



Competency Unit:

RABQSA-HC – New Zealand Health Care Auditing

Effective date: 2 August 2005

Competency	Performance Criteria	Evidence Guide
<p>1. Apply quality and risk management principles using New Zealand health care sector standards.</p>	<p>1.1 The intent and requirement of each standard of NZS 8134:2001 can be described in the context of health and disability services.</p> <p>1.2 The relationship between NZS 8134:2001 and related sector standards is explained within the context of health and disability services.</p> <p>1.3 Quality and risk management documentation hierarchy is explained within the context of the health care sector.</p> <p>1.4 Evidence needed to demonstrate conformity to the requirements of NZS 8134:2001 is identified and collected.</p> <p>1.5 Quality and risk terminology and health care sector specific terminology is correctly used.</p> <p>1.6 The effectiveness of the entire quality and risk management system is evaluated within the context of health and disability services.</p> <p>1.7 Audit reference documentation is suitable and appropriate to the requirements of NZS 8134:2001 in the context of the auditee facility and service categories.</p> <p>1.8 The relationship between legal compliance and NZS 8134:2001 conformity is demonstrated in the context of a health and disability service audit.</p>	<p>E1.1 Quality and risk management principles and their relationship to NZS 8134:2001 are applied during audits, with omission or deviation justified.</p> <p>E1.2 The relationship between sector standards is explained without error.</p> <p>E1.3 Documentation required by sector standards is explained without error and prioritized in relation to risk.</p> <p>E1.4 Audit evidence needed to demonstrate conformity to NZS 8134:2001 standards is identified and reported without error using an audit handbook.</p> <p>E1.5 The audit report uses the correct terminology.</p> <p>E1.6 The operational effectiveness of the auditee's quality and risk management system is evaluated using NZS 8134:2001 criteria.</p> <p>E1.7 The audit report reflects the requirements of the specific facility and service under audit.</p> <p>E1.8 Meeting obligations under the Health and Disability Services (Safety) Act 2001 and conformity with sector standards is reflected in an audit report.</p>



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<p>2. Relate the quality and risk management system to clinical service delivery and support processes.</p>	<p>2.1 The service delivery processes and supporting activities are evaluated effectively in order to verify the degree of conformity and effectiveness of these activities.</p> <p>2.2 Processes, inputs, outputs, and outcomes are understood in health care organizational contexts.</p>	<p>E2.1 The service delivery processes and supporting activities are evaluated effectively in order to verify the degree of conformity and effectiveness of these activities, the quality and risk management system is applied to clinical, clinical support, and administrative contexts in a relevant and appropriate manner, all documentation required by the quality and risk management system in a variety of healthcare situations is accurately identified and evaluated, and audit evidence needed to demonstrate conformity to the elements of the quality and risk management system in the organizational context is identified without error.</p> <p>E2.2 Operational effectiveness of the auditee's quality and risk management system is evaluated and documented.</p>
<p>3. Identify quality and safety risks that are reasonably expected to occur within health care systems.</p>	<p>3.1 Actual and potential safety risks are identified at the process, input, output, and outcome stages in health care service delivery.</p> <p>3.2 The methodologies used to identify risks are relevant to health and disability services and are based on audit evidence and/or best practice.</p>	<p>E3.1 Actual and potential safety risks within clinical, clinical support, and administrative contexts are accurately identified.</p> <p>E3.2 Procedures used to identify risks within the organizational context are accurately described.</p>
<p>4. Assess the level of risk in the context of the organization's health care management system.</p>	<p>4.1 The level of each identified risk is assessed to determine significance.</p> <p>4.2 The risk assessment methodology used is soundly and scientifically based.</p>	<p>E4.1 Safety risks are accurately assessed using scientifically-based and relevant methodologies.</p> <p>E4.2 Procedures used to assess risks within the organizational context are accurately described and are based on audit evidence and/or best healthcare practices.</p>



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5. Demonstrate knowledge of the infrastructure for health care auditing.	5.1 Criteria for certification of an auditor are identified. 5.2 Criteria for designation of an auditing agency are identified. 5.3 Conflicts of interest are understood in health care organizational contexts.	E5.1 The certification infrastructure for auditors is clearly explained. E5.2 Criteria for designation of an auditing agency are identified. E5.3 Management of actual and potential conflicts of interest, including provision of advice when auditing, is accurately described.