
HealthCERT Bulletin

Information for Designated Auditing Agencies

Issue 8

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Welcome to the December 2012 edition of the HealthCERT team's quarterly bulletin. This edition summarises some key topics covered at the designated auditing agency (DAA) workshop held in October 2012. It also draws attention to some other information that may help in completing audits and audit reports correctly.

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Evaluation of Highly Relevant Criteria trial

The Highly Relevant Criteria trial has been evaluated. Running from June to August 2012, the trial audited residential care providers against only those criteria identified in the Health and Disability Services Standards as highly relevant. It involved 23 aged residential care providers whose certification audits were scheduled over the trial period.

The evaluation identified a number of areas in which the Highly Relevant Criteria approach was better than the current process. Notably, it enabled auditors to:

- prepare better for the on-site audit
- use their time more effectively when on site
- report more concisely.

The evaluation also found that:

- providers responded positively to the document review process and the safe and appropriate environment checklist
- auditors and providers generally found that the audit time on site was more strongly focused on service delivery and resident outcomes
- providers, auditors, district health boards and HealthCERT found audit reports easier to read, with less duplication and more detail at standards level
- two additional criteria (1.1.13.3 and 1.2.4.3) were identified for inclusion as highly relevant criteria
- auditing time did not reduce significantly but further time savings are likely as auditors become familiar with the new process
- additional information was needed in the e-information package for auditors.

Overall, DAAs, aged care providers, district health boards and HealthCERT senior advisors supported the trial process for auditing against Highly Relevant Criteria. The process will be refined, including by enhancing the e-information package for DAAs, before national roll-out on 1 January 2013.

Auditor-General's follow-up report on rest home monitoring

In September 2012 the Controller and Auditor-General released her follow-up report into the effectiveness of arrangements to check the standard of services provided by rest homes.

The report acknowledged that the Ministry had made good progress in strengthening how rest homes were certified and that rest home audits were now more consistent and of better quality: 'Audits now provide better assurance that rest homes meet the criteria in the *Health and Disability Services Standards*.' The report stated that there was still scope for certification and auditing to provide better assurance about the quality of care provided in rest homes, including better assurance to DHB planning and funding managers and rest home providers.

It noted that more work is needed to give DAA auditors a better understanding of tracer audit methodology.

The continuum of service delivery and quality of audit reports are two other important aspects of the report.

Continuum of service delivery review

From a review of certification reports, the report identified that the highest levels of non-compliance by providers involved five criteria of the Continuum of Service Delivery Standards. The main themes were that some providers:

- did not meet timeframes for care planning and reviews
- lacked documentation of assessments
- did not record all needs in the care plans
- provided insufficient or unclear documentation of some interventions in the care plans
- did not complete some care plans
- did not update care plans to reflect changes in residents' needs
- undertook insufficient short-term care planning.

You will be aware of the increasing uptake of the Comprehensive Clinical Assessment (InterRAI) in residential aged care facilities. InterRAI provides an opportunity to promote and embed improvement in the care planning process.

Quality of audit reports

An evaluation found that the quality of audit reports was variable, and no DAA had achieved full compliance with HealthCERT's audit reporting requirements from year to year. The most common ways in which DAAs were not meeting the expected benchmarks were that:

- reports had to be resubmitted
- terminology was not explicit
- additional information was needed to triangulate evidence
- audit reports were not submitted on time
- HealthCERT advisors needed to request further information more than once.

HealthCERT response to the report's findings

DAAs are responsible for transferring knowledge from the Ministry's 'train the trainer' workshops to those in their audit teams who do not attend the workshops.

However, it is also important to use tracer methods appropriately, understand the introduction of InterRAI and write audit reports to Ministry standards the first time.

The Ministry will run a half-day workshop for all auditors who are able to attend from **1–5 pm on 20 February 2013**. The workshop will cover tracer methodology, update auditors on InterRAI and provide further information on audit report writing.

To read the Auditor-General's report, visit:
www.oag.govt.nz/2012/rest-home-services-follow-up

Sampling formula for residential disability audits

In *DAA Bulletin* issue 7 auditors of residential disability services were advised about the sampling formula for audits of residential disability services. Please note that the word 'type' should have been added to the specification. The correct specification reads:

'Use a square root formula **by service type** (as set out in the *DAA Handbook*) to determine the minimum number of homes to be audited.'

New clause in ARRC agreement

A new clause in the Age-Related Residential Care (ARRC) agreement is relevant when auditing providers that provide Occupational Right Agreement (ORA) units as well as rest home services.

Specifically, please note:

1. clause A14: No Other Benefits For Services, specifically clause A14.1 on page 6
2. attachment A to the ARRC Services Agreement: Charging in ORA – No Other Benefit For Services on pages 66–67.

Report these specifications under criterion 1.3.1.4, standard 1.3.1 (ie, ARRC services agreement section D13 incorporating clause A14.1) when auditing providers with ORA units.

Note: Not all items in this bulletin will be relevant to all auditors; their applicability depends on an individual auditor's field of practice.
