

Draft National Clinical Record Audit Guideline for Primary Health Care Facilities

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TABLE OF CONTENTS

1. Purpose of the Guideline	2
2. Introduction.....	2
3. Conducting the Clinical Record Audit.....	3
3.1 Choosing the Topic	3
3.2 Setting the Standard.....	3
3.3 Data Collection.....	4
3.4 Data Analysis	5
3.5 Clinical audit meetings	6
3.6 Sustaining improvements and repeating the audit	7
4. Clinical Record Audit measures for priority health conditions.....	8
4.1 Clinical Audit Tool for HIV and TB	8
4.2 Clinical Audit Tool for Diabetes and Hypertension.....	10
4.3 Clinical Audit Tool for Maternal Health	12
4.4 Clinical Audit Tool for Well child	16
4.5 Clinical Audit Tool for Integrated Management of Childhood Illness	19
5. References.....	22

List of figures

Figure 1: Clinical Audit Cycle	3
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List of tables

Table 1: Audit Schedule.....	4
Table 2: Lot Quality Assurance Sampling (LQAS) table	5
Table 3: Summary of results of clinical record audit	6

List of annexures

Annexure A: Quality Improvement Plan	23
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1. Purpose of the Guideline

This Guideline was developed to conduct clinical record audits in Primary Health Care facilities as set out in the Ideal Clinic Framework, i.e. “Clinical audits are conducted quarterly on priority health conditions”. This guideline is complimentary to the checklist for patient record compliance to Integrated Clinical Services Management in the Ideal Clinic framework.

The purpose of the this guideline to conduct clinical record audits is to enhance the quality of clinical care provided at facility level and promote adherence to the National Guidelines for the management of national priority health conditions.

The template does not replace the in-depth programme reviews that will take place from time to time. The Guideline in no way replaces existing approved provincial guiding documents but is intended to provide guidance to those provinces that do not have existing guidelines to conduct clinical audit on priority health conditions.

2. Introduction

Clinical (or medical) audits form part of the continuous quality improvement process and consist of measuring a clinical outcome or a process, against well-defined standards set on the principles of evidence-based medicine.

The aim of the audit is to highlight the discrepancies between actual practice and standard in order to identify the changes needed to improve the quality of care.

Clinical audit consists of a “quality loop” (Figure1):

- Select an audit topic
- Set measurable criteria and standards
- Evaluate current clinical practice especially in terms of process or outcome
- Develop improvement interventions
- Implement improvement plan
- Cycle can begin again¹.

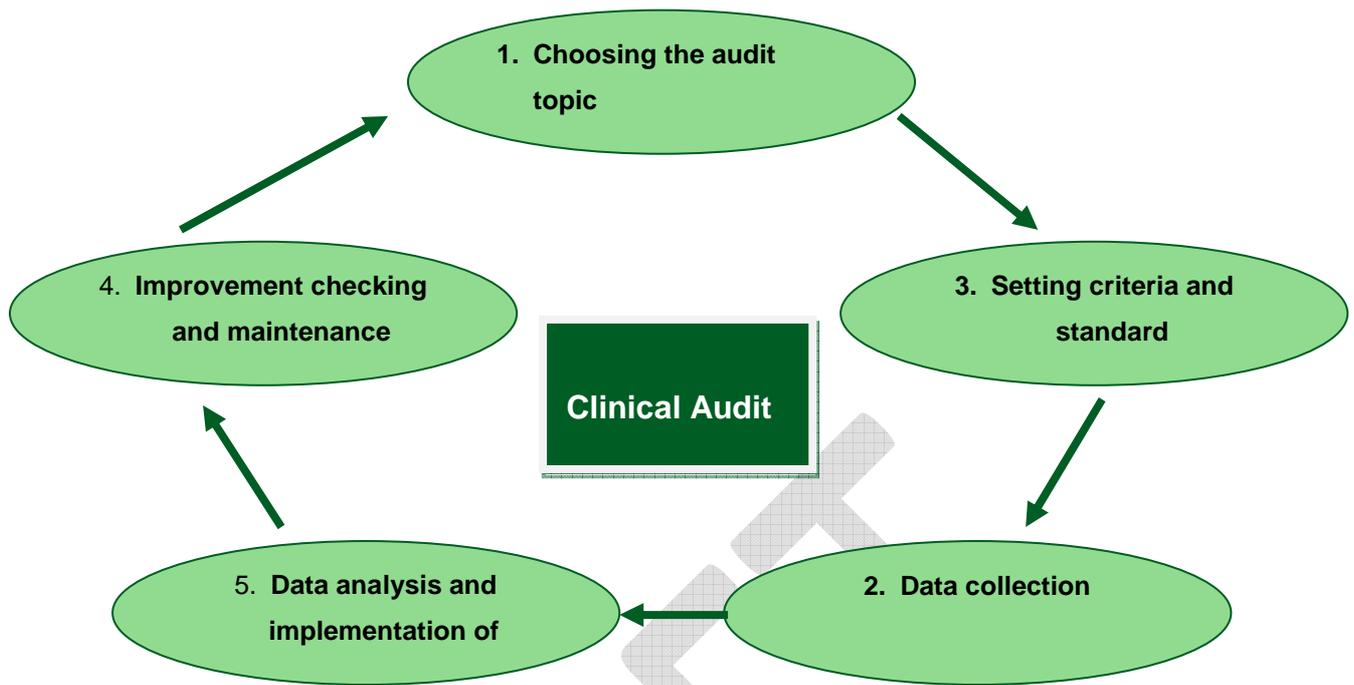


Figure 1: Clinical Audit Cycle

3. Conducting the Clinical Record Audit

3.1 Choosing the Topic

The National Department of Health has defined priority areas based on the disease burden and utilisation of services at primary health care facilities that should be audited on an annual basis:

- Non Communicable Diseases - Hypertension and Diabetes
- Chronic communicable diseases - Human Immune Deficiency Virus (HIV) and Tuberculosis (TB)
- Maternal Health - Antenatal Care (ANC) and Post Natal Care (PNC)
- Children - Well baby and Sick child

3.2 Setting the Standard

The standards against which the audit will be conducted have been designed based on the National Guidelines for each of the priority health condition. For the purposes of the audit the target is that **80%** of all assessed patient records should fulfil the criteria as defined, see page 7 to 22.

3.3 Data Collection

The Adult Primary Care (APC) facility trainer should be the coordinator or audit team leader and assemble an internal audit team (medical practitioner and/or clinical nurse practitioner) if necessary.

An audit will be conducted on the priority areas as per the schedule defined in **Table 1**. Nineteen patient records should be audited annually for each of the priority health conditions listed in table 1¹.

Table 1: Audit Schedule

PRIOTIRY HEALTH CONDITIONS	Month when audit to be conducted
HIV/TB	Apr/May
NCD (diabetes and hypertension)	Jun/Jul
Maternal health (ANC &PNC)	Aug/Sept
Well baby	Oct/Nov
Sick child (IMCI)	Feb/March

An audit will be conducted retrospectively using the patient records as the source document.

The patient records to be audited should be selected as follow:

- a. Lot quality assurance sampling will be used for the purposes of the clinical audit.
- b. Two weeks prior to the audit - select the patient clinical records for the condition to be audited. Choose patient clinical records that have been active in the past one year.
- c. On the date of the audit randomly select the 1st clinical record from the list that you have.
- d. Thereafter sample every 3rd patient record until you reach the 19 clinical records required for each of the priority health condition to be audited.
- e. Use the checklist (see page 7 to 22) provided for each of the conditions identified and audit the relevant clinical record.

¹ A sample size of 19 provides an acceptable level of error for making management decisions; at least 92% of the time, it identifies whether a coverage benchmark has been reached 19 is the smallest sample size that allows at least 90% sensitivity and specificity for all benchmarks or targets of 10%-95%.

3.4 Data Analysis

Determine the baseline when conducting the initial audit by counting the number of clinical records that comply with 100% of the criteria as per the clinic audit measures checklist (see page 7 to 22). Using the Lot Quality Assurance Sampling (LQAS) method, see **Table 2**, determine the percentage compliance for each priority health condition. For example, if 7 records out of the 19 comply with 100% of the criteria in checklist, then the baseline will be 50% as a standard. If 9 clinical records comply with 100% of the criteria, then the baseline will be 60%.

The target set for compliance is 80%; therefore 13 clinical records should meet 100% of the criteria to be compliant.² The baseline results should be improved until the target is met.

Table 2: Lot Quality Assurance Sampling (LQAS) table

LQAS Table: Decision Rules for Sample Sizes of 12–30 and Coverage Targets/Average of 10%–95%																		
Sample Size*	Average Coverage (Baselines)/Annual Coverage Target (Monitoring and Evaluation)																	
	10%	15%	20%	25%	30%	35%	40%	45%	50%	55%	60%	65%	70%	75%	80%	85%	90%	95%
12	N/A	N/A	1	1	2	2	3	4	5	5	6	7	7	8	8	9	10	11
13	N/A	N/A	1	1	2	3	3	4	5	6	6	7	8	8	9	10	11	11
14	N/A	N/A	1	1	2	3	4	4	5	6	7	8	8	9	10	11	11	12
15	N/A	N/A	1	2	2	3	4	5	6	6	7	8	9	10	10	11	12	13
16	N/A	N/A	1	2	2	3	4	5	6	7	8	9	9	10	11	12	13	14
17	N/A	N/A	1	2	2	3	4	5	6	7	8	9	10	11	12	13	14	15
18	N/A	N/A	1	2	2	3	5	6	7	8	9	10	11	11	12	13	14	16
19	N/A	N/A	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16
20	N/A	N/A	1	2	3	4	5	6	7	8	9	11	12	13	14	15	16	17
21	N/A	N/A	1	2	3	4	5	6	8	9	10	11	12	13	14	16	17	18
22	N/A	N/A	1	2	3	4	5	7	8	9	10	12	13	14	15	16	18	19
23	N/A	N/A	1	2	3	4	6	7	8	10	11	12	13	14	16	17	18	20
24	N/A	N/A	1	2	3	4	6	7	9	10	11	13	14	15	16	18	19	21
25	N/A	1	2	2	4	5	6	8	9	10	12	13	14	16	17	18	20	21
26	N/A	1	2	3	4	5	6	8	9	11	12	14	15	16	18	19	21	22
27	N/A	1	2	3	4	5	7	8	10	11	13	14	15	17	18	20	21	23
28	N/A	1	2	3	4	5	7	8	10	12	13	15	16	18	19	21	22	24
29	N/A	1	2	3	4	5	7	9	10	12	13	15	17	18	20	21	23	25
30	N/A	1	2	3	4	5	7	9	11	12	14	16	17	19	20	22	24	26

N/A: *Not applicable*, meaning LQAS can not be used in this assessment because the coverage is either too low or too high to assess an SA. This table assumes the lower threshold is 30 percentage points below the upper threshold.

Lighter shaded cells indicate where *alpha* or *beta* errors are ≥ 10%.

Darker shaded cells indicate where *alpha* or *beta* errors are > 15%.

² The number 13 is determined based on statistical calculation and is **not an arithmetic proportion**, see **Table 2**. If the true percentage of the clinical records meeting 100% in the facility for that specific condition were **80%**, 13 or more in a sample of 19 records will be compliant more than 90% of the time. (Conversely, one would get less than 13 records being non-compliant less than 10% of the time.)

Record the results of the record audit in **Table 3**. In column A complete the number of records that were 100% compliant and in column B complete the percentage obtained according to the LQAS table.

Table 3: Summary of results of clinical record audit

Priority Health Condition	Column A Number of Clinical Records sampled	Column B Number of clinical records complying with 100% criteria	Column C % Obtained (use the LQAS table to look-up the percentage)
HIV and TB	19	7 (example)	50% (example)
Diabetes and Hypertension	19	9 (example)	60% (example)
Maternal care	19		
Well child	19		
Integrated Management of childhood illness	19		
TOTAL/AVERAGE	95		

3.5 Clinical audit meetings

Clinic audit meetings should be conducted once a quarter as set out in the Ideal Clinic Framework. The audit results must be presented and discussed with the rest of the team and relevant facility, sub-district and/or district stakeholders. The potential cause of the problem must be identified, agreed upon and recommendations made for change. Use the template of the Quality Improvement Plan (QIP) as set out in the Ideal Clinic Manual, see Annexure A. Add the QIP under the section for additional areas for improvement and complete the columns for item, activity, by whom, when and results.

3.6 Sustaining improvements and repeating the audit

It is important to sustain improvements and repeat the audit cycle where and if needed.

Follow these criteria to ensure sustainability:

- You need to re-audit to check the changes have made the difference you expected?
- Don't re-audit until you have made the changes.
- The re-audit should use the same design as the audit.
- You only need to re-audit standards where changes have been made (unless the changes may have affected other standards)
- If these improvements are sustained, some form of monitoring should replace a full audit. The team should develop structures and systems that integrate, monitor, and sustain the improvements implemented as part of clinical audit. But if performance deteriorates, the full audit should be reactivated.

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4. Clinical Record Audit measures for priority health conditions

4.1 Clinical Audit Tool for HIV and TB (score “1” if compliant or “0” if non-compliant)

Facility name																					
Audit lead																					
Audit topic		Clinical Record Audit for HIV and TB																			
Aim/objective of the audit		Assess the adherence to prescribed standards for treatment of patients with HIV and TB																			
Exclusion criteria (where applicable)		Patients that no longer follow up at the facility																			
Period for Audit																					
No	Measurement Criteria	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	Total
1	Patient initiated on ART within 1 week or 8 weeks (HIV positive with TB – co infection, Hepatitis B)																				
2	Patient on 1 st line regimen of TDF, FTC/3TC, EFZ (Fixed Dose Combination)																				
3	FBC, ALT or fasting cholesterol test done for clients who are on non TDF based ART regimens																				
4	Viral load after 6 and 12 months of ART initiation done and recorded																				
5	Any side effects/adverse incident recorded																				
6	Any switching of regimen done, if Yes, why (see comments section)																				
7	Children < 15 years initiated on ART																				
8	Children who started on Children regimen switched to Adult regimen at >15 years Old																				

4.2 Clinical Audit Tool for Diabetes and Hypertension (score “1” if compliant or “0” if non-compliant)

Facility name																						
Audit lead																						
Audit topic		Clinical Record Audit for Diabetes and Hypertension																				
Aim/objective of the audit		Assess the adherence to prescribed standards for treatment of patients with Diabetes and Hypertension																				
Exclusion criteria (where applicable)		Patients that no longer follow up at the facility																				
Period for Audit																						
No	Measurement Criteria	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	Total	
1	Last BP reading < 140/90																					
2	If the BP>140/90, was there an action taken on the abnormal result?																					
3	Annual BMI or waist circumference:																					
4	Annual urine dipsticks done:																					
5	Annual recording of serum Creatinine:																					
6	Annual Foot Exam:																					
7	Annual Eye Screening																					
8	Annual HbA1C for confirmed diabetics																					
9	If HbA1c above target was action taken?																					
10	Has a Random Total Cholesterol ever been done:																					
11	If a patient qualifies for simvastatin according to policy, did patient receive it?																					

12	Does the patient who qualifies for aspirin for secondary prevention, according to policy receive it?																			
13	Annual Random blood glucose done for hypertension patients																			
14	Has a cardiac risk assessment been done at least one?																			
15	If no record of being HIV+, was the patient offered an HIV test in the last year?																			
16	Health promotion provided (life style modification)																			
Grand Total																				
Average % (Grand Total/16)																				
Number of records that scored 100%		(13 of the 19 record must have scored 100% to comply with the target set for 80%)																		

4.3 Clinical Audit Tool for Maternal Health (score “1” if compliant or “0” if non-compliant)

Facility name																						
Audit lead																						
Audit topic		Clinical Record Audit for Maternal Health																				
Aim/objective of the audit		Assess the adherence to prescribed standards for managing pregnant women																				
Exclusion criteria (where applicable)		Patients that no longer follow up at the facility																				
Period for Audit																						
NO	Measurement Criteria	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	Total	
1	Full History taken (Medical, Past Obstetric)																					
2	Full clinical examination																					
3	Estimated date of delivery calculated																					
4	Blood pressure taken																					
5	Maternal height/weight/MUAC																					
6	Haemoglobin test																					
7	RPR performed																					
8	Urine tested for protein, sugar, nitrites																					
9	Rapid Rh performed																					
10	HIV counselling and testing																					
11	ART for HIV-infected women																					
12	Tetanus toxoid given																					
13	Iron and folate supplementation provided																					
14	Calcium supplementation																					

4.4 Clinical Audit Tool for Well child (score “1” if compliant or “0” if non-compliant)

Facility name																					
Audit lead																					
Audit topic		Clinical Record Audit for Well Children																			
Aim/objective of the audit		Assess the adherence to prescribed standards for managing children who are well																			
Exclusion criteria (where applicable)		Patients that no longer follow up at the facility																			
Period for Audit																					
No	Measurement Criteria	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	Total
1 week assessment																					
1	Type Feeding recorded																				
2	Urine passed?																				
3	Passed stool?																				
4	Temperature recorded																				
5	Assessment of colour																				
6	Jaundice (Y?N)																				
7	Conjunctive examined																				
8	Umbilical cord examined?																				
6 week examination																					
9	Type Feeding recorded																				
10	Sleeping pattern noted?																				
11	Weight recorded																				
12	Head circumference recorded																				
13	Jaundice:																				
14	Pale																				

15	Cyanosis:																			
16	Responds to sound:																			
17	Eyes (white spot)																			
18	Thrush																			
19	Fontanel abnormal (anterior)																			
20	Heart murmur																			
21	Abdominal mass:																			
22	Vaccination provided																			
23	PCR test done																			
24	Bactrim prophylaxis:																			
25	Vitamin A supplementation:																			
10 weeks examination																				
26	10 weeks vaccination recorded																			
27	Weight recorded																			
28	Developmental screening conducted																			
14 weeks examination																				
29	14 weeks vaccination recorded																			
30	Weight recorded																			
31	Developmental screening conducted																			
9 months examination																				
32	9 months weeks vaccination recorded																			
33	Weight recorded																			
34	Developmental screening conducted																			

18 month examination																				
35	18 months weeks vaccination recorded																			
36	Weight recorded																			
37	Developmental screening conducted																			
38	Health promotion provided (life style modification)																			
39	Health promotion provided (life style modification)																			
Grand Total																				
Average % (Grand Total/39)																				
Number of records that scored 100%		(13 of the 19 record must have scored 100% to comply with the target set for 80%)																		

4.5 Clinical Audit Tool for Integrated Management of Childhood Illness (score “1” if compliant or “0” if non-compliant)

Facility name																					
Audit lead																					
Audit topic		Clinical Record Audit for Integrated Management of Childhood Illness																			
Aim/objective of the audit		Assess the adherence to prescribed standards for managing children who are unwell																			
Exclusion criteria (where applicable)		Patients that no longer follow up at the facility																			
Period for Audit																					
No	Measurement Criteria	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	Total
Infants (Birth to 2 months)																					
1	Has the infant had convulsions?																				
2	Has the infant had any attacks where he stops breathing, or becomes stiff or blue (apnoea)?																				
3	Measure Temperature																				
4	Babies movement noted																				
5	Eyes inspected																				
6	Skin examined																				
7	Palms and soles examined																				
8	History of diarrhoea																				
9	Blood in stools																				
10	Head circumference																				
11	Priority signs for congenital defects noted																				
12	Abnormalities of head and neck noted																				
13	Abnormalities of limbs noted																				
14	HIV status checked and recorded																				

29	Child with sore throat assessed and managed according to guidelines																				
30	Health promotion provided (life style modification)																				
Grand Total																					
Average % (Grand Total/30)																					
Number of records that scored 100%		(13 of the 19 record must have scored 100% to comply with the target set for 80%)																			

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5. References

1. National Institute for Clinical Excellence. *Principles for Best Practice in Clinical Audit*. Oxon, United Kingdom: Radcliffe Medical Press Ltd, 2002.
2. Davis R. *Rapid Health Surveys: Principles and Sampling Design Handbook*. California: PB Works, 2012.
3. Robertson SE and Valadez JJ. Global review of health care surveys using lot quality assurance sampling (LQAS), 1984-2004. *Soc Sci Med*. 2006; 63: 1648-60.

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