



HealthCERT Bulletin

Information for the Sector

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Welcome to the August 2024 edition of the *HealthCERT Bulletin*

Welcome to the winter issue of the *HealthCERT Bulletin* for 2024.

We hope that everyone is keeping warm and well and, for those who enjoy winter sports, that you are making the most of the season.

In this August edition, we:

- clarify the requirements for certified providers' legal entities
- provide the independent review of the implementation of Ngā paerewa Health and disability services standard NZS 8134:2021 (Ngā Paerewa)
- provide advice about the new centralised resource for Ngā Paerewa implementation
- introduce our new e-learning resource for navigating the Ngā Paerewa restraint and seclusion requirements
- provide information on the recent changes to reporting harm (adverse events) in aged residential care, which came into effect on 1 July 2024
- include a follow-on article from WorkSafe New Zealand on incident notifications
- remind readers about the availability of Ngā Paerewa Te Tiriti e-learning modules
- include a good-news story that showcases Idea Services' innovative continuous quality improvement project for residential disability clients' living arrangement compatibility.

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Legal entities and certification

We would like to clarify some processes and timeframes around legal entity (LE) requirements and the certification application process. The LE is the 'person' or organisation that intends to be certified and will be responsible for providing health care services under the Health and Disability Services (Safety) Act 2001 (HDSS Act).

If you are a new provider requiring certification under the HDSS Act, before you can apply for certification, you must register your LE using this form:

<https://providerregulation.health.govt.nz/oprans/>

Once we have registered and verified your LE form, we will email your designated contact person login details and a link to the website. This will allow you to apply for certification. Before you can be certified to provide an overnight health service, you must apply, pay the required fee and have an audit, as required by the HDSS Act.

Recommended timeframes for registering a new legal entity and applying for initial certification

- a. If you are purchasing an existing certified facility, you will need to:
 - require a provisional audit before the sale and purchase process takes place
 - register your LE and apply for certification at least four months before your intended settlement date
 - arrange your audit approximately three months before settlement date.
- b. If you are building a new facility, you will need to:
 - require a partial provisional audit before opening
 - submit a reconfiguration application four to five months before the intended change (For more information, see the Reconfiguring services or building a new premises webpage on the Ministry of Health's (the Ministry's) website at: www.health.govt.nz/our-work/regulation-health-and-disability-system/certification-health-care-services/information-providers-health-care-services/reconfiguring-services-or-building-new-premises)
 - register your LE and apply for certification at least four months before your intended opening date
 - arrange your audit approximately three months before your intended opening – we recommend you work with your chosen designated auditing agency to plan the best timing for this audit.

Change of legal entity name only

If you are an existing certified provider and have changed your LE name, for example, your company changes its name on the New Zealand Business Number (NZBN) website but not its NZBN, you must notify us of the name change in writing. We will verify this change, and the next certificate we issue will include your updated LE name.

Change of New Zealand Business Number

If you are an existing certified provider and plan to change your NZBN, you need to contact us to discuss requirements. Changing your NZBN means you are creating a new LE and therefore a new provider. This means you will have to register your new LE and apply for certification under the HDSS Act.

For further support or for help with any questions, please contact us at: certification@health.govt.nz

Independent review of the implementation of Ngā paerewa Health and disability services standard NZS 8134:2021

The Ministry commissioned an independent review of the implementation of the Ngā paerewa Health and disability services standard NZS 8134:2021 (Ngā Paerewa).

The review focused on the Ministry's role in implementing Ngā Paerewa. The intention of the review was to determine:

- the effectiveness of the Ministry's implementation of Ngā Paerewa
- the extent to which the Ministry had met its objectives in considering the preparedness of key stakeholders
- the extent to which the Ministry had established sufficient operational processes to enable the successful execution of the above.

The review assessed 65 provider online-survey responses, interviewed 71 stakeholders and reviewed documents. The review's report includes the results from the provider survey and quotes from stakeholder interviews.

Feedback from the review indicates the health and disability sector is generally positive about the HealthCERT team's implementation efforts, reporting approvingly on the team's accessibility and responsiveness.

The review's report presents 18 recommendations for future consideration and sector support initiatives, which we are working to implement where and when possible.

We would like to thank all stakeholders and providers who supported this review.

You can read the final report on the Ngā Paerewa Implementation Evaluation webpage on the Ministry's website at: www.health.govt.nz/publication/nga-paerewa-implementation-evaluation

HealthCERT releases centralised collation of Ngā Paerewa resources

We are pleased to announce the publication of a new resource for health care providers to support the implementation of Ngā Paerewa. *Ngā Paerewa Implementation Resources* was developed following feedback from stakeholders, who highlighted the need for a centralised and easily accessible repository of relevant guidance materials.

The new resource consolidates key information and provides links to supporting materials from various sources, including health sector guidance, Te Tiriti e-learning modules and the

Designated Auditing Agency Handbook. The resource offers providers a single point of reference for accessing essential information on Ngā Paerewa. It is intended to support providers in:

- developing a thorough understanding of the standard's requirements
- identifying and implementing best practice
- accessing relevant tools and resources.

We will continue to review and update the *Ngā Paerewa Implementation Resources* document regularly to reflect any changes to the standard or relevant guidance.

We encourage all providers to use this resource to help their implementation processes and ensure ongoing compliance with Ngā Paerewa. The resource is available for download from the Training and support webpage on the Ministry's website at: www.health.govt.nz/our-work/regulation-health-and-disability-system/certification-health-care-services/services-standard/resources-nga-paerewa-health-and-disability-services-standard/training-and-support

Navigating Ngā Paerewa restraint and seclusion requirements

We are excited to announce the release of a new presentation designed to help health and disability service providers navigate the requirements of section 6 of Ngā Paerewa. This section, focusing on restraint and seclusion, is a critical element in ensuring safe and ethical care for all individuals.

The presentation is designed to:

- deepen understanding by providing a thorough explanation of the definitions and criteria outlined in section 6 of Ngā Paerewa, including the different types of restraint, appropriate use of medication and the strict requirements for seclusion
- guide best practice by offering practical guidance on essential practices for minimising and eliminating restraint and seclusion, with the guidance covering key aspects such as data collection, reporting, policy development, staff training, leadership roles and effective communication with residents and families
- provide learning opportunities from real cases by illustrating practical applications of section 6 through a series of scenarios drawn from real-world audit experiences and highlighting best practice approaches
- provide access to resources by directing providers to relevant legislation, additional resources and best practice guidelines to enhance their understanding and implementation of section 6.

This presentation is intended to help providers understand their obligations and implement practices that promote the safety, dignity and autonomy of individuals in their care. We encourage you to explore the presentation and learn from the best practice and scenarios.

The presentation is available as a PowerPoint presentation from the Ministry's website at: www.health.govt.nz/system/files/documents/pages/restraint-and-seclusion.pptx

You can also access it via the Ngā Paerewa Restraint and Seclusion | Ministry of Health NZ YouTube video at: <https://youtu.be/jqCw4yJOPWM?si=CouAPatDjMCghz4S>

Reporting harm (adverse events) in aged residential care

On 1 July 2023, Te Tāhū Hauora Health Quality and Safety Commission (Te Tāhū Hauora) brought into effect its revised Healing, learning and improving from harm policy (the 2023 policy), with a one-year transition period to allow providers to move from the 2017 policy. The 2023 policy provides a national framework for health and disability providers to continually improve the quality and safety of their services. It provides a consistent way to learn and improve through recognising and reviewing harm.

Under criteria 2.2.5 of Ngā Paerewa criteria, aged residential care (ARC) providers are required to review and report all SAC 1 and 2 events of harm to Te Tāhū Hauora. To support this process, Te Tāhū Hauora has worked with the health and disability sector to co-design a specific ARC SAC guide.

This guide does not provide an exhaustive list but rather lists examples to guide you in reporting.

Change to reporting of pressure injuries

Pressure injuries are currently reported to the HealthCERT team at the Ministry through the HDSS Act section 31 reporting process. To reduce the need for duplicating pressure injuries reporting, we worked with Te Tāhū Hauora to develop a memorandum of understanding whereby Te Tāhū Hauora will share agreed information about reported pressure injuries directly with us, to meet providers' obligations under section 31 of the HDSS Act, and therefore separate section 31 notification is not required. All pressure injuries must be reported as adverse events to Te Tāhū Hauora to meet the SAC 2 criteria (SAC 2 pressure injuries are stage 3 or 4, unstageable, suspected deep tissue injuries or mucosal injuries). Please include in all reports whether the injury was acquired at a facility or in the community.

Hospital-acquired pressure injuries (HAPIs) should have been reported by the hospital with an ACC form completed. It is recommended that you follow up with the hospital clinical quality team to check this and ensure they were aware of the HAPI if it is discovered on admission to your facility. If a stage 1 or 2 HAPI deteriorates and then meets the SAC 2 criteria, then ARC facility needs to report it to Te Tāhū Hauora.

Te Tāhū Hauora SAC 1 and 2 reporting process

We know that some organisations have already developed their own processes for reporting SAC 1 and 2 events through Te Tāhū Hauora. The following points aim to guide those that have not yet developed their own process.

1. Once you, as a provider, have recognised and rated a SAC 1 or 2 event of harm, complete and send in a Part A notification to Te Tāhū Hauora within 30 working days through the submissions portal.
2. Once an internal review is completed within 120 working days, submit an adverse event Part B form and the anonymised final review report to Te Tāhū Hauora. You do

not have to complete the recommendations section of the Part B form if you include the final anonymised report.

3. As Te Tāhū Hauora only collects anonymised data, you will need to create a provider internal reference number for each event. Use this reference number on both the Part A and Part B forms, so they will match up in the database. Please ensure you retain a copy of these Part A and B forms for your records.

How to submit adverse event reports

You will find the submissions portal link at the Tono raraunga | Data submission webpage on Te Tāhū Hauora website at: www.hqsc.govt.nz/our-data/data-submission

1. Click on the portal link, then click on Adverse events, and a login screen will appear. Enter your generic provider login.
2. This takes you to a screen where you can upload your Part A and Part B forms and the anonymised final review report.
3. Smaller ARC providers may require individual facility logins. However, for larger provider groups, you will need to decide if you want one generic login for your wider group or if you would like regional logins rather than one for every facility.
4. If your organisation needs a submissions portal login or more information on the submissions process, please email: adverse.events@hqsc.govt.nz

For more information, resources, education and guidance on the 2023 policy, please see Te whakaora, te ako me te whakapai ake i te kino | Healing, learning and improving from harm policy webpage on Te Tāhū Hauora website at: www.hqsc.govt.nz/our-work/system-safety/healing-learning-and-improving-from-harm-policy

You will find a user guide to the 2023 policy on the User guide: Healing, learning and improving from harm: National adverse events policy 2023 | Te whakaora, te ako me te... webpage on Te Tāhū Hauora website at: www.hqsc.govt.nz/resources/resource-library/user-guide-healing-learning-and-improving-from-harm-national-adverse-events-policy-2023-te-whakaora-te-ako-me-te-whakapai-ake-i-te-kino-te-kaupapa-here-a-motu-mo-nga-mahi-tukino-2023

For more information on learning from harm education, please email: learningfromharm@hqsc.govt.nz

WorkSafe New Zealand

What happens when you notify WorkSafe of an incident

All businesses must manage their risks. As the primary work safety regulator, WorkSafe New Zealand's (WorkSafe's) role is to encourage businesses and workers to meet their health and safety responsibilities and hold those businesses and workers to account if they don't. WorkSafe know some work is more dangerous, with a greater risk of harm. They focus their effort on where it will make the biggest difference and contribute to equitable outcomes.

As WorkSafe have outlined previously in the [HealthCERT Bulletin Issue 33 – September 2023](#), businesses must notify WorkSafe about certain events or serious harm to a worker or others, including service users, as a result of work. These are called notifiable events.

Workers and members of the public can also contact WorkSafe if they have a concern about an unsafe or unhealthy work situation that could lead to people being harmed.

All notifications to WorkSafe are referred to their Response team. The team looks at each notification to decide what action will be required. WorkSafe have a range of regulatory interventions they use, from engaging with businesses to help them understand how to meet their health and safety responsibilities through to taking enforcement action if a business hasn't acted responsibly.

WorkSafe don't open an investigation for every notification they receive. Not all notifications will meet WorkSafe's criteria to intervene. WorkSafe are unlikely to intervene for individual incidents. This includes incidents involving workers or others. WorkSafe have finite resources and need to make the most effective use of them. In some instances, other agencies may be better placed to get involved.

Notifications are also used to identify patterns and trends of risk or harm. This helps WorkSafe focus their efforts to benefit as many people as possible, for example, by working with sector groups to help improve practices.

It is also good practice for businesses to do their own investigations on their notifiable events to work out what they change to prevent such events happening again.

Key stats

In the 2022/23 year, WorkSafe received 8,654 notifications about health and safety issues, carried out 10,426 assessments and undertook 119 investigations.

Resources

A range of resources are available on the WorkSafe website to help health and disability sector employers and workers understand and manage their responsibilities. These include information on the WorkSafe webpages:

- [Health services work risks](#)
- [Our approach to the healthcare and social assistance sector](#)
- [Notify WorkSafe](#)

Specialist health and safety consultants or technical advisors can also provide specific advice and support. The Health and Safety Association of New Zealand has more information about this on their website at: www.hasanz.org.nz

Ngā Paerewa Te Tiriti e-learning modules

We would like to remind you that both Ngā Paerewa Te Tiriti e-learning modules are available on the Ministry's Learn Online platform. Please be aware, learners will be asked to create a username and password to access this free online module. Some people will also be able to access this module on other online platforms. The second module is divided into sections that

can be completed separately, however, all sections need to be completed to download the certificate of completion.

For more information on these e-learning modules, visit the Training and support webpage on the Ministry's website at: www.health.govt.nz/our-work/regulation-health-and-disability-system/certification-health-care-services/services-standard/resources-nga-paerewa-health-and-disability-services-standard/training-and-support

We hope you enjoy completing the e-learning modules and take away some new learnings that encourage your own journey in providing health and disability services in your unique care and support settings that are based around Te Tiriti and culturally responsive.

If you have any questions or feedback, please contact the HealthCERT team at certification@health.govt.nz

Good-news story

IDEA Services Limited – Southern (South Island and Greater Wellington Region)

Congratulations to Idea Services Limited's national psychology team, who have been invited to present their quality improvement initiative at the 17th International Association for the Scientific Study of Intellectual and Developmental Disabilities (IASSIDD) World Congress conference, in Chicago, 5–8 August this year.

In early 2019, IDEA Services identified that they would benefit from additional resources to support managers when making decisions about where people it supports might live, both on entry to the services and for any ongoing changes once in the services. The national psychology team was asked to research ways to develop and implement a nationwide process to improve how to assess compatibility between flatmates or potential flatmates and support self-determined flatmate and/or living arrangement selection in residential services.

Intended goals included to improve quality of life, reduce health and safety risk from flatmate-to-flatmate aggression and better align processes where a person lives with Enabling Good Lives principles of self-determination, person-centred support and achieving ordinary life outcomes.

The team completed a literature review and identified key peer-reviewed research articles to help inform the proposed approach. Area managers and regional managers were provided with a draft copy of the flatmate compatibility tool and a slideshow that explained the process taken to date. The managers provided initial feedback via email in March 2019. The first iteration of the flatmate compatibility tool was then piloted between April and October 2019 with several service managers at various locations across the country.

Feedback on the initial pilot was provided via a questionnaire completed in October 2019. The recommended changes from that feedback were implemented in 2020. Changes included creating extra supporting documents, such as a manual that explains how the toolkit should be used. Additionally, a report template was developed for sharing results of the flatmate compatibility tool with external stakeholders without breaching privacy/confidentiality. A

template for existing flatmates to interview new flatmates being considered for a vacancy and a template for advertising vacancies to NASC / other key stakeholders were also developed.

All the documents were packaged into the toolkit for planning and supporting new living arrangements, and the toolkit was made available nationwide via the IHC Group intranet in October 2020. A training video was made available in early 2021 for service managers to watch as needed to gain an understanding of when and how to use the toolkit.

Policy and process documents were updated (for example, change of living situation, service manager operations manual, entry into services process) to direct service managers to use the toolkit. Changes were made to the toolkit formatting in 2023 following feedback during the two-year review. Further feedback was sought in June/July 2023 on people's experience of using the toolkit.

Anecdotal evidence has demonstrated that transitions have been successful thanks to the toolkit and the critical thinking it encourages, which leads to proactive problem solving.

Existing and potential flatmates have become more involved in making decisions about where and with whom they might live.

Consideration of whether the physical environment and location is compatible with a person's needs and preferences has increased.

Invitation to submit good-news stories

You can submit a good-news story to include in the next issue of the *HealthCERT Bulletin*. Tell us your stories of innovation and endeavours in continuous quality improvement.

Email your stories to us at certification@health.govt.nz.