



MANATŪ HAUORA

**Audit Tool for measuring compliance with the
Agreement for Health and Disability Services
(Aged Care Residential Services)**

General Service Specifications

Service Criteria	<p>1. Provider Policies</p> <p>Are the following policies, procedures, protocols documented and implemented by the Provider?</p>
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↓	Criteria	How is achievement of this outcome demonstrated?
<p>1.1</p> <p>Contract Reference</p> <p>D 5.4 (c)</p> <p>HDSS Ref:</p> <p>2.4</p>	<p>A complaints management policy/procedure.</p> <p>Evaluation method(s) to be used: Policy review/ Complaint file/Satisfaction Survey</p>	<p>Evaluation method(s) used:</p>
<p>1.2</p> <p>Contract Reference</p> <p>D 5.4 (d)</p> <p>HDSS Ref:</p> <p>2.2.3/4.3.1</p>	<p>Continence management.</p> <p>Evaluation method(s) to be used: Policy Review/ Care Plan Matrix/staff training records/observation</p>	<p>Evaluation method(s) used:</p>

GENERAL SERVICE SPECIFICATIONS

Attainment Level	Organisation Details: Completed By: Date:	
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↓	Does the attainment level impact on consumer safety?	Performance Indicators
✓	Risk - <input type="checkbox"/> Critical <input type="checkbox"/> High <input type="checkbox"/> Moderate <input type="checkbox"/> Low <input type="checkbox"/> Neg	
CI	Actions required to ensure consumer safety: By when: By whom:	(a) View documented policy/procedure to ensure it meets all Health and Disability Commissioner requirements: (i) All complaints are documented (ii) Complainants are informed of their right to have an independent advocate (iii) Handled in a professional manner by an appropriately designated person (iv) Complaints are fully reviewed in an objective and professional manner (v) Complainants will receive a response within 2 weeks (vi) Clear and accurate records of complaints and subsequent action taken are maintained (vii) Complaints to be handled sensitively with consideration for cultural and other values (viii) The policy offers alternative agencies which complainants can be referred to (b) Complaints procedure is able to be accessed anonymously i.e. the resident, carer or visitors should not have to request a "Complaints form" etc. - Provision of a complaints form to residents/families on admission will not ensure availability when required (c) View a complaint received, does it comply with HDC requirements to substantially respond within two weeks of receiving the complaint (d) Monthly updates if the resolution of the complaint or concern is drawn out. (e) There is evidence of complaints coming to a mutually acceptable resolution (f) Monitoring of complaints and identification of trends if they exist.
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CI	Actions required to ensure consumer safety: By when: By whom:	(a) View documented policy/procedure - ensures it specifies how the facility <i>promotes continence/manages incontinence</i> . Current accepted practice may include but is not confined to: (i) Assessment process (ii) Individual toileting programmes (iii) Bladder retraining where able (iv) Treatment of uti's (v) Bowel management (vi) Appropriate use of appropriate incontinence aids according to the individual's assessed needs (vii) Catheterisation as a last resort (viii) Referral to a continence adviser where necessary (b) Review/evaluation of intervention/care (c) Through the lifestyle care plan matrix ensure this policy is fully implemented by an assessment, interventions and evaluations being evident as part of the care planning process (d) Ensure staff have received training in relation to this within the last two years
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↓	Criteria	How is achievement of this outcome demonstrated?
<p>1.3</p> <p>Contract Reference D 5.4 (f)</p> <p>HDSS Ref: 2.2.3/4.3.1</p>	<p>Management of challenging behaviour.</p> <p>Evaluation method(s) to be used: Policy review/ Care Plan Matrix/staff training records</p>	<p>Evaluation method(s) used:</p>
<p>1.4</p> <p>Contract Reference D 5.4 (g)</p> <p>HDSS Ref: 5.3</p>	<p>Medication management.</p> <p>Evaluation method(s) to be used: Policy Review/ Medication Profiles/ Medication Administration Process/staff training records</p>	<p>Evaluation method(s) used:</p>

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↓	Does the attainment level impact on consumer safety?	Performance Indicators
✓	Risk - <input type="checkbox"/> Critical <input type="checkbox"/> High <input type="checkbox"/> Moderate <input type="checkbox"/> Low <input type="checkbox"/> Neg Actions required to ensure consumer safety:	
CI	By when: By whom:	(a) View documented policy/procedure for: (i) Assessment process – including causative factors (ii) Monitoring process (iii) Expert Medical advice should be sought (iv) Guidelines to resolve episode (v) Maintenance of resident's dignity and rights when managing disturbing behaviour (vi) Resident and visitor safety is considered (vii) Referral to expert reassessment agency if required (b) From lifestyle care planning matrix ensure a comprehensive plan of care, including diversional therapies and other appropriate measures based on a comprehensive assessment are clearly outlined to manage the behaviour. Plan should include goals and evaluations within a set time frame. (c) Ensure staff have received training in relation to this within the last two years
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CI	By when: By whom:	(a) View policy or procedure to ensure it refers to: (i) Prescription medications may only be prescribed by a Medical Doctor (ii) Includes a list of non prescriptions medicines which may be given without a prescription (iii) Specifies that telephone medication orders may only be made in urgent instances by the Doctor (iv) Have a clear process for ensuring accuracy of information and a time frame within which the prescribing doctor has to amend the medication chart (v) A process for ensuring the safe storage, administration and disposal of Controlled Medicines (vi) Medication errors are documented (vii) Medication errors are investigated (viii) Medication errors are analysed to minimise recurrence (ix) Transcribing is not accepted (x) The policy considers the use of alternative therapies (xi) There is a process to ensure residents who self-medicate do so safely (b) View medication administration system to ensure that it is a safe process with appropriate checks and balances (c) Ensure there is evidence that the administration of prn medications is monitored and evaluated by the Registered Nurse. (d) Ensure there is evidence of a three monthly medication review process for all residents (e) Ensure there is evidence that care givers who administer medications have completed a competency assessment before administering medications (f) Systems are implemented to ensure that resident allergies/sensitivities are known and recorded (g) Medicines are stored appropriately
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General Service Specifications

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↓	Criteria	How is achievement of this outcome demonstrated?
<p>1.5</p> <p>Contract Reference D 5.4 (h)</p> <p>HDSS Ref: 2.2.3/4.3.1</p>	<p>Pain management;</p> <p>Evaluation method(s) to be used: Policy review/ Care Plan Matrix/staff training records</p>	<p>Evaluation method(s) used:</p>
<p>1.6</p> <p>Contract Reference D 5.4 (i)</p> <p>HDSS Ref: 2.2.3/4.3.1</p>	<p>Personal Grooming/Hygiene</p> <p>Evaluation method(s) to be used: Policy Review/Care Plan Matrix/ Satisfaction Survey</p>	<p>Evaluation method(s) used:</p>
<p>1.7</p> <p>Contract Reference D 5.4 (k)</p> <p>HDSS Ref: 1.4</p>	<p>Preservation of privacy and dignity;</p> <p>Evaluation method(s) to be used: Policy review/ Care Plan Matrix/ Observation/ Satisfaction Survey/staff training records</p>	<p>Evaluation method(s) used:</p>

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✓	Risk - <input type="checkbox"/> Critical <input type="checkbox"/> High <input type="checkbox"/> Moderate <input type="checkbox"/> Low <input type="checkbox"/> Neg	
CI	Actions required to ensure consumer safety: By when: By whom:	(a) View documented policy. Contemporary best practice may include but is not limited to: (i) Assessment process - should include the residents own perception of pain (ii) An inter-disciplinary approach to pain management (A) Medical input (B) Access to pain specialist (C) Allied health therapy input (D) Alternative therapists (iii) Always considering pain is real for the resident (iv) Using alternative therapies if appropriate (discussion with medical personnel in this decision) (v) Evaluation of analgesic therapy effectiveness with appropriate time frames (b) Use lifestyle care plan matrix to ensure that the policy is being adhered to – there is a comprehensive assessment, planning and evaluation process for residents who experience pain. (c) Ensure staff have received training in relation to this within the last two years
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✓	Risk - <input type="checkbox"/> Critical <input type="checkbox"/> High <input type="checkbox"/> Moderate <input type="checkbox"/> Low <input type="checkbox"/> Neg	
CI	Actions required to ensure consumer safety: By when: By whom:	View policy., ensure it refers to: (a) Shower/bath at residents preferred or negotiated frequency, times and days (b) Flexibility around issues such as residents with dementia (c) Each lifestyle care plan will have level of assistance/independence identified and supported based on Registered Nurse assessment (d) Skin integrity will be monitored as part of the personal hygiene and grooming process (e) Each residents need for privacy and dignity is met (f) The Home's policy on the use of communal clothing – each resident has their own individually named clothing available for their use
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✓	Risk - <input type="checkbox"/> Critical <input type="checkbox"/> High <input type="checkbox"/> Moderate <input type="checkbox"/> Low <input type="checkbox"/> Neg	
CI	Actions required to ensure consumer safety: By when: By whom:	(a) View Documented Policy. Ensure it refers to: (i) The Privacy Officer's Role is delegated and met (ii) Information of a private or personal nature is maintained in a secure manner that is not publicly accessible or observable (b) Ensuring sensitive or private discussions, examinations or procedures are conducted in a manner or environment where the risk of being observed or overheard by others is minimized or eliminated (c) Respecting residents personal space (including knocking and waiting before entering residents rooms) (d) Ensure staff have received training in relation to this within the last two years
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↓	Criteria	How is achievement of this outcome demonstrated?
<p>1.8</p> <p>Contract Reference D 5.4 (l)</p> <p>HDSS Ref: 1.3</p>	<p>Providing culturally safe care.</p> <p>Evaluation method(s) to be used: Policy review/ Satisfaction Survey/staff training records</p>	<p>Evaluation method(s) used:</p>
<p>1.9</p> <p>Contract Reference D 5.4 (n)</p> <p>HDSS Ref:</p> <p>Restraint Standard NZS 8141</p>	<p>Restraint including strategies to minimise the use of restraint.</p> <p>Evaluation method(s) to be used: Policy review/ Care Plan Matrix/ Restraint Consent forms/ Observation/staff training records</p>	<p>Evaluation method(s) used:</p>
<p>1.10</p> <p>Contract Reference D 5.4 (o)</p> <p>HDSS Ref: 1.8.3</p>	<p>Resuscitative status policy</p> <p>Evaluation method(s) to be used: Policy review/ Satisfaction Survey/staff training records</p>	<p>Evaluation method(s) used:</p>

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✓	Risk - <input type="checkbox"/> Critical <input type="checkbox"/> High <input type="checkbox"/> Moderate <input type="checkbox"/> Low <input type="checkbox"/> Neg	
CI	Actions required to ensure consumer safety: By when: By whom:	View documented policy - ensure it provides guidelines for staff to provide the day to day care and services in a culturally safe manner if required (this relates to all cultures/religions) <ul style="list-style-type: none"> (a) Recognition of The Treaty of Waitangi (b) Ensuring equal access to services (c) The process for identifying individual values and beliefs (For example the admission assessment) (d) The process to be used to ensure identified values & beliefs are met (for example the lifestyle care planning process) (e) Gaining feedback to ensure service is meeting individual values and beliefs (f) A process for accessing interpreters and cultural representatives within the local community (g) Ensure staff have received training in relation to this within the last two years
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✓	Risk - <input type="checkbox"/> Critical <input type="checkbox"/> High <input type="checkbox"/> Moderate <input type="checkbox"/> Low <input type="checkbox"/> Neg	
CI	Actions required to ensure consumer safety: By when: By whom:	<ul style="list-style-type: none"> (a) View documented policy/procedure. Ensure it includes: <ul style="list-style-type: none"> (i) A definition of "restraint" (ii) Use of restraint as a last resort ONLY (iii) Who may commence the use of restraints (iv) Medical approval (v) Documented resident/family consent and discussion (vi) Documented assessment process (vii) Monitoring process (viii) Timeframes for release of restraints (ix) Review as to the on going necessity for restraint within a specified time frame (x) Dignity & rights of restrained residents (b) View current practice of restraint within the facility to ensure it reflects current accepted practice and it is obvious that it is used as a last resort only. (c) Evidence of specialist advice (d) Ensure staff have received training in relation to this within the last two years
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✓	Risk - <input type="checkbox"/> Critical <input type="checkbox"/> High <input type="checkbox"/> Moderate <input type="checkbox"/> Low <input type="checkbox"/> Neg	
CI	Actions required to ensure consumer safety: By when: By whom:	View policy - ensure it reflects Health and Disability Commissioner recommendations, and current accepted practice (should include but is not limited to): <ul style="list-style-type: none"> (a) Definition of "Advanced Directive" (b) Definition of resuscitation (c) Giving of an advanced directive is to be a voluntary act of the resident. Ensure that the appropriate person is making this decision – i.e. ideally this should be the resident, or EPOA when the resident has been deemed incompetent (d) Involvement of key personnel in documenting the residents choice in relation to their resuscitative status (i.e. General Practitioner) (e) Residents are fully informed in order to make an informed choice (f) Resuscitative decision is updated/reviewed in conjunction with the GP review (g) Ensure staff have received training in relation to this within the last two years
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↓	Criteria	How is achievement of this outcome demonstrated?
<p>1.11</p> <p>Contract Reference D 5.4 (p)</p> <p>HDSS Ref: 1.7.4</p>	<p>Sexuality and intimacy;</p> <p>Evaluation method(s) to be used: Policy review/ Satisfaction Survey</p>	<p>Evaluation method(s) used:</p>
<p>1.12</p> <p>Contract Reference D 5.4 (q)</p> <p>HDSS Ref: 1.3</p>	<p>Spirituality and counselling including availability of chaplaincy;</p> <p>Evaluation method(s) to be used: Policy review/ Satisfaction Survey</p>	<p>Evaluation method(s) used:</p>
<p>1.13</p> <p>Contract Reference D 5.4 (r)</p> <p>HDSS Ref: 2.2.3/4.3.1</p>	<p>Skin management.</p> <p>Evaluation method(s) to be used: Policy review/ Care Plan Matrix/staff training records</p>	<p>Evaluation method(s) used:</p>

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✓	Risk - <input type="checkbox"/> Critical <input type="checkbox"/> High <input type="checkbox"/> Moderate <input type="checkbox"/> Low <input type="checkbox"/> Neg	
CI	Actions required to ensure consumer safety: By when: By whom:	View policy, ensure it refers to: (a) Maintaining a safe environment for residents (b) Resident choice, where appropriate, in relation to expressions of sexuality and intimacy (c) Staff responsibilities in relation to residents expressions of sexuality and intimacy (d) Actions to be taken in the event of inappropriate expressions of sexuality or intimacy
FA		
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✓	Risk - <input type="checkbox"/> Critical <input type="checkbox"/> High <input type="checkbox"/> Moderate <input type="checkbox"/> Low <input type="checkbox"/> Neg	
CI	Actions required to ensure consumer safety: By when: By whom:	(a) There is a process for identifying, recording and meeting individual values and beliefs (b) Residents have access to their chosen spiritual leader (c) A process is developed to ensure festive occasions/practices are recognised and supported (d) A process to ensure that spiritual meetings are provided in an area where residents can choose to attend/participate or not (e) Training is provided to ensure staff accommodate the resident's right to participate in their individual value and belief practices and staff provide services in a non-judgemental and non-discriminatory manner
FA		
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✓	Risk - <input type="checkbox"/> Critical <input type="checkbox"/> High <input type="checkbox"/> Moderate <input type="checkbox"/> Low <input type="checkbox"/> Neg	
CI	Actions required to ensure consumer safety: By when: By whom:	View documented policy/procedure. Current accepted practice may include but is not confined to: (a) Assessment on admission (b) The use of a recognised tool or facility developed equivalent (c) Re-assessment when needs/conditions change (at least six monthly) (d) Regular reporting and observations are to be documented in the residents clinical record (e) Planned regular relief of pressure (f) Effective hygiene measures if incontinent (use of warm but not hot water to promote skin integrity) (g) Refraining from rubbing of pressure areas. (h) Good hydration and nutrition (i) Mobility and activity (passive/active) (j) Use of aids as appropriate (k) Use lifestyle care plan matrix to ensure that the policy is being adhered to – there is a comprehensive assessment, planning and evaluation process for residents who require proactive intervention in order to maintain skin integrity. (l) Ensure staff have received training in relation to this within the last two years
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Service Criteria	<p>1. Provider Policies</p> <p>Are the following policies, procedures, protocols documented and implemented by the Provider?</p>
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↓	Criteria	How is achievement of this outcome demonstrated?
<p>1.14</p> <p>Contract Reference D 5.4 (s)</p> <p>HDSS Ref:</p>	<p>Transportation of Subsidised Residents.</p> <p>Evaluation method(s) to be used: Policy review/ Satisfaction Survey</p>	<p>Evaluation method(s) used:</p>
<p>1.15</p> <p>Contract Reference D 5.4 (t)</p> <p>HDSS Ref:</p> <p>2.2.3/4.3.1</p>	<p>Wound care.</p> <p>Evaluation method(s) to be used: Policy review/ Care Plan Matrix/staff training records</p>	<p>Evaluation method(s) used:</p>
<p>1.16</p> <p>Contract Reference D 11.1</p> <p>HDSS Ref:</p> <p>1.3.5</p>	<p>Death/Tangihanga</p> <p>Evaluation method(s) to be used: Policy review/staff training records</p>	<p>Evaluation method(s) used:</p>

General Service Specifications

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↓	Does the attainment level impact on consumer safety?	Performance Indicators
✓	Risk - <input type="checkbox"/> Critical <input type="checkbox"/> High <input type="checkbox"/> Moderate <input type="checkbox"/> Low <input type="checkbox"/> Neg Actions required to ensure consumer safety:	
CI	By when: By whom:	(a) View Policy in relation to residents being transported to: (i) Outpatient appointments (ii) Emergency department by ambulance (iii) Discharge/transfer to another facility (b) Responsibility for payment is agreed in pre-admission information (c) Accepted modes of transport (d) Involvement of families/whanau (e) Accompaniment by Staff member/family/whanau etc (f) A vehicle policy is documented that considers vehicles used for resident transportation are registered, have a current Warrant of Fitness, a process for monitoring Drivers Licenses of staff transporting residents, appropriate staffing levels in relation to transportation of residents
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✓	Risk - <input type="checkbox"/> Critical <input type="checkbox"/> High <input type="checkbox"/> Moderate <input type="checkbox"/> Low <input type="checkbox"/> Neg Actions required to ensure consumer safety:	
CI	By when: By whom:	View documented policy. Current accepted practice may include but is not limited to: (a) Individual Assessment process (b) Individual Monitoring and evaluation process (c) Individual wound management plan (d) Moist wound healing principles (e.g. use of second generation dressings e.g. Hydrocolloids) (e) Minimal disruption to wound healing (e.g. not swabbing to clean) (f) Healing in the optimal healing temperature of body temperature (e.g. warming solution before use) (g) Pain assessment and treatment is considered for effective wound management (h) Privacy is considered in when providing wound management (i) Specialist advice is sought where necessary (j) Ensure staff have received training in relation to this within the last two years (k) Ensure appropriate equipment in relation to assessed needs is available
FA		
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✓	Risk - <input type="checkbox"/> Critical <input type="checkbox"/> High <input type="checkbox"/> Moderate <input type="checkbox"/> Low <input type="checkbox"/> Neg Actions required to ensure consumer safety:	
CI	By when: By whom:	View documented policy (a) Actions to be taken in relation to: (i) An expected death of a resident (ii) An unexpected death of a resident (b) Appropriate and culturally sensitive procedures for notification of next-of-kin or authorised representative (c) Any necessary documentation and certification (d) Culturally appropriate arrangements in relation to the care of the deceased, until responsibility is accepted by the family/whanau or a duly authorised person (e) How deaths will be managed in relation to other residents (will they be informed, offered the opportunity to attend the funeral etc.) (f) Care of deceased residents effects until family collects or makes arrangements for these (g) Ensure staff have received training in relation to this within the last two years
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General Service Specifications

Service Criteria	<p>1. Provider Policies</p> <p>Are the following policies, procedures, protocols documented and implemented by the Provider?</p>
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↓	Criteria	How is achievement of this outcome demonstrated?
<p>1.17</p> <p>Contract Reference D 15.3 (e)</p> <p>HDSS Ref: 6.6.8/6.6.9</p>	<p>Procedures are in place that ensure the security and safety of the subsidised resident and enable subsidised residents to enter and leave the facility as appropriate to their care need level.</p> <p>(refer also to audit reference 4.4)</p> <p>Evaluation method(s) to be used: Policy review/ Observation</p>	<p>Evaluation method(s) used:</p>
<p>1.18</p> <p>Contract Reference D 7</p> <p>HDSS Ref: 1.1</p>	<p>Does the facility have a Code of Rights that is consistent with the Health and Disability Commissioner's Code?</p> <p>Evaluation method(s) to be used: Policy review/ Observation/staff interview</p>	<p>Evaluation method(s) used:</p>
<p>1.19</p> <p>Contract Reference D 19.2 (f)</p> <p>HDSS Ref: 1.1.5</p>	<p>You must document and implement policies in relation to the prevention, detection and removal of abuse or neglect of subsidised residents, visitors and/or staff.</p> <p>Evaluation method(s) to be used: Policy review/ Staff interview</p>	<p>Evaluation method(s) used:</p>

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✓	Risk - <input type="checkbox"/> Critical <input type="checkbox"/> High <input type="checkbox"/> Moderate <input type="checkbox"/> Low <input type="checkbox"/> Neg	
CI	Actions required to ensure consumer safety: By when: By whom:	(a) Process to ensure that all staff are identifiable (b) Security measures taken (e.g. security checks, ensuring doors and ground level windows are closed and locked at specified times in the evening, security stays on ground level windows etc.) (c) Actions to be taken in the event of intruders/burglars (d) Process to ensure contractors/trades people are identified and monitored where necessary
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✓	Risk - <input type="checkbox"/> Critical <input type="checkbox"/> High <input type="checkbox"/> Moderate <input type="checkbox"/> Low <input type="checkbox"/> Neg	
CI	Actions required to ensure consumer safety: By when: By whom:	(a) The Code must include the right to: <ul style="list-style-type: none"> (i) Be treated with respect and dignity <input type="checkbox"/> (ii) Privacy and confidentiality to be respected <input type="checkbox"/> (iii) Cultural/religious recognition <input type="checkbox"/> (iv) Be free from harassment, coercion, discrimination and exploitation <input type="checkbox"/> (v) Independence <input type="checkbox"/> (vi) Services of an appropriate standard <input type="checkbox"/> (vii) Information in a form the resident can understand <input type="checkbox"/> (viii) Access to support <input type="checkbox"/> (ix) Rights in relation to teaching and research <input type="checkbox"/> (x) Right to raise any concern or to complain <input type="checkbox"/> (b) The code must publicly displayed, available in a form the resident can understand (ie large print or on audiotape) (c) The Home must have a policy relating to Advocacy services (d) Ensure staff have received training in relation to this within the last two years
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✓	Risk - <input type="checkbox"/> Critical <input type="checkbox"/> High <input type="checkbox"/> Moderate <input type="checkbox"/> Low <input type="checkbox"/> Neg	
CI	Actions required to ensure consumer safety: By when: By whom:	View documented policy <ul style="list-style-type: none"> (a) Provides for staff definitions of what constitutes neglect and abuse (b) Describes for staff signs and symptoms that might be observed in residents who may be/have been abused (c) Fully outlines measures that staff should take to prevent further harm including the written reporting requirements of staff should they suspect or observe neglect or abuse of a resident or receive information that concerns the neglect or abuse of a resident (d) Describes the corrective action process following a reported incidence of abuse or neglect (for example debriefing staff, feedback to staff and staff training) (e) Provides a cross reference to the Complaints Protocols and Policies (f) Clarifies for staff how and when training will occur (g) Provides for staff a cross reference to the Elder Abuse and Neglect - A Handbook for those working with Older People
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↓	Criteria	How is achievement of this outcome demonstrated?
<p>1.20</p> <p>Contract Reference D 19.2 (a, c)</p> <p>HDSS Ref: NZS 8142</p>	<p>You must document and implement policies in relation to Infection Control</p> <p>Evaluation method(s) to be used: Policy review/ Observation</p>	<p>Evaluation method(s) used:</p>

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↓	Does the attainment level impact on consumer safety?	Performance Indicators
	<input checked="" type="checkbox"/> Risk - <input type="checkbox"/> Critical <input type="checkbox"/> High <input type="checkbox"/> Moderate <input type="checkbox"/> Low <input type="checkbox"/> Neg	
CI	Actions required to ensure consumer safety: By when: By whom:	Policies and procedures shall include but are not limited to: <ul style="list-style-type: none"> (a) Hand hygiene (b) Standard precautions (c) Transmission-based precautions (d) Prevention and management of infections in staff (e) Anti-microbial usage (f) Outbreak management (g) Cleaning, disinfection and sterilisation (h) Single use items (i) Surveillance (j) Safe food handling
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General Service Specifications

Service Criteria	2. Clinical Records
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↓	Criteria	How is achievement of this outcome demonstrated?
<p>2.1</p> <p>Contract Reference D 8.1</p> <p>HDSS Ref: 4.1.5/5.2</p>	<p>Does the Provider ensure that every Care Giver or Registered Nurse maintains a written record of progress for each Subsidised Resident under the care of that Care Giver or Registered Nurse? And that these records are legible, dated, and signed by the relevant Care Giver or Nurse, indicating their designation?</p> <p>Evaluation method(s) to be used: Clinical Record Review</p>	<p>Evaluation method(s) used:</p>
<p>2.2</p> <p>Contract Reference D 9.1</p> <p>HDSS Ref: 4.1.5</p>	<p>Are entries written for each GP or other health professional visit to each Subsidised Resident?</p> <p>Evaluation method(s) to be used: Clinical Record Review</p>	<p>Evaluation method(s) used:</p>
<p>2.3</p> <p>Contract Reference D 10.1</p> <p>HDSS Ref: 4.1.6</p>	<p>Is there a handover at the commencement of each shift that ensures that each Nurse or other Caregiver receives a report on the status of, and care required for, each Subsidised Resident for whom they will assume care responsibility for that shift?</p> <p>Evaluation method(s) to be used: Nurse/Manager interview, Staff Interview</p>	<p>Evaluation method(s) used:</p>

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↓	Does the attainment level impact on consumer safety?	Performance Indicators
<input checked="" type="checkbox"/>	Risk - <input type="checkbox"/> Critical <input type="checkbox"/> High <input type="checkbox"/> Moderate <input type="checkbox"/> Low <input type="checkbox"/> Neg	
CI	Actions required to ensure consumer safety: By when: By whom:	(a) Entries are written clearly (b) Authorisation/signature, designation and date are recorded in a legible manner (c) Entries are made in ink, electronic or other mediums acceptable under statute (d) Entries are readable not defaced or obliterated by correction fluid (e) Abbreviations are listed and approved (f) Regularity of entries in care records reflects the care needs of residents
FA		
PA		
UA		
<input checked="" type="checkbox"/>	Risk - <input type="checkbox"/> Critical <input type="checkbox"/> High <input type="checkbox"/> Moderate <input type="checkbox"/> Low <input type="checkbox"/> Neg	
CI	Actions required to ensure consumer safety: By when: By whom:	(a) Entries are written clearly (b) Authorisation/signature, designation and date are recorded in a legible manner (c) Entries are made in ink, electronic or other mediums acceptable under statute (d) Entries are readable not defaced or obliterated by correction fluid (e) Abbreviations are listed and approved
FA		
PA		
UA		
<input checked="" type="checkbox"/>	Risk - <input type="checkbox"/> Critical <input type="checkbox"/> High <input type="checkbox"/> Moderate <input type="checkbox"/> Low <input type="checkbox"/> Neg	
CI	Actions required to ensure consumer safety: By when: By whom:	
FA		
PA		
UA		

General Service Specifications

Service Criteria	<p>3. Service Information</p> <p>The Provider must make available to Subsidised Residents and their families, persons who are prospective Residents and their families, and any service who refers Eligible Persons to Providers, information regarding the Services that the Provider must provide under the terms of this Notice.</p> <p>.</p>
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↓	Criteria	How is achievement of this outcome demonstrated?
<p>3.1</p> <p>Contract Reference D 12.1/12.2</p> <p>HDSS Ref: 3.1.5</p>	<p>Is the required information made available to Subsidised Residents and their families?</p> <p>Evaluation method(s) to be used: Document Review</p>	<p>Evaluation method(s) used:</p>
<p>3.2</p> <p>Contract Reference D 12.3</p> <p>HDSS Ref: 3.1.5</p>	<p>Is the information made available to Subsidised Residents and their families in a form the Subsidised Resident and their families can understand (i.e. an appropriate format that takes into consideration the special needs of this client group)?</p> <p>Evaluation method(s) to be used: Document Review, Satisfaction Survey</p>	<p>Evaluation method(s) used:</p>
<p>3.3</p> <p>Contract Reference D 13.1/13.2</p> <p>HDSS Ref: Nil</p>	<p>Does the admission Agreement contain all of the information specified in Clause 5.2 of the Service Specification?</p> <p>Evaluation method(s) to be used: Document Review</p>	<p>Evaluation method(s) used:</p>

GENERAL SERVICE SPECIFICATIONS

Attainment Level	Organisation Details:	
	Completed By: Date:	

↓	Does the attainment level impact on consumer safety?	Performance Indicators
	<input checked="" type="checkbox"/> Risk - <input type="checkbox"/> Critical <input type="checkbox"/> High <input type="checkbox"/> Moderate <input type="checkbox"/> Low <input type="checkbox"/> Neg	
CI	Actions required to ensure consumer safety: By when: By whom:	The information shall include, but is not limited to: (a) The services that the provider offers (b) The location of those services (c) The hours the services are available (d) How a resident may have access to those services (e) Resident rights and responsibilities (f) Availability of cultural support (g) After-hours or emergency contacts if necessary or appropriate (h) Any other information that is important for persons who wish to receive the Provider's services, including additional charges
FA		
PA		
UA		
	<input checked="" type="checkbox"/> Risk - <input type="checkbox"/> Critical <input type="checkbox"/> High <input type="checkbox"/> Moderate <input type="checkbox"/> Low <input type="checkbox"/> Neg	
CI	Actions required to ensure consumer safety: By when: By whom:	(a) Large print, or (b) Braille, or (c) Recorded on tape or video, or (d) Translated, or (e) Any other method
FA		
PA		
UA		
	<input checked="" type="checkbox"/> Risk - <input type="checkbox"/> Critical <input type="checkbox"/> High <input type="checkbox"/> Moderate <input type="checkbox"/> Low <input type="checkbox"/> Neg	
CI	Actions required to ensure consumer safety: By when: By whom:	The admission agreement must contain: (a) Information about charges relating to any services or items, that are not covered by payments under this Notice; (b) A list of items that are excluded from the Services (c) The extent of the Provider's liability for damage or loss of the Subsidised Resident's personal belongings, including clothing; (d) A provision to the effect that the Subsidised Resident authorises the Ministry to contact that Subsidised Resident's family or nominated representative (where applicable) if the Provider's Authorisation is withdrawn or varied (e) The procedure that a Subsidised Resident must follow if he or she wishes to make a complaint about the Provider or any of the services received by Subsidised Resident; (f) A description of the transportation the Provider must provide and an explanation of the Provider's policy regarding additional transportation services it will offer or supply to each Subsidised Resident, at the cost of that Subsidised Resident; (g) Information relating to the Subsidised Resident's rights in respect of the room where that Subsidised Resident will live, including when that Subsidised Resident is temporarily absent from the Facility.
FA		
PA		
UA		

General Service Specifications

Service Criteria	<p>4. Accommodation, facilities and equipment</p> <p>The buildings, facilities and equipment shall meet the accommodation needs of older people, and reflect the special needs of the Subsidised Residents.</p>
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↓	Criteria	How is achievement of this outcome demonstrated?
<p>4.1</p> <p>Contract Reference D 15.2 (b)</p> <p>HDSS Ref:</p> <p>5.4</p>	<p>Does the food service deliver adequate and nutritious meals and refreshments, which as much as possible take into account personal likes/dislikes, address cultural, medical or religious restrictions and are served at times that reflect community norms?</p> <p>Evaluation method(s) to be used: View Dietician report/satisfaction survey/Cook or Manager interview</p>	<p>Evaluation method(s) used:</p>
<p>4.2</p> <p>Contract Reference D 15.2 (c)</p> <p>HDSS Ref:</p> <p>6.2.2</p>	<p>Is the facility maintained in a clean, hygienic and tidy state?</p> <p>Evaluation method(s) to be used: Observation/satisfaction survey</p>	<p>Evaluation method(s) used:</p>
<p>4.3</p> <p>Contract Reference D 15.2 (e)</p> <p>HDSS Ref:</p> <p>6.7</p>	<p>Does the outdoor area incorporate sheltered seating that is easy to get to and is age-appropriate?</p> <p>Evaluation method(s) to be used: Observation</p>	<p>Evaluation method(s) used:</p>

GENERAL SERVICE SPECIFICATIONS

Attainment Level	Organisation Details: Completed By: Date:	
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↓	Does the attainment level impact on consumer safety?	Performance Indicators
✓	Risk - <input type="checkbox"/> Critical <input type="checkbox"/> High <input type="checkbox"/> Moderate <input type="checkbox"/> Low <input type="checkbox"/> Neg	
CI	Actions required to ensure consumer safety: By when: By whom:	(a) There is evidence of weight monitoring of residents where appropriate (b) Fluids are readily available to residents (c) Training is provided for kitchen and serving staff (d) Review menu's (e) Availability of food for snacks (f) Outcome of food satisfaction surveys
FA		
PA		
UA		
✓	Risk - <input type="checkbox"/> Critical <input type="checkbox"/> High <input type="checkbox"/> Moderate <input type="checkbox"/> Low <input type="checkbox"/> Neg	
CI	Actions required to ensure consumer safety: By when: By whom:	
FA		
PA		
UA		
✓	Risk - <input type="checkbox"/> Critical <input type="checkbox"/> High <input type="checkbox"/> Moderate <input type="checkbox"/> Low <input type="checkbox"/> Neg	
CI	Actions required to ensure consumer safety: By when: By whom:	(a) Residents and their families are informed of the nearest location of appropriate external areas (b) Assistance is provided to allow residents to access external areas where appropriate (c) An environment that is conducive to the range of activities undertaken in the area
FA		
PA		
UA		

General Service Specifications

Service Criteria	<p>4. Accommodation, facilities and equipment</p> <p>The buildings, facilities and equipment shall meet the accommodation needs of older people, and reflect the special needs of the Subsidised Residents.</p>
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↓	Criteria	How is achievement of this outcome demonstrated?
<p>4.4</p> <p>Contract Reference D 15.3 (f)</p> <p>HDSS Ref:</p> <p>6.1</p>	<p>Does the Home provide an environment that respects the Subsidised Resident's privacy, individuality and promotes their well-being?</p> <p>(Refer to audit reference 1.18 also)</p> <p>Evaluation method(s) to be used: Observation/ Satisfaction Survey</p>	<p>Evaluation method(s) used:</p>

GENERAL SERVICE SPECIFICATIONS

Attainment Level	Organisation Details: Completed By: Date:	
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↓	Does the attainment level impact on consumer safety?	Performance Indicators
✓	Risk - <input type="checkbox"/> Critical <input type="checkbox"/> High <input type="checkbox"/> Moderate <input type="checkbox"/> Low <input type="checkbox"/> Neg Actions required to ensure consumer safety:	
CI		(a) Visual privacy of resident's personal space
FA		(b) Resident personalisation of room or area e.g. Photographs/pictures, own furniture, ornaments etc
PA		(c) Access to telephones & telephone privacy - residents are able to make and receive calls without interruption or being overheard
UA		(d) Bathroom and toilet facility privacy - privacy can be assured by use of safe locking systems or other effective method
		(e) Resident movement within/out of the facility is not restricted unless appropriate for the level of care provided
	(f) Staff gain permission prior to entering resident's private areas	
	(g) An alternate private area is provided for residents who share a room	
	(h) Where appropriate, residents have 24 hour access to tea/coffee making facilities	
	By when: By whom:	

INDIVIDUAL SUPPORT AND CARE SERVICES

Service Criteria	<p>5. Assessment and Care Planning</p> <p style="text-align: center;">(Use the care planning matrix to complete this section)</p>
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↓	Criteria	How is achievement of this outcome demonstrated?
<p>5.1</p> <p>Contract Reference D 16.2 (a)</p> <p>HDSS Ref: 4.2</p>	<p>Is an assessment undertaken on each subsidised resident on admission that includes the following components:</p> <ul style="list-style-type: none"> Physical Psycho-social Spiritual and cultural aspects? <p>Evaluation method(s) to be used: Care Plan Matrix</p>	<p>Evaluation method(s) used:</p>
<p>5.2</p> <p>Contract Reference D 16.2 (b)</p> <p>HDSS Ref: 4.3</p>	<p>Is a care plan developed on admission which outlines the needs of the subsidised resident until a full care plan is developed three weeks after admission?</p> <p>Is it evident that a Registered Nurse has developed the care plan?</p> <p>Evaluation method(s) to be used: Care Plan Matrix</p>	<p>Evaluation method(s) used:</p>
<p>5.3</p> <p>Contract Reference D 16.2 (c)</p> <p>HDSS Ref: 4.4.1</p>	<p>In the event of unplanned admissions, is a Registered Nurse contacted in order to provide professional advice?</p> <p>Evaluation method(s) to be used: RN interview</p>	<p>Evaluation method(s) used:</p>

GENERAL SERVICE SPECIFICATIONS

Attainment Level	Organisation Details: Completed By: Date:	
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↓	Does the attainment level impact on consumer safety?	Performance Indicators
<input checked="" type="checkbox"/>	Risk - <input type="checkbox"/> Critical <input type="checkbox"/> High <input type="checkbox"/> Moderate <input type="checkbox"/> Low <input type="checkbox"/> Neg Actions required to ensure consumer safety:	Use care planning matrix
CI		
FA		
PA		
UA	By when: By whom:	
<input checked="" type="checkbox"/>	Risk - <input type="checkbox"/> Critical <input type="checkbox"/> High <input type="checkbox"/> Moderate <input type="checkbox"/> Low <input type="checkbox"/> Neg Actions required to ensure consumer safety:	Use care planning matrix
CI		
FA		
PA		
UA	By when: By whom:	
<input checked="" type="checkbox"/>	Risk - <input type="checkbox"/> Critical <input type="checkbox"/> High <input type="checkbox"/> Moderate <input type="checkbox"/> Low <input type="checkbox"/> Neg Actions required to ensure consumer safety:	Use care planning matrix
CI		
FA		
PA		
UA	By when: By whom:	

CARE PLAN MATRIX

Name of Rest Home: _____

Subsidised Resident numbers:	Number of Lifestyle care plans to be audited
0 to 8	4
9 to 15	6
16 to 25+	8

Use the grid provided to record compliance with requirements for each plan viewed. .

(a) Admission Assessment and Care Plan

Contract References	Component	1	2	3	4	5	6	7	8	9	10
D 16.2 (a)	Assessment completed for each resident on admission										
D 16.2 (b)	A care plan developed on admission which outlines the needs of subsidised residents for the first three weeks										

(b) Long Term Care Plan

Contract References	Component	1	2	3	4	5	6	7	8	9	10
D 16.3 (c)	Reviewed and amended to ensure it remains relevant										
D 16.3 (e)	Family/whanau involvement evident										
D 16.3 (f)	Current abilities										
D 16.3 (f)	Identified needs/deficits										
D 16.3 (f)	Personal preferences evident										
D 16.3(g)	Personal care needs										
D 16.3(g)	Healthcare needs										
D 16.3(g)	Rehabilitation needs, if appropriate										
D 16.3(g)	Care of the dying, where appropriate										
D 16.3(k)	States actual or potential problems with goals										
D 16.3(l)	Short term needs with planned interventions documented										
D 16.3 (b)	Evaluated at least six monthly										
D 16.3 (m)	Care plans are available to and used by all staff to guide care										
D 16.4 (b)	Placement appropriate to the level of care provided by the Provider										
D 16.5 (e) i	Subsidised residents examined by a medical practitioner within two days of admission										
D 16.5 (e) i	GP review at least three monthly (monthly for subsidised residents with unstable medical conditions)										
D 5.4	Management of Incontinence – assessment, plan and evaluation, where applicable										
D 5.4	Management of Challenging Behaviour – assessment, plan and evaluation, where applicable										
D 5.4	Management of Pain – assessment, plan and evaluation, where applicable										
D 5.4	Management of Restraint – assessment, consent, plan and evaluation, where applicable										
D 5.4	Skin management – assessment, plan and evaluation, where applicable										
D 5.4	Management of Wounds – assessment, plan and evaluation, where applicable										

Dementia specific Components:

Name of Rest Home: _____

Contract References	Component	1	2	3	4	5	6	7	8	9	10
E 4.2 (a)	The admission or other assessment includes identifying behaviour particular to the subsidised resident and utilisation of any specialist assessment available										
E 4.2 (b)	Each subsidised resident has an individual assessment to determine his or her individual diversional, motivational or recreational requirements										
E 4.3 (b) i	Each subsidised resident's care plan contains the following: A description of the subsidised resident's current abilities										
E 4.3 (b) i	Level of independence										
E 4.3 (b) i	Identified needs/deficits										
E 4.3 (b) i	The subsidised resident's habits, routines, idiosyncrasies										
E 4.3 (b) ii	Strategies for minimising episodes of challenging behaviour based on assessment and prevention										
E 4.3 (b) iii	A description of how the behaviour of the subsidised resident is best managed over a 24-hour period										
E 4.3 (b) iv	A description of the activities that meet their needs in relation to individual diversional, motivational and recreation therapy during the 24-hour period										

INDIVIDUAL SUPPORT AND CARE SERVICES

Attainment Level	Organisation Details: Completed By: Date:	
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↓	Does the attainment level impact on consumer safety?	Performance Indicators
<input checked="" type="checkbox"/>	Risk - <input type="checkbox"/> Critical <input type="checkbox"/> High <input type="checkbox"/> Moderate <input type="checkbox"/> Low <input type="checkbox"/> Neg Actions required to ensure consumer safety:	Use care planning matrix
CI		
FA		
PA		
UA	By when: By whom:	
<input checked="" type="checkbox"/>	Risk - <input type="checkbox"/> Critical <input type="checkbox"/> High <input type="checkbox"/> Moderate <input type="checkbox"/> Low <input type="checkbox"/> Neg Actions required to ensure consumer safety:	Use care planning matrix
CI		
FA		
PA		
UA	By when: By whom:	
<input checked="" type="checkbox"/>	Risk - <input type="checkbox"/> Critical <input type="checkbox"/> High <input type="checkbox"/> Moderate <input type="checkbox"/> Low <input type="checkbox"/> Neg Actions required to ensure consumer safety:	Use care planning matrix
CI		
FA		
PA		
UA	By when: By whom:	

INDIVIDUAL SUPPORT AND CARE SERVICES

Service Criteria	<p>5. Assessment and Care Planning</p> <p>(Use the care planning matrix to complete this section)</p>
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↓	Criteria	How is achievement of this outcome demonstrated?
<p>5.7</p> <p>Contract Reference D 16.3(k)</p> <p>HDSS Ref: 4.3</p>	<p>Does each care plan focus on each subsidised resident and states actual or potential problems/deficits and sets goals for rectifying these and detail required interventions?</p> <p>Evaluation method(s) to be used: Care Plan Matrix</p>	<p>Evaluation method(s) used:</p>
<p>5.8</p> <p>Contract Reference D 16.3 (l)</p> <p>HDSS Ref: 4.3</p>	<p>Are short-term needs together with planned interventions documented?</p> <p>Evaluation method(s) to be used: Care Plan Matrix</p>	<p>Evaluation method(s) used:</p>
<p>5.9</p> <p>Contract Reference D 16.3 (m)</p> <p>HDSS Ref: 4.1.6</p>	<p>Are care plans available to and used by all staff to guide the care delivery according to the relevant staff member's level of responsibility?</p> <p>Evaluation method(s) to be used: Care Plan Matrix</p>	<p>Evaluation method(s) used:</p>

INDIVIDUAL SUPPORT AND CARE SERVICES

Attainment Level	Organisation Details: Completed By: Date:	
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↓	Does the attainment level impact on consumer safety?	Performance Indicators
<input checked="" type="checkbox"/>	Risk - <input type="checkbox"/> Critical <input type="checkbox"/> High <input type="checkbox"/> Moderate <input type="checkbox"/> Low <input type="checkbox"/> Neg Actions required to ensure consumer safety:	Use care planning matrix
CI		
FA		
PA		
UA	By when: By whom:	
<input checked="" type="checkbox"/>	Risk - <input type="checkbox"/> Critical <input type="checkbox"/> High <input type="checkbox"/> Moderate <input type="checkbox"/> Low <input type="checkbox"/> Neg Actions required to ensure consumer safety:	Use care planning matrix
CI		
FA		
PA		
UA	By when: By whom:	
<input checked="" type="checkbox"/>	Risk - <input type="checkbox"/> Critical <input type="checkbox"/> High <input type="checkbox"/> Moderate <input type="checkbox"/> Low <input type="checkbox"/> Neg Actions required to ensure consumer safety:	Use care planning matrix
CI		
FA		
PA		
UA	By when: By whom:	

INDIVIDUAL SUPPORT AND CARE SERVICES

Service Criteria	<p>5. Assessment and Care Planning</p> <p>(Use the care planning matrix to complete this section)</p>
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↓	Criteria	How is achievement of this outcome demonstrated?
5.10 Contract Reference D 16.4 (a) HDSS Ref: 4.5	<p>Are care plans evaluated, reviewed and amended either when clinically indicated or at least every six months, whichever is the earlier?</p> <p>Evaluation method(s) to be used: Care Plan Matrix</p>	<p>Evaluation method(s) used:</p>
5.12 Contract Reference D 16.4 (b) HDSS Ref: Nil	<p>Does the provider notify the subsidised resident's family members, with the subsidised resident's consent, as soon as possible, if the subsidised resident's condition changes significantly?</p> <p>Evaluation method(s) to be used: Satisfaction Survey</p>	<p>Evaluation method(s) used:</p>
5.13 Contract Reference D 16.4 (c) HDSS Ref: 4.7	<p>Is the subsidised resident referred to the relevant Needs Assessment and Service Co-ordination service for re-assessment if there is a significant change in that subsidised resident's level of need and those needs can no longer be met by the provider?</p> <p>Evaluation method(s) to be used: Clinical Record Review</p>	<p>Evaluation method(s) used:</p>

INDIVIDUAL SUPPORT AND CARE SERVICES

Attainment Level	Organisation Details: Completed By: Date:	
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↓	Does the attainment level impact on consumer safety?	Performance Indicators
✓	Risk - <input type="checkbox"/> Critical <input type="checkbox"/> High <input type="checkbox"/> Moderate <input type="checkbox"/> Low <input type="checkbox"/> Neg Actions required to ensure consumer safety:	Use care planning matrix
CI		
FA		
PA		
UA	By when: By whom:	
✓	Risk - <input type="checkbox"/> Critical <input type="checkbox"/> High <input type="checkbox"/> Moderate <input type="checkbox"/> Low <input type="checkbox"/> Neg Actions required to ensure consumer safety:	Use care planning matrix
CI		
FA		
PA		
UA	By when: By whom:	
✓	Risk - <input type="checkbox"/> Critical <input type="checkbox"/> High <input type="checkbox"/> Moderate <input type="checkbox"/> Low <input type="checkbox"/> Neg Actions required to ensure consumer safety:	Use care planning matrix
CI		
FA		
PA		
UA	By when: By whom:	

INDIVIDUAL SUPPORT AND CARE SERVICES

Service Criteria	6 Support and care intervention
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↓	Criteria	How is achievement of this outcome demonstrated?
<p>6.1</p> <p>Contract Reference D 16.5 (c) (ii)</p> <p>HDSS Ref: 4.6</p>	<p>Is there an appropriately trained and designated staff member who is skilled in and accountable for the assessment, implementation and evaluation of a diversional and motivational recreation programme for each subsidised resident</p> <p>Evaluation method(s) to be used: Diversional Therapist/Activities Person Interview/Staff training records</p>	<p>Evaluation method(s) used:</p>
<p>6.2</p> <p>Contract Reference D 16.5 (c) (iii)</p> <p>HDSS Ref: 4.6</p>	<p>Is there, for each subsidised resident, a written and implemented social and recreational programme of activities planned to meet the interests, stated preferences and level of ability/disability?</p> <p>Evaluation method(s) to be used: Clinical Record Review Evidence of reviews in care plans/ therapy plans/satisfaction survey Programme shows evidence of reviews based on current resident preferences and abilities</p>	<p>Evaluation method(s) used:</p>
<p>6.3</p> <p>Contract Reference D 16.5 (c) (iii)</p> <p>HDSS Ref: 4.6</p>	<p>Is this social and recreational programme evaluated and reviewed each time the care plan is reviewed?</p> <p>Does this programme include group and individual activities and involvement with the wider community?</p> <p>Evaluation method(s) to be used: Clinical Record Review</p>	<p>Evaluation method(s) used:</p>

INDIVIDUAL SUPPORT AND CARE SERVICES

Attainment Level	Organisation Details: Completed By: Date:	
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↓	Does the attainment level impact on consumer safety?	Performance Indicators
✓	Risk - <input type="checkbox"/> Critical <input type="checkbox"/> High <input type="checkbox"/> Moderate <input type="checkbox"/> Low <input type="checkbox"/> Neg Actions required to ensure consumer safety:	Documented evidence of one or more: (a) Formal training (b) Short courses (c) Formal networking with educative component (d) Attendance at seminars or conferences (e) Evidence of comprehensive self directed learning
CI		
FA		
PA		
UA	By when: By whom:	
✓	Risk - <input type="checkbox"/> Critical <input type="checkbox"/> High <input type="checkbox"/> Moderate <input type="checkbox"/> Low <input type="checkbox"/> Neg Actions required to ensure consumer safety:	(a) Evidence of residents' preferences reflected in current programme (b) Implementation evident in Individual reviews documented (c) Activities person involved in the collection and documentation of the subsidised resident's profile and social history
CI		
FA		
PA		
UA	By when: By whom:	
✓	Risk - <input type="checkbox"/> Critical <input type="checkbox"/> High <input type="checkbox"/> Moderate <input type="checkbox"/> Low <input type="checkbox"/> Neg Actions required to ensure consumer safety:	View generic recreation/diversional therapy plan for the facility and ensure it includes: (a) A creative component (b) An intellectually stimulating component (c) Group activities (d) Individual activities (e) Social contact outside the facility (f) Community involvement (g) Evidence of Activities Person working collaboratively with the multi disciplinary team
CI		
FA		
PA		
UA	By when: By whom:	

INDIVIDUAL SUPPORT AND CARE SERVICES

Service Criteria	7. Primary Medical Treatment
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↓	Criteria	How is achievement of this outcome demonstrated?
7.1 Contract Reference D 16.5 (e) (i) HDSS Ref: Nil	Are subsidised residents examined by a medical practitioner within two working days of admission? Evaluation method(s) to be used: Clinical Record Review/Use care plan matrix	Evaluation method(s) used:
7.2 Contract Reference D 16.5 (e) (i) HDSS Ref: Nil	Are subsidised residents reviewed by a medical practitioner at least three monthly (at least monthly when the resident is not medically stable and more often when assessed as clinically indicated by a Registered Nurse)? Evaluation method(s) to be used: Clinical Record Review/Care plan matrix	Evaluation method(s) used:
7.3 Contract Reference D 16.5 (e) (i) HDSS Ref: 5.3.6	Are each subsidised resident's medications reviewed by the General Practitioner at least three monthly? Evaluation method(s) to be used: Clinical Record Review, Medication Profile Review	Evaluation method(s) used:

INDIVIDUAL SUPPORT AND CARE SERVICES

Attainment Level	Organisation Details: Completed By: Date:	
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↓	Does the attainment level impact on consumer safety?	Performance Indicators
<input checked="" type="checkbox"/>	Risk - <input type="checkbox"/> Critical <input type="checkbox"/> High <input type="checkbox"/> Moderate <input type="checkbox"/> Low <input type="checkbox"/> Neg	
CI	Actions required to ensure consumer safety: By when: By whom:	(a) Dated and signed (b) Medical assessment present (c) Medical notes/plan documented dated and signed
FA		
PA		
UA		
<input checked="" type="checkbox"/>	Risk - <input type="checkbox"/> Critical <input type="checkbox"/> High <input type="checkbox"/> Moderate <input type="checkbox"/> Low <input type="checkbox"/> Neg	
CI	Actions required to ensure consumer safety: By when: By whom:	(a) Dated and signed (b) Evidence of regular (No less than 3 monthly) reviews (c) Facility initiated visits documented appropriately (as per outside 3 monthly reviews) (d) Medical visits required outside the 3-monthly requirement, occur in a timely fashion
FA		
PA		
UA		
<input checked="" type="checkbox"/>	Risk - <input type="checkbox"/> Critical <input type="checkbox"/> High <input type="checkbox"/> Moderate <input type="checkbox"/> Low <input type="checkbox"/> Neg	
CI	Actions required to ensure consumer safety: By when: By whom:	(a) Medications fully documented dated and signed by the GP (b) Evidence of changes as per resident needs indicate – relating to progress notes and care plan entries. (c) Adjustments appropriate to reported/documentated use of prn medications (refer to medication management policy)
FA		
PA		
UA		

Service Criteria	<p>8. Human resources</p> <p>The provider must provide sufficient staff to meet the health and personal care needs of all subsidised residents, at all times.</p>
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↓	Criteria	How is achievement of this outcome demonstrated?
<p>8.1</p> <p>Contract Reference D 17.2 (a) (b) (c) (d) or D 17.3 (a)</p> <p>HDSS Ref: 2.7</p>	<p>Is it evident that the staffing levels described in clause D 17.2 or D 17.3 are being met?</p> <p>Evaluation method(s) to be used: Manager Interview, Staff rosters, staff interview</p>	<p>Evaluation method(s) used:</p>
<p>D 8.2</p> <p>Contract Reference D 17.2 (e) or D 17.3 (b) or D 17.4</p> <p>HDSS Ref: 2.1.3</p>	<p>Does the Manager of the Home have an appropriate qualification and appropriate experience in managing a residential age care facility?</p> <p>Evaluation method(s) to be used: Manager Interview, CV review</p>	<p>Evaluation method(s) used:</p>

Attainment Level	Organisation Details:	
	Completed By: Date:	

↓	Does the attainment level impact on consumer safety?	Performance Indicators
	✓ Risk - <input type="checkbox"/> Critical <input type="checkbox"/> High <input type="checkbox"/> Moderate <input type="checkbox"/> Low <input type="checkbox"/> Neg	
CI	Actions required to ensure consumer safety: By when: By whom:	<u>Rest Homes</u> (a) In every Facility where there are: (i) 10 or fewer Residents, there must be a Care Staff member On Duty at all times; (ii) Up to 29 Residents, there must be one Care Staff member On Duty and one Care staff member On-call at all times. Where a Registered Nurse or Manager determines from time to time that the Subsidised Residents' needs are such that extra staff attention is required, then the Provider shall ensure that there are two Care staff On Duty at those times. (b) In every Facility accommodating: (i) More than 30 Residents, at least two Care Staff members shall be On Duty at all times; (ii) More than 60 Residents, at least three Care Staff members shall be On Duty at all times.
FA		<u>Hospitals</u> (a) In every hospital: (i) there shall at all times be On Duty at least one Registered Nurse, excluding a registered psychiatric nurse; (ii) the distribution of Care Staff over a 24 hour period shall be in accordance with the needs of the Subsidised Residents as determined by a Registered Nurse. A minimum of 2 Care Staff are required to be On Duty at all times; (iii) the lay out of the Facility must also be taken into consideration when determining the number and the distribution of Care Staff required to meet the needs of the Subsidised Residents under clause D17.3(a)(ii).
PA		<u>Hospitals and Rest Homes</u> (a) Where the Registered Nurse or Manager at any time considers that additional staff are required to meet the needs of all Subsidised Residents, the Provider shall ensure that those extra staff are On Duty for the period of time that the Registered Nurse or Manager recommends. (b) Where there is more than one category of Services provided on a site one of the staff members may, if qualified, be shared between each level of care to provide on-call assistance.
UA		
	✓ Risk - <input type="checkbox"/> Critical <input type="checkbox"/> High <input type="checkbox"/> Moderate <input type="checkbox"/> Low <input type="checkbox"/> Neg	
CI	Actions required to ensure consumer safety: By when: By whom:	(a) Previous Ministry approval (b) Attendance at management related courses within last 12 months (c) Job description (d) Records of JD implementation (i) Competency monitoring (ii) Staff training (iii) Coaching
FA		
PA		
UA		

Service Criteria	<p>8. Human resources</p> <p>The provider must provide sufficient staff to meet the health and personal care needs of all subsidised residents, at all times.</p>
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↓	Criteria	How is achievement of this outcome demonstrated?
<p>8.3</p> <p>Contract Reference D 17.2 (f) or D 17.3 (c)</p> <p>HDSS Ref: 2.6.1</p>	<p>Does the Registered Nurse fulfil the functions described in D 17.2 (e) or D 17.3 (c)?</p> <ul style="list-style-type: none"> a) Assessment of residents b) Develop and review of care plans in consultation with the subsidised resident and his/her family/□Whanau c) Advise on care and administration of medication, possible side effects and reported errors/incidents d) Provide and supervise care e) Act as a resource person and fulfil an educative role f) Monitor the competence of other nursing and care staff to ensure safe practice g) Advise management of the staff's training needs h) Assist on the development of policies and procedures <p>Evaluation method(s) to be used: Care Plan Matrix, Registered Nurse interview, Staff interview</p>	<p>Evaluation method(s) used:</p>

Service Criteria	<p>8. Human resources</p> <p>The provider must provide sufficient staff to meet the health and personal care needs of all subsidised residents, at all times.</p>
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↓	Criteria	How is achievement of this outcome demonstrated?
<p>8.4</p> <p>Contract Reference D 17.5 (a)</p> <p>HDSS Ref: 2.6.4</p>	<p>Do all newly engaged staff receive a planned orientation programme?</p> <p>Evaluation methods to be used: Orientation Records/ Training records/Staff Interview</p>	<p>Evaluation method(s) used:</p>
<p>8.5</p> <p>Contract Reference D 17.5 (b) (c)</p> <p>HDSS Ref: 2.6.5</p>	<p>Have all staff who have direct contact with the subsidised resident completed education that is related to care of the older person?</p> <p>Evaluation methods to be used: Orientation Records/ Training records/Staff Interview</p>	<p>Evaluation method(s) used:</p>
<p>8.6</p> <p>Contract Reference D 17.6 (e)</p> <p>HDSS Ref: 6.6</p>	<p>Has the provider developed and implemented protocols to guide staff managing clinical and non-clinical emergencies?</p> <p>Evaluation method(s) to be used: Policy Review, staff training records, staff interview</p>	<p>Evaluation method(s) used:</p>

Attainment Level	Organisation Details:	
	Completed By: Date:	

↓	Does the attainment level impact on consumer safety?	Performance Indicators
	✓ Risk - <input type="checkbox"/> Critical <input type="checkbox"/> High <input type="checkbox"/> Moderate <input type="checkbox"/> Low <input type="checkbox"/> Neg	
CI	Actions required to ensure consumer safety: By when: By whom:	(a) The orientation should include: (b) The philosophy and vision of the provider (c) Physical layout of the facility (d) Their job description (e) Policies, procedures and guidelines relevant to their engagement (f) Non-clinical and clinical emergency protocols
FA		
PA		
UA		
	✓ Risk - <input type="checkbox"/> Critical <input type="checkbox"/> High <input type="checkbox"/> Moderate <input type="checkbox"/> Low <input type="checkbox"/> Neg	
CI	Actions required to ensure consumer safety: By when: By whom:	Ensure the training addresses: (a) The ageing process (b) Practical care skills (c) Awareness of cultural issues (d) Communication including barriers and communication aids (e) Observation and reporting (f) Promotion of independence and recognition of individuality (g) Understanding of the subsidised residents rights
FA		
PA		
UA		
	✓ Risk - <input type="checkbox"/> Critical <input type="checkbox"/> High <input type="checkbox"/> Moderate <input type="checkbox"/> Low <input type="checkbox"/> Neg	
CI	Actions required to ensure consumer safety: By when: By whom:	(a) Evidence of fire drill(s) occurring (b) Staff are able to provide first aid and emergency treatment (c) Provision of emergency equipment on site in a state of readiness (d) Civil Defence resources available (e) Advance directive policy known
FA		
PA		
UA		

Service Criteria	<p>8. HUMAN RESOURCES</p> <p>Staff support and guidance</p>
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↓	Criteria	How is achievement of this outcome demonstrated?
<p>8.7</p> <p>Contract Reference D 17.6 (f)</p> <p>HDSS Ref: 2.6.5</p>	<p>Are performance appraisals undertaken at least annually?</p> <p>Evaluation method(s) to be used: Manager interview, View completed performance appraisals, staff interview</p>	<p>Evaluation method(s) used:</p>

Attainment Level	Organisation Details:	
	Completed By: Date:	

↓	Does the attainment level impact on consumer safety?	Performance Indicators
✓	Risk - <input type="checkbox"/> Critical <input type="checkbox"/> High <input type="checkbox"/> Moderate <input type="checkbox"/> Low <input type="checkbox"/> Neg Actions required to ensure consumer safety:	(a) At least 12 monthly reviews (b) Issues followed up and documented as resolved
CI		
FA		
PA		
UA		
	By when: By whom:	

Service Criteria	<p>9 Supplies</p> <p>Provision of Dressing and Continence Supplies</p>
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↓	Criteria	How is achievement of this outcome demonstrated?
<p>9.1</p> <p>Contract Reference D 18.3</p> <p>HDSS Ref: 2.8.2 (loose)</p>	<p>Are appropriate dressing supplies provided by the provider?</p> <p>(Refer also to audit reference 1.16)</p> <p>Evaluation method(s) to be used: View supplies, Staff interview</p>	<p>Evaluation method(s) used:</p>
<p>9.2</p> <p>Contract Reference D 18.4 (a) (b)</p> <p>HDSS Ref: 2.8.2 (loose)</p>	<p>Are appropriate Continence supplies provided by the provider?</p> <p>Has the provider sought advice from the continence advisory service of the community support services, where necessary?</p> <p>(Refer also to audit reference 1.2)</p> <p>Evaluation method(s) to be used: Observation, Care Plan Matrix</p>	<p>Evaluation method(s) used:</p>

Attainment Level	Organisation Details:	
	Completed By: Date:	

↓	Does the attainment level impact on consumer safety?	Performance Indicators
	<input checked="" type="checkbox"/> Risk - <input type="checkbox"/> Critical <input type="checkbox"/> High <input type="checkbox"/> Moderate <input type="checkbox"/> Low <input type="checkbox"/> Neg	
CI	Actions required to ensure consumer safety: By when: By whom:	(a) Any products referred to in care plans are available on site (b) Stocks are relative to the frequency of procedures identified as current (c) Care plan /treatment sheets reflect current level of supplies (d) Staff training /competency is recorded for those who have responsibilities in dressing wounds
FA		
PA		
UA		
	<input checked="" type="checkbox"/> Risk - <input type="checkbox"/> Critical <input type="checkbox"/> High <input type="checkbox"/> Moderate <input type="checkbox"/> Low <input type="checkbox"/> Neg	
CI	Actions required to ensure consumer safety: By when: By whom:	(a) Care plan orders indicate specific requirements (b) Any products referred to in care plans are available on site (c) Adequate supplies are evident/ order forms/invoices viewed
FA		
PA		
UA		

Service Criteria	<p>10. Quality focus and risk management</p> <p>Contract Reference D 19</p>
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↓	Criteria	How is achievement of this outcome demonstrated?
<p>10.1</p> <p>Contract Reference D 19.3 (a), (b), (c), (d)</p> <p>HDSS Ref: 2.2</p>	<p>You must document and implement policies, processes and procedures for risk management</p> <p>These policies may include but are not limited to:</p> <ul style="list-style-type: none"> (a) identifying key risks to health and safety; (b) evaluating and prioritising those risks based on their severity, the effectiveness of any controls you have and the probability of occurrence; (c) dealing with those risks and where possible reducing them; (d) minimising the adverse impact of the internal emergencies and external or environmental disasters on the Subsidised Resident, visitors and staff; (e) working with the organisations who have responsibility for co-ordinating internal and external (environmental) disaster services; (f) accident and hazard management that safeguard Subsidised Residents, visitors and staff from avoidable incidents, accidents and hazards 	<p>Evaluation method(s) used:</p>

Service Criteria	<p>10. Quality focus and risk management</p> <p>Contract Reference D 19</p>
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↓	Criteria	How is achievement of this outcome demonstrated?
<p>10.2</p> <p>Contract Reference D 19.4 (b)</p> <p>HDSS Ref: 2.2</p>	<p>You shall develop and implement a quality improvement programme.</p>	<p>Evaluation method(s) used:</p>
<p>10.3</p> <p>Contract Reference D 19.4 (c)</p> <p>HDSS Ref: 2.2</p>	<p>You are expected to monitor and evaluate the delivery of services against the Quality Improvement Plan.</p>	<p>Evaluation method(s) used:</p>

Attainment Level	Organisation Details:	
	Completed By: Date:	

↓	Does the attainment level impact on consumer safety?	Performance Indicators
	<input checked="" type="checkbox"/> Risk - <input type="checkbox"/> Critical <input type="checkbox"/> High <input type="checkbox"/> Moderate <input type="checkbox"/> Low <input type="checkbox"/> Neg	
CI	Actions required to ensure consumer safety: By when: By whom:	(a) The Quality Improvement Plan must include: (b) An explicit quality philosophy (c) Clear quality objectives (d) Quality improvement risk management systems (e) Systems for monitoring quality audit compliance (f) Designated organisational and staff responsibilities (g) Resident input into services and the QIP
FA		
PA		
UA		
	<input checked="" type="checkbox"/> Risk - <input type="checkbox"/> Critical <input type="checkbox"/> High <input type="checkbox"/> Moderate <input type="checkbox"/> Low <input type="checkbox"/> Neg	
CI	Actions required to ensure consumer safety: By when: By whom:	Such quality monitoring mechanisms may include, but are not limited to: (a) Resident feedback mechanisms (b) Quality review procedures (c) External reviews
FA		
PA		
UA		

Service Criteria	11. Maori Health Plan
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↓	Criteria	How is achievement of this outcome demonstrated?
11.1 Contract Reference A 3.1 HDSS Ref: 1.2	Are policies and procedures in place to guide staff in order to ensure that the specific needs of Maori residents are met?	Evaluation method(s) used:
11.2 Contract Reference A 3.2 HDSS Ref: 1.2	Is it evident that the cultural needs of all subsidised residents are met? Where subsidised residents identify or have specific iwi or other cultural connections, are the maintenance of these cultural links acknowledged and facilitated?	Evaluation method(s) used:

Attainment Level	Organisation Details: Completed By: Date:	
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↓	Does the attainment level impact on consumer safety?	Performance Indicators
✓	Risk - <input type="checkbox"/> Critical <input type="checkbox"/> High <input type="checkbox"/> Moderate <input type="checkbox"/> Low <input type="checkbox"/> Neg Actions required to ensure consumer safety:	
CI	By when: By whom:	The Maori Health plan should include but is not limited to: (a) A description of the consultation process with iwi/Maori and involvement/participation by iwi/hapu/Whanau in the services and current consultative activity (b) A description of how Maori input into culturally appropriate service delivery is achieved. (c) A description of how the services are delivered in a culturally appropriate manner and may include an explanation of how the concepts of Tapu and Noa either will be, or currently are respected. (d) A description of how rehabilitation processes will meet the needs of Maori, and (e) A description of links with relevant Maori Health Providers
FA		
PA		
UA		
✓	Risk - <input type="checkbox"/> Critical <input type="checkbox"/> High <input type="checkbox"/> Moderate <input type="checkbox"/> Low <input type="checkbox"/> Neg Actions required to ensure consumer safety:	
CI	By when: By whom:	This may include: (a) Using your best endeavours to ensure the availability of Maori staff to reflect the subsidised resident population (b) Facilitation of the involvement of Whanau and others (c) Integration of Maori values and beliefs, and cultural practices, and (d) Developing your knowledge and use of referral protocols with Maori service providers in your locality.
FA		
PA		
UA		