level user forwards data to District level. (***Sub district Forward***)
- c. Post filling of DHQ format the MIS data is compiled at District level and Monthly consolidated report is generated. (***Monthly Consolidation***)
- d. District level user forwards data to State level. (***District Forward***)
- e. State level user finally forwards data to National level. (***State Forward***)



Annexure - II

Going forward, the provision of Auto Compilation will be introduced in the HMIS application where MIS data from facility level will be auto forward to next level, if not manually forwarded and similarly the data of all the facilities in respective district will be auto compiled, if not compiled manually by District User. This is to avoid partial compilation and delay in forwarding of data from Sub-district level to District level. Hence there would be a procedure that will compile the data at District Level from back-end.

In addition to that we will also have a manual compilation feature by which the user may force the compilation at real-time to get reports on compiled data including data entered on that particular day, before the procedure of auto-compilation has run. Detailed reports shall be generated, which will give a brief summary to various users regarding status of Auto or Manual Compilation at District level and Auto or Manual forwarding from facility to district level and subsequently till national level.

Data flow of MIS data at various level with timelines is mentioned in diagram below:

