

Internal Audit Checklist for Hospitals

IN INDIA

1. Administrative and Governance

A. Statutory Compliances

- ☐ Valid registration under Clinical Establishments Act
- ☐ Valid NABH accreditation status and documentation
- ☐ Valid licenses from Pollution Control Board
- ☐ Valid Fire NOC (No Objection Certificate)
- ☐ Compliance with Biomedical Waste Management Rules
- ☐ Registration under Pre-Conception and Pre-Natal Diagnostic Techniques (PCPNDT) Act (if applicable)
- ☐ Valid Narcotic Drug and Psychotropic Substances license
- ☐ Blood bank license (if applicable)
- ☐ Registration under Transplantation of Human Organs Act
- ☐ Valid medical establishment license from state authorities
- ☐ GST registration and compliance
- ☐ Income tax compliance (PAN, TAN, etc.)
- ☐ ESI (Employee State Insurance) registration
- ☐ PF (Provident Fund) registration

B. Governance and Leadership

- ☐ Organizational chart with clear reporting relationships
- ☐ Functioning Hospital Management Committee with regular meetings
- ☐ Infection Control Committee with documented minutes
- ☐ Medical Audit Committee with documented actions
- ☐ Pharmacy and Therapeutics Committee with regular reviews
- ☐ Medical Audit Committee with documented actions
- ☐ Pharmacy and Therapeutics Committee with regular reviews
- ☐ Quality Improvement Committee with measurable outcomes
- ☐ Documented vision, mission, and values displayed prominently
- ☐ Strategic plan with measurable objectives
- ☐ Annual hospital performance review mechanism
- ☐ Ethics Committee for research and complex cases
- ☐ Mortality review mechanism

C. Human Resources Management

- ☐ Up-to-date personnel files for all staff
- ☐ Valid medical registration certificates for all doctors
- ☐ Valid nursing council registrations
- ☐ Paramedical staff qualifications and registrations
- ☐ Staff health check-up records
- ☐ Immunization records (Hepatitis B, etc.) for healthcare workers
- ☐ Training records and competency assessments
- ☐ Performance appraisal system



- ☐ Staff attendance monitoring system
- ☐ Leave management system
- ☐ Contract staff documentation and compliance
- ☐ Staff grievance redressal mechanism

D. Hospital Information System

- ☐ Electronic Health Record/Hospital Management System functionality
- ☐ Data backup and disaster recovery processes
- ☐ Information security policy and implementation
- ☐ Valid software licenses
- ☐ IT asset management
- ☐ CCTV system and recordings (minimum retention as per local laws)
- ☐ Access control system
- ☐ Compliance with IT Act and DISHA (Digital Information Security in Healthcare Act) guidelines

2. Clinical Governance

A. Patient Rights and Education

- ☐ Displayed Patient Charter of Rights and responsibilities
- ☐ Informed consent processes and documentation
- ☐ Patient feedback mechanism
- ☐ Grievance redressal system
- ☐ Patient education materials in local languages

- ☐ Discharge summary process
- ☐ Patient privacy mechanisms
- ☐ Working hours compliance with Shops and Establishment Act
- ☐ Provision for religious/cultural needs

B. Clinical Care Documentation

- ☐ Standard formats for patient assessment
- ☐ Treatment plan documentation
- ☐ Progress notes documentation
- ☐ Medication orders and administration records
- ☐ Investigation orders and results documentation
- ☐ Referral and consultation documentation
- ☐ Nursing care plans and implementation
- ☐ Discharge summaries with required elements
- ☐ Medical records audit system
- ☐ Medical records retention policy (minimum 3 years for IP records)

C. Patient Safety

- ☐ Patient identification system (minimum two identifiers)
- ☐ Fall prevention program
- ☐ Pressure ulcer prevention program
- ☐ Surgical safety checklist implementation
- ☐ Training effectiveness assessment
- ☐ Hand hygiene compliance monitoring

- ☐ Medication safety protocols
- ☐ Patient safety incident reporting system
- ☐ Root cause analysis for sentinel events
- ☐ Never events monitoring and prevention
- ☐ Healthcare-associated infection surveillance
- ☐ Antibiotic stewardship program

D. Clinical Practice Guidelines

- ☐ Evidence-based clinical protocols for common conditions
- ☐ Standard Treatment Guidelines adaptation
- ☐ Emergency protocols
- ☐ CPR (Cardiopulmonary Resuscitation) protocols
- ☐ Sepsis management protocols
- ☐ Pain management protocols
- ☐ End-of-life care protocols
- ☐ Clinical audit system
- ☐ Clinical pathway implementation
- ☐ Protocol adherence monitoring

3. Facility Management and Safety

A. Physical Facility

- ☐ Building stability certificate
- ☐ Layout maps of all floors
- ☐ Fire escape plan displayed on each floor
- ☐ Unobstructed emergency exits
- ☐ Functioning emergency lights
- ☐ Fire extinguishers (valid expiry dates)
- ☐ Fire alarm system functionality
- ☐ Smoke detectors functionality
- ☐ Sprinkler system (if applicable)
- ☐ Emergency evacuation drills conducted and documented
- ☐ Elevator safety certificates
- ☐ Ramp access for persons with disabilities
- ☐ Accessible toilets for persons with disabilities
- ☐ Adequate signage in local language and English
- ☐ Security personnel and systems
- ☐ Visitor management system

B. Utilities Management

- ☐ Electrical safety audit
- ☐ Diesel generator backup and maintenance
- ☐ UPS (Uninterrupted Power Supply) system for critical areas
- ☐ Water quality testing records
- ☐ Water storage tanks cleaning records
- ☐ Medical gas pipeline system certification



- ☐ Air conditioning and ventilation system maintenance
- ☐ HVAC (Heating, Ventilation, and Air Conditioning) system in
- ☐ critical areas (OT, ICU)
- ☐ Refrigeration equipment maintenance
- ☐ Sewage treatment plant operations (if applicable)
- ☐ Solar energy systems (if applicable)

C. Biomedical Equipment

- ☐ Inventory of all biomedical equipment
- ☐ Preventive maintenance schedule and records
- ☐ Calibration records
- ☐ User training documentation
- ☐ Equipment downtime logs
- ☐ Breakdown maintenance records
- ☐ Equipment replacement plan
- ☐ End-of-life management of equipment
- ☐ AMC (Annual Maintenance Contract)/CMC (Comprehensive
- ☐ Maintenance Contract) documentation
- ☐ Equipment safety testing

D. Environmental Safety

- ☐ Biomedical waste segregation compliance
- ☐ Biomedical waste disposal records
- ☐ Sharps management
- ☐ Spill management kits and protocols
- ☐ Pest control measures



- ☐ Housekeeping protocols and checklists
- ☐ Terminal cleaning procedures
- ☐ Air quality monitoring (especially in OT, ICU)
- ☐ Water quality monitoring
- ☐ Noise level monitoring
- ☐ Radiation safety measures (if applicable)
- ☐ Hazardous materials management

4. Infection Control

A. Infection Prevention Practices

- ☐ Hand hygiene infrastructure and compliance
- ☐ Personal protective equipment availability and usage
- ☐ Isolation facilities and protocols
- ☐ Sterilization and disinfection processes
- ☐ CSSD (Central Sterile Supply Department) processes
- ☐ OT (Operation Theatre) asepsis protocols
- ☐ ICU (Intensive Care Unit) infection control measures
- ☐ Bundle approach implementation for device-associated infections
- ☐ Staff immunization status
- ☐ Needle stick injury prevention and post-exposure prophylaxis

B. Surveillance and Monitoring

- ☐ Healthcare-associated infection surveillance system
- ☐ Microbiological surveillance of critical areas
- ☐ Antimicrobial resistance monitoring



- ☐ Outbreak investigation and management
- ☐ Ventilator-associated pneumonia rates
- ☐ Central line-associated bloodstream infection rates
- ☐ Catheter-associated urinary tract infection rates
- ☐ Surgical site infection rates
- ☐ Multi-drug resistant organism monitoring
- ☐ Infection control audit system

5. Quality Management

A. Quality Improvement

- ☐ Quality policy and objectives
- ☐ Quality indicators monitoring
- ☐ Clinical audit system
- ☐ Patient satisfaction monitoring
- ☐ Waiting time monitoring
- ☐ Quality improvement projects
- ☐ PDCA (Plan-Do-Check-Act) cycle implementation
- ☐ Benchmarking activities
- ☐ Corrective and preventive action system
- ☐ Management review of quality data

B. Risk Management

- ☐ Risk register
- ☐ Proactive risk assessments
- ☐ Incident reporting system

- ☐ Near-miss reporting
- ☐ Root cause analysis process
- ☐ Sentinel event management
- ☐ Medication error reporting and analysis
- ☐ Risk mitigation plans
- ☐ Insurance coverage review
- ☐ Business continuity plan

C. Patient Experience

- ☐ Patient feedback collection process
- ☐ Patient satisfaction analysis
- ☐ Complaint management system
- ☐ Waiting time monitoring
- ☐ Discharge process efficiency
- ☐ Patient amenities assessment
- ☐ Patient communication processes
- ☐ Patient education effectiveness

6. Department-Specific Audits

A. Emergency Department

- ☐ Triage system implementation
- ☐ Emergency equipment and medication availability
- ☐ Emergency protocols display and adherence
- ☐ Response time monitoring
- ☐ Ambulance services management
- ☐ Disaster management preparedness

- ☐ Crash cart/emergency trolley checks
- ☐ Mass casualty preparedness
- ☐ Staff competency in emergency care
- ☐ Documentation completeness

B. Operation Theatre

- ☐ Pre-operative assessment documentation
- ☐ Surgical safety checklist implementation
- ☐ OT sterility maintenance
- ☐ Air quality monitoring
- ☐ Temperature and humidity monitoring
- ☐ Sterilization processes validation
- ☐ Anesthesia safety protocols
- ☐ Post-operative monitoring protocols
- ☐ OT utilization efficiency
- ☐ Implant and prosthesis traceability

C. Intensive Care Units

- ☐ Nurse-patient ratio compliance
- ☐ ICU equipment functionality
- ☐ Ventilator-associated pneumonia prevention bundle
- ☐ Central line bundle implementation
- ☐ Catheter-associated UTI prevention bundle
- ☐ End-of-life care protocols
- ☐ Family communication processes
- ☐ Infection control compliance
- ☐ Clinical outcome monitoring
- ☐ ICU readmission rates

D. Laboratory Services

- ☐ External quality assurance participation
- ☐ Internal quality control procedures
- ☐ Critical value reporting process
- ☐ TAT (Turn Around Time) monitoring
- ☐ Sample rejection rates
- ☐ Equipment calibration and maintenance
- ☐ SOPs (Standard Operating Procedures) availability
- ☐ Staff competency assessment
- ☐ Biosafety measures
- ☐ Sample storage and disposal procedures

E. Imaging Services

- ☐ AERB (Atomic Energy Regulatory Board) compliance
- ☐ Radiation safety officer designation
- ☐ TLD (Thermoluminescent Dosimeter) badge usage
- ☐ Lead apron quality checks
- ☐ Patient radiation protection measures
- ☐ Image quality assessment
- ☐ Equipment quality assurance
- ☐ Contrast media management
- ☐ Report TAT monitoring
- ☐ Critical report communication process



F. Pharmacy Services

- ☐ Drug license validity
- ☐ Narcotic drugs management
- ☐ Temperature monitoring for drug storage
- ☐ Expired drug management
- ☐ Look-alike sound-alike medication management
- ☐ High-alert medication management
- ☐ Prescription audit
- ☐ Adverse drug reaction monitoring
- ☐ Drug formulary management
- ☐ Medication error reporting

G. Dietary Services

- ☐ FSSAI (Food Safety and Standards Authority of India) license
- ☐ Kitchen hygiene and sanitation
- ☐ Food handler health checks
- ☐ Nutritional assessment process
- ☐ Therapeutic diet provision
- ☐ Food temperature monitoring
- ☐ Food sample retention
- ☐ Kitchen equipment maintenance
- ☐ Patient satisfaction with food services
- ☐ Food wastage monitoring

7. Financial Management

A. Billing and Pricing

- ☐ Transparent pricing display
- ☐ Billing accuracy audit
- ☐ Insurance claim processing
- ☐ Ayushman Bharat scheme implementation (if applicable)
- ☐ Package rates documentation
- ☐ Advance and deposit management
- ☐ Patient billing queries handling
- ☐ Refund process
- ☐ Charitable services documentation (for trust hospitals)
- ☐ Financial counseling for patients

B. Financial Controls

- ☐ Budget preparation and monitoring
- ☐ Cost control measures
- ☐ Internal financial audit
- ☐ Statutory financial audit
- ☐ Assets register maintenance
- ☐ Procurement procedures
- ☐ Inventory management system
- ☐ Vendor evaluation process
- ☐ Financial reporting system
- ☐ Tax compliance documentation



8. Support Services

A. Housekeeping Services

- ☐ Cleaning schedules and checklists
- ☐ Use of appropriate disinfectants
- ☐ Terminal cleaning procedures
- ☐ Staff training on infection control
- ☐ Linen management
- ☐ Pest control measures
- ☐ Waste segregation compliance
- ☐ Deep cleaning schedules
- ☐ Toilet hygiene maintenance
- ☐ Monitoring and supervision system

B. Laundry Services

- ☐ Linen segregation processes
- ☐ Washing procedures for infected linen
- ☐ Quality check of washed linen
- ☐ Linen storage conditions
- ☐ Linen transportation in covered trolleys
- ☐ Staff personal protective equipment usage
- ☐ Equipment maintenance
- ☐ Linen condemning process
- ☐ Linen inventory management
- ☐ Turnaround time monitoring



C. Security Services

- ☐ Security personnel training
- ☐ Visitor management system
- ☐ Patient belongings safety
- ☐ Hospital premises security
- ☐ CCTV coverage and monitoring
- ☐ Emergency response procedures
- ☐ Violence prevention measures
- ☐ Security incident reporting
- ☐ Staff identification system
- ☐ Parking management

D. Transport Services

- ☐ Ambulance registration and fitness certificates
- ☐ Ambulance equipment as per standards
- ☐ Staff training in BLS (Basic Life Support)
- ☐ Vehicle maintenance records
- ☐ Response time monitoring
- ☐ Communication system
- ☐ Infection control in ambulances
- ☐ Documentation during transport
- ☐ Referral protocols
- ☐ Inter-hospital transfer protocols



9. Information Management

A. Medical Records

- ☐ Medical record standardization
- ☐ Medical record completion monitoring
- ☐ Medical record storage security
- ☐ Retention policy implementation
- ☐ Retrieval efficiency
- ☐ Electronic records backup
- ☐ Access control system
- ☐ Discharge summary completeness
- ☐ Medical coding accuracy
- ☐ Clinical documentation improvement

B. Hospital Statistics

- ☐ Bed occupancy rate calculation
- ☐ Average length of stay monitoring
- ☐ Mortality rate analysis
- ☐ Departmental utilization statistics
- ☐ Surgery cancellation rates
- ☐ OPD (Outpatient Department) statistics
- ☐ Emergency department statistics
- ☐ Hospital-acquired infection rates
- ☐ Patient outcome measures
- ☐ Readmission rates

C. Reporting Systems

- ☐ Notifiable disease reporting
- ☐ Birth and death registration
- ☐ Medico-legal case reporting
- ☐ Adverse event reporting
- ☐ Quality indicator reporting
- ☐ Statutory authority reporting
- ☐ Public health reporting
- ☐ Research ethics committee reporting
- ☐ Clinical trial reporting (if applicable)
- ☐ Corporate/board reporting system

10. Research and Education (if applicable)

A. Medical Education

- ☐ Recognition status from MCI/NMC (Medical Council of India/National Medical Commission)
- ☐ Faculty qualifications and registrations
- ☐ Curriculum implementation
- ☐ Clinical teaching documentation
- ☐ Examination processes
- ☐ Library resources
- ☐ Skills lab facilities
- ☐ Student feedback mechanism
- ☐ CME (Continuing Medical Education) activities
- ☐ Faculty development programs



B. Research Activities

- ☐ Ethics committee constitution and functioning
- ☐ Research protocol review process
- ☐ Informed consent for research
- ☐ Clinical trial documentation
- ☐ Research funding management
- ☐ Publications record
- ☐ Intellectual property rights management
- ☐ Research collaboration agreements
- ☐ Data management practices
- ☐ Reporting of research results

