

# Building and Auditing Clinical Protocols: A Documentation Compliance Study



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## Organization History

**CK Birla Healthcare** is a venture designed to transform the provision and culture of healthcare in India. It is a chain of world-class hospitals focused on the healthcare needs of the family delivered with warmth, responsiveness and sensitivity. Their hospitals include state-of-the-art facilities that offer exceptional clinical care in an ethical, compassionate and patient-led environment.

## Vision and Mission

### Vision

To transform the future of healthcare through outstanding clinical outcomes, research, education and compassionate care

### Mission

To bring global standards of clinical expertise and care to patients and their families

## Introduction

In the healthcare sector, clinical documentation serves as a cornerstone for ensuring patient safety, continuity of care, and compliance with national accreditation standards. High-quality documentation not only reflects the accuracy and accountability of healthcare services but also plays a crucial role in medico-legal protection and hospital quality assessments.

This internship project was undertaken at **CK Birla Hospital, Punjabi Bagh, Delhi**, a multi-specialty institution committed to delivering ethical, patient-centric care.

Over the course of the internship, a comprehensive audit was conducted across **15 clinical specialties, reviewing 322 patient files against 18 key documentation parameters.**

## Objective

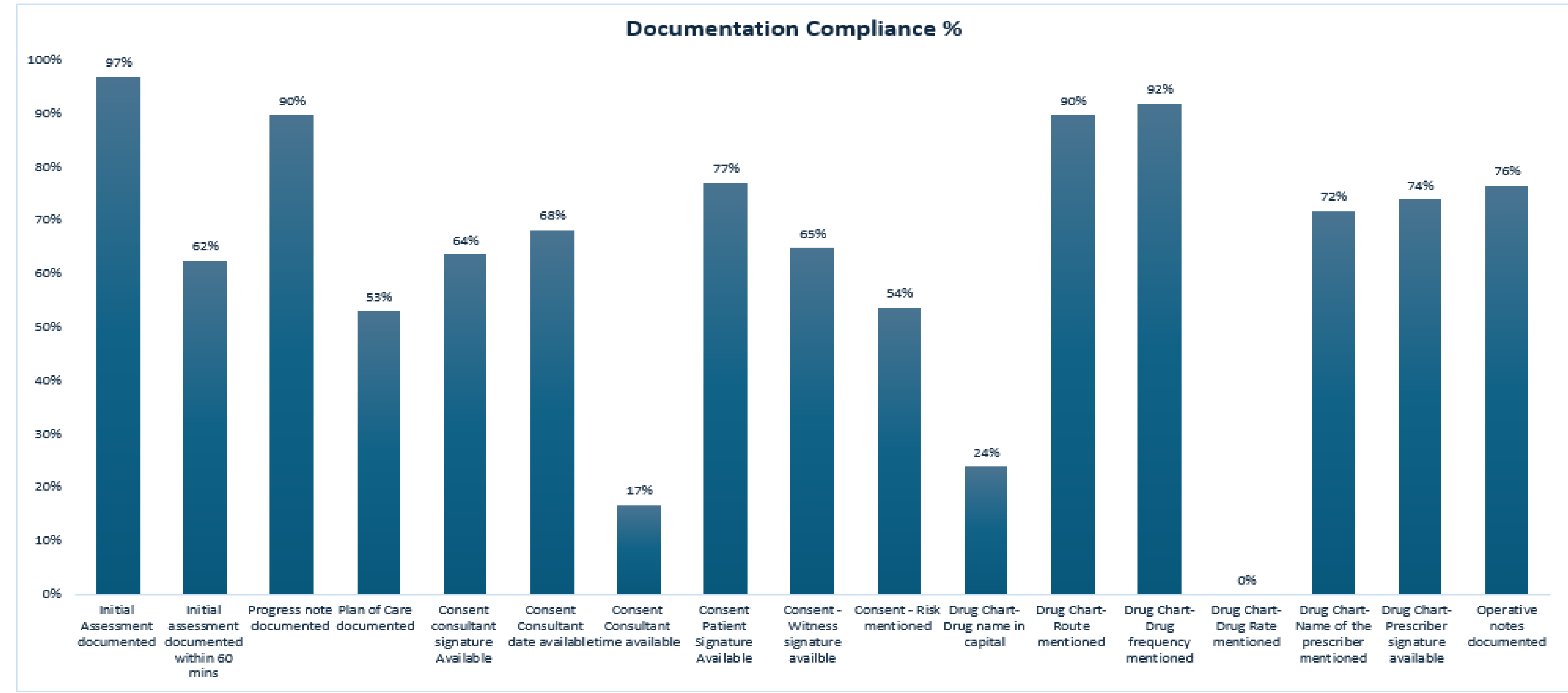
- To assess department-wise compliance with hospital documentation practices in alignment with NABH standards
- Identify strengths, gaps, and areas needing immediate intervention across specialties

## Organization vs.Theoretical Learning

| Aspect                  | Theoretical Learning                            | Organizational (Practical) Learning                         |
|-------------------------|-------------------------------------------------|-------------------------------------------------------------|
| Source                  | Textbooks, lectures, classroom instruction      | Real-time hospital environment, hands-on exposure           |
| Focus                   | Ideal standards, protocols, academic frameworks | Practical constraints, real-life documentation practices    |
| Documentation Standards | NABH/NABL guidelines studied in theory          | Varied compliance, operational workflows, staff constraints |
| Feedback Cycle          | Assessment-based (quizzes, exams)               | Continuous, experience-based (supervisors, audits)          |
| Outcome                 | Knowledge acquisition                           | Skill development, problem-solving, adaptability            |

## Results and Insights (Major Learnings)

### Overall compliance rates



### Compliance rates by Department

| Speciality                         | # files audited | Initial Assessment documented | Initial assessment documented within 60 mins | Progress note documented | Plan of Care documented | Consent consultant signature Available | Consent date available | Consent Consultant time available | Consent Patient Signature Available | Consent - Witness signature available | Consent - Risk mentioned | Drug Chart- Drug name in capital | Drug Chart- Route mentioned | Drug Chart- Drug frequency mentioned | Drug Chart- Drug Rate mentioned | Drug Chart- Name of the prescriber mentioned | Drug Chart- Prescriber signature available | Operative notes documented |
|------------------------------------|-----------------|-------------------------------|----------------------------------------------|--------------------------|-------------------------|----------------------------------------|------------------------|-----------------------------------|-------------------------------------|---------------------------------------|--------------------------|----------------------------------|-----------------------------|--------------------------------------|---------------------------------|----------------------------------------------|--------------------------------------------|----------------------------|
| ENT                                | 4               | 100%                          | 75%                                          | 100%                     | 50%                     | 50%                                    | 75%                    | 25%                               | 75%                                 | 50%                                   | 50%                      | 25%                              | 100%                        | 100%                                 | 0%                              | 100%                                         | 100%                                       | 100%                       |
| Gastroenterology                   | 6               | 100%                          | 50%                                          | 100%                     | 50%                     | 67%                                    | 83%                    | 33%                               | 83%                                 | 67%                                   | 67%                      | 0%                               | 83%                         | 100%                                 | 0%                              | 83%                                          | 83%                                        | 100%                       |
| General Surgery                    | 12              | 100%                          | 75%                                          | 100%                     | 50%                     | 75%                                    | 83%                    | 17%                               | 92%                                 | 92%                                   | 58%                      | 42%                              | 92%                         | 92%                                  | 0%                              | 83%                                          | 75%                                        | 83%                        |
| GI Surgery/GI Oncology/HPB Surgery | 20              | 100%                          | 70%                                          | 90%                      | 60%                     | 65%                                    | 75%                    | 30%                               | 85%                                 | 75%                                   | 70%                      | 40%                              | 90%                         | 95%                                  | 0%                              | 75%                                          | 75%                                        | 94%                        |
| ICU                                | 6               | 100%                          | 83%                                          | 100%                     | 67%                     | 0%                                     | 0%                     | 0%                                | 0%                                  | 0%                                    | 0%                       | 0%                               | 83%                         | 83%                                  | 0%                              | 67%                                          | 100%                                       | -                          |
| Internal Medicine                  | 26              | 100%                          | 65%                                          | 96%                      | 38%                     | 19%                                    | 23%                    | 19%                               | 27%                                 | 31%                                   | 23%                      | 46%                              | 86%                         | 100%                                 | 0%                              | 85%                                          | 77%                                        | -                          |
| Neonatology and Pediatrics         | 17              | 59%                           | 53%                                          | 47%                      | 41%                     | 6%                                     | 24%                    | 18%                               | 24%                                 | 24%                                   | 12%                      | 18%                              | 47%                         | 53%                                  | 0%                              | 35%                                          | 41%                                        | 20%                        |
| Nephrology                         | 5               | 100%                          | 100%                                         | 100%                     | 40%                     | 40%                                    | 60%                    | 20%                               | 60%                                 | 60%                                   | 60%                      | 20%                              | 100%                        | 100%                                 | 0%                              | 80%                                          | 60%                                        | 75%                        |
| Neurosurgery                       | 2               | 100%                          | 50%                                          | 100%                     | 0%                      | 0%                                     | 0%                     | 0%                                | 0%                                  | 0%                                    | 0%                       | 0%                               | 100%                        | 100%                                 | 0%                              | 100%                                         | 50%                                        | -                          |
| Obstetrics and Gynaecology         | 77              | 100%                          | 61%                                          | 90%                      | 62%                     | 82%                                    | 86%                    | 17%                               | 96%                                 | 90%                                   | 75%                      | 13%                              | 96%                         | 94%                                  | 0%                              | 64%                                          | 75%                                        | 96%                        |
| Orthopaedics                       | 94              | 99%                           | 55%                                          | 95%                      | 51%                     | 79%                                    | 83%                    | 16%                               | 94%                                 | 76%                                   | 57%                      | 21%                              | 93%                         | 90%                                  | 0%                              | 72%                                          | 78%                                        | 93%                        |
| Plastics and Aesthetics            | 5               | 100%                          | 60%                                          | 60%                      | 20%                     | 100%                                   | 80%                    | 0%                                | 100%                                | 60%                                   | 80%                      | 60%                              | 80%                         | 100%                                 | 0%                              | 40%                                          | 100%                                       | 100%                       |
| Pulmonology                        | 7               | 100%                          | 71%                                          | 100%                     | 57%                     | 43%                                    | 43%                    | 0%                                | 43%                                 | 14%                                   | 29%                      | 29%                              | 100%                        | 100%                                 | 0%                              | 88%                                          | 71%                                        | 33%                        |
| Surgical Oncology                  | 26              | 92%                           | 69%                                          | 81%                      | 50%                     | 42%                                    | 46%                    | 12%                               | 65%                                 | 38%                                   | 38%                      | 23%                              | 88%                         | 96%                                  | 0%                              | 88%                                          | 65%                                        | 63%                        |
| Urology                            | 11              | 100%                          | 73%                                          | 91%                      | 64%                     | 82%                                    | 73%                    | 27%                               | 64%                                 | 45%                                   | 45%                      | 36%                              | 91%                         | 100%                                 | 0%                              | 73%                                          | 73%                                        | 100%                       |
| Others                             | 4               | 100%                          | 50%                                          | 75%                      | 100%                    | 100%                                   | 75%                    | 0%                                | 100%                                | 75%                                   | 50%                      | 50%                              | 100%                        | 100%                                 | 0%                              | 75%                                          | 50%                                        | 100%                       |
| Weighted average                   | 322             | 97%                           | 62%                                          | 90%                      | 53%                     | 64%                                    | 68%                    | 17%                               | 77%                                 | 65%                                   | 54%                      | 24%                              | 90%                         | 92%                                  | 0%                              | 72%                                          | 74%                                        | 76%                        |

## SWOT Analysis

| Strengths                                                                       | Weaknesses                                                                  |
|---------------------------------------------------------------------------------|-----------------------------------------------------------------------------|
| - High compliance in key areas (Initial Assessment, Drug Route, Progress Notes) | - Poor compliance in certain consent fields (consultant time, risk mention) |
| - NABH-aligned culture of quality and safety                                    | - Lack of standard templates across departments                             |
| - Strong performance in departments like Ortho and Gynae                        | - Drug rate documentation missing (0%) across the board                     |
| Opportunities                                                                   | Threats                                                                     |
| - Introduce digital EMR prompts & auto-validating templates                     | - Resistance to change due to high workload in clinical teams               |
| - Training programs tailored to departments with lower compliance               | - Audit fatigue or underreporting if not incentivized properly              |

## Recommendations

### Training & Sensitization

- Regular workshops on NABH documentation requirements
- Specialty-wise audit feedback sessions

### Standardization & Digital Templates

- Use of pre-designed templates for consent, care plan, drug chart entries
- EMR systems to prompt mandatory fields

### Monitoring & Accountability

- Monthly compliance dashboard per specialty
- Documentation compliance KPIs integrated into appraisal

## Snapshots from Internship



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## Challenges in Compliance

- Lack of Standardization Across Specialties:** Variation in practices even within surgical departments—causes inconsistencies and errors
- Awareness and Training Gaps** - Staff may not be fully trained or updated on evolving NABH requirements
- Time Constraints and Workflow Pressures**
- Accountability & Monitoring Deficits** - No routine feedback loop or enforcement for poor compliance
- Incomplete Adoption of Digital Tools** - Lack of integrated Electronic Medical Records (EMR) or prompt-based systems