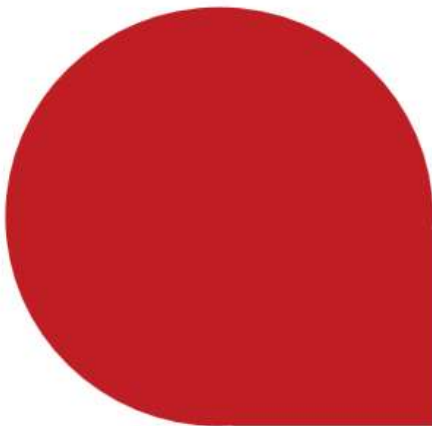




Office of Health Standards Compliance
Ensuring quality and safety in health care



Medical Records_ Storage And Archives

v1.2.1

**Regulatory Private Acute
Hospital Inspection tool**

Facility:
Date:

- **Tool Name:** Regulatory Private Acute Hospital Inspection Tool v1.2.1
- **HEs Type:** Hospitals
- **Sector:** Private
- **Specialization:** Private Acute Hospital
- **Created By:** Health Standards Development and Training

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 The policy or standard operating procedure or procedure or guideline for the key functions of health records management is available.

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

The aspects listed below are included and explained in the policy or standard operating procedure or procedure or guideline. Score 1 if the aspect is included and explained, score 0 if it is not included or included but not explained. The document must as minimum comply with the following requirements: Title of the document, Name of the health establishment or hospital group, signed and dated by the relevant authority responsible for approving the document, designation of the approver, date of implementation or approval, date of next review. Documents must be reviewed regularly up to the maximum of every 5 years. Document could be from the corporate head office. The document can be manual or electronic. The information may be detailed in a single document or in several documents.

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

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

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

Documented evidence of training or induction is required, including, but not limited to, training certificates for external training attended, or attendance registers for in-house training or induction.

Documentation must confirm the aspects of records management covered by the training or induction. Score 1 if the documented evidence is available and 0 if not available.

Score	Comment

Unit 1 Healthcare personnel 1

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

Unit 2 Healthcare personnel 2

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

Unit 3 Healthcare personnel 3

Aspects	Score	Comment
1. Accessing of user records		
2. Requests for user records		
3. Tracking of user records		
4. Filing of user records		

5. Storage of user records		
6. Archiving of records		
7. 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 area complies 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. Storage area has aisles and shelves that are labelled		
4. Storage area has counter and/or sorting table		
5. Functional electric lighting		
6. Storage area is kept clean and dust free		

Standard 36.2.1.2 6(5) The health establishment must have a formal process to be followed when obtaining informed consent from the user.

Criterion 36.2.1.2.1 6 The health establishment must ensure that confidential information or user-identifiable data is not divulged without prior consent as per legislation.

36.2.1.2.1.1 Consent is obtained from a user before user-identifiable information is communicated to the third party.

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

Select three records from the previous twelve months of users who have given consent to release their identifiable information to a third party, including, but not limited to, lawyers, insurance companies and statutory bodies. Score 1 if a signed consent form is available and 0 if not available. Score not applicable where no such requests have been made in the past twelve months. Zero reporting must be available if there were no requests.

Score	Comment	
Aspects	Score	Comment
1. Record 1		
2. Record 2		
3. Record 3		

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 Health care personnel must be informed about standard operating procedure and guidelines.

36.2.2.1.1.1 Health care personnel have been informed about the policy or standard operating procedure or procedure or guideline of the unit and health establishment.

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

Documented evidence that personnel have been informed about the policy or standard operating procedure or procedure or guideline 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 which could include but not limited to email distribution or documents deposited in intranet or other electronic platforms. 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		
3. Obtaining user consent if user-identifiable information is to be communicated to a third party		

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 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		

Official Sign-Off

The National Health Act, 2003 (Act No. 61 of 2003) provides for quality requirements and standards in respect of health services provided by health establishments to the public. The main objective is to promote and protect the health and safety of the users of health services and contribute to improved outcomes and improved population health.

To achieve this mandate standardised inspection tools aligned to Norms and Standards Regulations applicable to different categories of health establishments promulgated by the Minister of Health in 2018 have been developed for Private Acute Hospitals.

Acknowledgments

Many people have contributed to the update of the Private Acute Hospital Inspection Tools version 1.2.1. The Office of Health Standards Compliance wishes to extend the most heartfelt acknowledgment and gratitude to the following:

- Health Standards Development and Training unit team (Ms. Izelle Loots, Mr. Jabu Nkambule, Ms. Busisiwe Mashinini, Ms. Derelene Hans, and Ms. Andiswa Mafilika) for the update of the Private Acute Hospital inspection tools.
- The internal OHSC teams (Compliance Inspectorate, for their contribution during the update of the Private Acute Hospital inspection tools).

It is hereby certified that the Regulatory Private Acute Hospital Inspection tools version 1.2.1 was updated by the Office of Health Standards Compliance.



SIGNATURE:

MS. WINNIE MOLEKO

EXECUTIVE MANAGER: HEALTH STANDARDS, DEVELOPMENT ANALYSIS AND SUPPORT

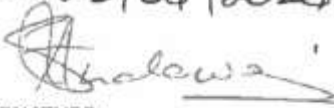
DATE: 1804/2024

SIGNATURE:

DR MATHABO MATHEBULA

CHIEF OPERATIONS OFFICER: OHSC

DATE: 23/04/2024

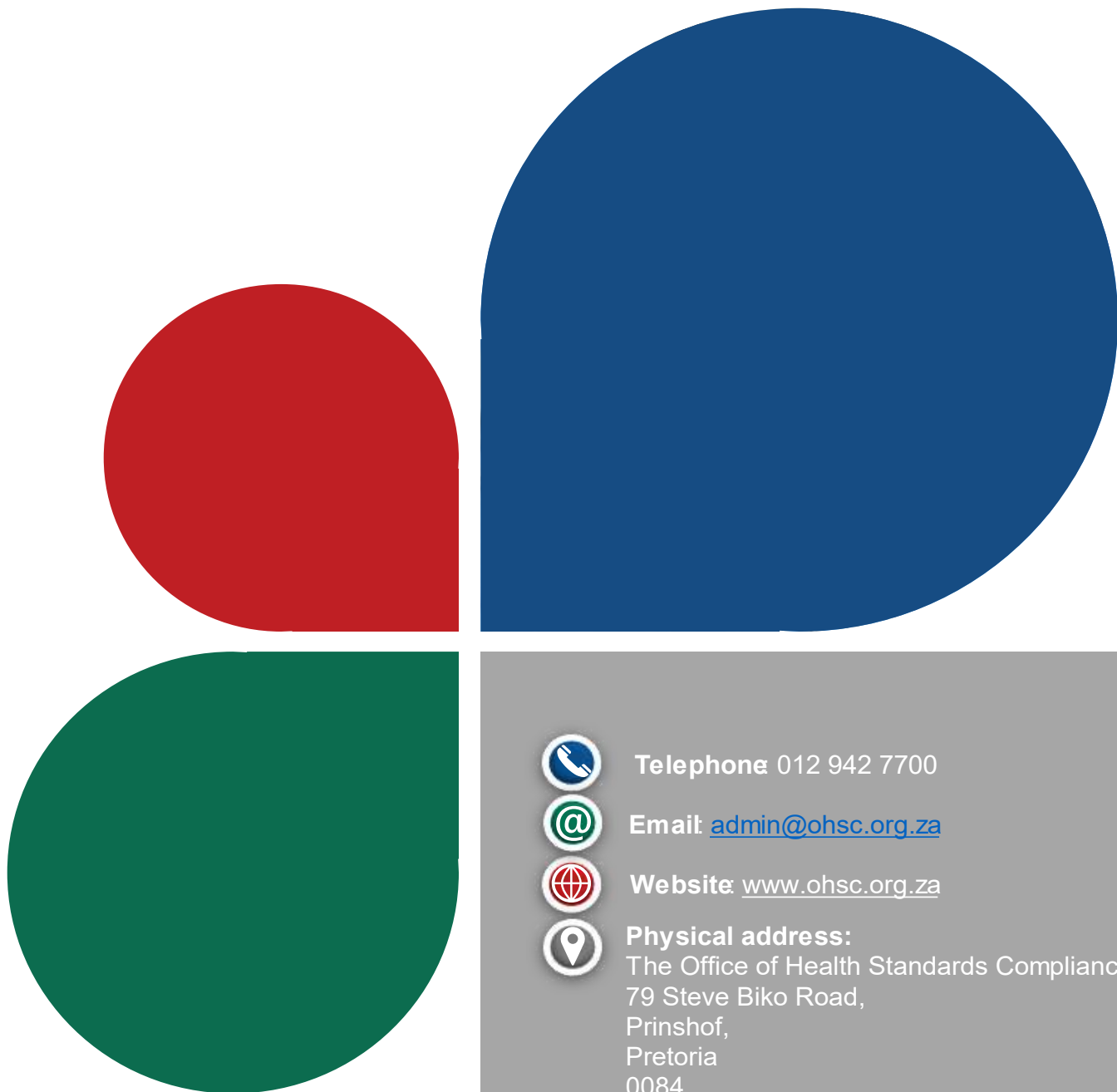


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