



Facility:

Date:

- **Tool Name:** Regulatory District Hospital Inspection tool v1.3 - Final
- **HEs Type:** Hospitals
- **Sector:** Public
- **Specialization:** District
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36 Medical Records_ Storage And Archives

Domain 36.2 CLINICAL GOVERNANCE AND CLINICAL CARE

Sub Domain 36.2.1 6 User health records and management

Standard 36.2.1.1 6(1) The health establishment must ensure that health records of health care users are protected, managed and kept confidential in line with section 14, 15 and 17 of the Act.

Criterion 36.2.1.1.1 6(2)(a) The health establishment must have a health record filing, archiving, disposing, storage and retrieval system which complies with the law.

36.2.1.1.1.1 Health record department personnel responsible for records management have received training in the management of health records.

Assessment type: Document - **Risk rating:** Essential measure

Documented evidence of training is required, including, but not limited to, training certificates for external training attended, or attendance registers for in-house training. Documentation must confirm the aspects of records management covered by the training. Score 1 if the documented evidence of training is available and 0 if not available

Score	Comment

Aspects	Score	Comment
1. Accessing of user records		
2. Requests for user records		
3. Retrieval of user records		
4. Tracking of user records		
5. Filing of user records		
6. Storage of user records		
7. Archiving of records		
8. Disposal of records		

Criterion 36.2.1.1.2 6(2)(c) The health establishment must secure health records with appropriate security control measures in the records storage area and in the clinical service area in accordance with the Protection of Personal Information Act, 2013 (Act No. 4 of 2013).

36.2.1.1.2.1 The health records storage and archive areas comply with the requirements listed below.

Assessment type: Observation - **Risk rating:** Vital measure

Inspect the room used to store health records and archives to verify whether it complies with the requirements listed below. Score 1 if compliant and 0 if not compliant

Score	Comment

Aspects	Score	Comment
1. Access control measures are in place. Explanatory note: This includes, but is not limited to, a functional and monitored lockable security gate, strong room door, access-controlled door or closed-circuit television		
2. "No unauthorised entry" sign on door to records storage area		
3. Area has very small windows. (In instances where the area has big windows; dark blinds must be installed and be kept closed as light may be harmful to records)		
4. Shelves or cabinets are made of coated metal		
5. Storage area has aisles and shelves that are labelled correctly according to approved standardised filing system.		
6. Storage area has counter and/or sorting table		
7. Functional electric lighting		
8. Storage area is kept clean and dust free		
9. Storage area is free of rodents and other pests		

Standard 36.2.1.2 6(3) The health establishment must create and maintain a system of health records of users in accordance with the requirements of section 13 of the Act.

Criterion 36.2.1.2.1 6(4)(a) The health establishment must record the biographical data of the user and the identification and contact information of the user and his or her next of kin.

36.2.1.2.1.1 Biographical, demographic and contact information of the user is recorded in the user record.

Assessment type: Patient record audit - **Risk rating:** Vital measure

Select three records of users who were seen in the past three months. Using the checklist below verify whether user records comply with the requirements.

Score	Comment

Unit 1 User record 1

Aspects	Score	Comment
1. User's name and surname		
2. User health record number		
3. User's residential address		
4. User contact details (parent or guardian if user is a minor)		
5. User's date of birth		

6. Nationality		
7. Identity number (South African citizens) or passport number (non-South African citizens)		
8. Gender		
9. Name of next of kin		
10. Contact details of next of kin		
11. Home language		
12. Religion		

Unit 2 User record 2

Aspects	Score	Comment
1. User's name and surname		
2. User health record number		
3. User's residential address		
4. User contact details (parent or guardian if user is a minor)		
5. User's date of birth		
6. Nationality		
7. Identity number (South African citizens) or passport number (non-South African citizens)		
8. Gender		
9. Name of next of kin		
10. Contact details of next of kin		
11. Home language		
12. Religion		

Unit 3 User record 3

Aspects	Score	Comment
1. User's name and surname		
2. User health record number		
3. User's residential address		
4. User contact details (parent or guardian if user is a minor)		
5. User's date of birth		

6. Nationality		
7. Identity number (South African citizens) or passport number (non-South African citizens)		
8. Gender		
9. Name of next of kin		
10. Contact details of next of kin		
11. Home language		
12. Religion		

Sub Domain 36.2.2 7 Clinical management

Standard 36.2.2.1 7(1) The health establishment must establish and maintain clinical management systems, structures and procedures that give effect to national policies and guidelines.

Criterion 36.2.2.1.1 7 Healthcare providers are informed on the health establishment and their specific responsibilities.

36.2.2.1.1.1 Health care personnel have been informed about the Standard Operating Procedures of the unit and health establishment.

Assessment type: Document - **Risk rating:** Essential measure

Documented evidence that personnel have been informed about the Standard Operating Procedures of the unit and health establishment must be available. This could include but is not limited to distribution lists which include personnel signatures to indicate they have read and understood the document (which must be dated and signed), proof of attendance at meetings where policies, guidelines and standard operating procedures are discussed, or similar evidence for electronic distribution. Score 1 if such evidence is available and score 0 if it is not available.

Score	Comment

Aspects	Score	Comment
1. Confidentiality of user health records		
2. Security of health records in medical records		

Standard 36.2.2.2 7(2) (b) A health establishment must establish and maintain systems, structures and programmes to manage clinical risk.

Criterion 36.2.2.2.1 7 The health establishment implements process to ensure environmental cleanliness.

36.2.2.2.1.1 All work completed is verified by the cleaning supervisor or delegated personnel.

Assessment type: Document - **Risk rating:** Essential measure

Daily inspections will ensure the cleanliness of the unit. The person responsible for overseeing the cleaning service must inspect the unit daily to confirm that cleaning has been carried out according to the schedule and that all areas attended to have been effectively cleaned. Monitoring tools (including, but not limited to, checklists/tick sheets) listing all cleaning tasks must be completed for each room or area. Not applicable: Never

Score	Comment

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36.2.2.2.1.2 The unit is observed to be clean.

Assessment type: Observation - **Risk rating:** Vital measure

Inspector to observe general cleanliness of the unit including but not limited to whether the unit is free of dirt and stains. Not applicable: Never

Score	Comment

Domain 36.4 GOVERNANCE AND HUMAN RESOURCES

Sub Domain 36.4.1 20 Occupational health and safety

Standard 36.4.1.1 20(1) The health establishment must comply with the requirements of the Occupational Health and Safety Act, 1993.

Criterion 36.4.1.1.1 20(2)(b) Awareness of safety and security issues must be promoted

36.4.1.1.1.1 The emergency evacuation plan is prominently displayed.

Assessment type: Observation - **Risk rating:** Essential measure

The evacuation plan must include but is not limited to route/directions to be followed during evacuation, emergency exits and assembly point(s). This must be visibly displayed. Not applicable: Never

Score	Comment

36.4.1.1.1.2 The healthcare personnel are familiar with the emergency evacuation procedure.

Assessment type: Staff interview - **Risk rating:** Essential measure

Interview three health care personnel to establish whether they are able to explain the evacuation procedure as illustrated in the evacuation plan. Score 1 if they explain the procedure as illustrated in the evacuation plan and 0 if not. Where no evacuation plan is available, this measure must be scored 0.

Score	Comment

Aspects	Score	Comment
1. Healthcare personnel 1		
2. Healthcare personnel 2		
3. Healthcare personnel 3		

Domain 36.5 FACILITIES AND INFRASTRUCTURE

Sub Domain 36.5.1 14 Management of buildings and grounds

Standard 36.5.1.1 14(1) The health establishment and their grounds must meet the requirements

of the building regulations.

Criterion 36.5.1.1.1 14(2)(b) The health establishment must as appropriate for the type of buildings and grounds of the establishment have a maintenance plan for buildings and the grounds.

36.5.1.1.1.1 No obvious safety hazards are observed during the visit.

Assessment type: Observation - **Risk rating:** Vital measure

Inspect the surroundings for maintenance-related safety hazards in the unit. This will include but is not limited to loose electrical wiring, collapsing ceiling, roof, doors or any other type of safety hazards that represent a risk to the health and safety of personnel, users and visitors. Not applicable: Never

Score	Comment

Criterion 36.5.1.1.2 14(2)(d) The health establishment must as appropriate for the type of buildings and grounds of the establishment have ventilation systems that maintain the inflow of fresh air, temperature, humidity and purity of the air within specified limits set for different service areas such as theatres, kitchen and isolation units.

36.5.1.1.2.1 Medical records and archive section has natural ventilation or functional mechanical ventilation.

Assessment type: Observation - **Risk rating:** Essential measure

The national building regulations stipulate that satisfactory ventilation is only provided by forcing outdoor air into a space mechanically or passively through either ducting or apertures open to the outside, including, but not limited to, windows or ventilation grilles. Verify whether the medical records and archive has natural ventilation (windows and doors that can be opened) or functional mechanical ventilation (i.e. a ducting system). Not applicable: Never

Score	Comment