



22 May 2024

§ 9(2)(a)

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Ref: H2024040623

Tēnā koe § 9(2)(a)

### **Response to your request for official information**

Thank you for your request under the Official Information Act 1982 (the Act) to the Ministry of Health – Manatū Hauora (the Ministry) on 1 May 2024 for information regarding the assessment and certification of Aged Care Facilities. You requested:

*“On behalf of Northland Aged Care Facilities, can I please request a copy of the risk matrix applied to assessments of audits of Aged Care Facilities to establish the renewed certification period?  
Particularly around corrective actions and what these trigger.”*

One document titled *The Decision tool guide for the determination of certification period (template)* has been identified within scope of your request. This document is appended to this letter and released to you in full.

HealthCERT is the team within the Ministry that is responsible for regulating healthcare providers as required under the Health and Disability Services (Safety) Act 2001.

Providers are required to be certified under the Health and Disability Services (Safety) Act 2001 and to meet Ngā paerewa Health and disability services standard NZS 8134:2021. Providers are also required to apply to HealthCERT for certification and be audited on a regular basis.

The Registered Nurses within the HealthCERT team assess the results of the audits against Ngā Paerewa, along with any other information, and make a recommendation on the period the certification for the provider and any other conditions they will be subject to.

HealthCERT considers a number of factors when determining a period of certification, including:

- the number of subsections and criteria identified at audit that were assessed as continuous improvement, fully attained or partially attained as well as the associated risk ratings
- certification history
- interagency comments or investigations (such as funders and the Office of the Health and Disability Commissioner)
- substantiated complaints other relevant matters.

In determining a period of certification, HealthCERT advisors apply the audit evidence and outcomes to a decision tool. The decision tool is a table comprised of 19 aspects. An assessment of audit evidence is completed and a score is applied to each of the aspects. Each aspect score is added and the total score indicates the period of certification.

For further information on certification of healthcare services see the link to the Ministry's website: <https://www.health.govt.nz/our-work/regulation-health-and-disability-system/certification-health-care-services>

I trust this information fulfils your request. If you wish to discuss any aspect of your request with us, including this decision, please feel free to contact the OIA Services Team on: [oiagr@health.govt.nz](mailto:oiagr@health.govt.nz).

Under section 28(3) of the Act, you have the right to ask the Ombudsman to review any decisions made under this request. The Ombudsman may be contacted by email at: [info@ombudsman.parliament.nz](mailto:info@ombudsman.parliament.nz) or by calling 0800 802 602.

Please note that this response, with your personal details removed, may be published on the Manatū Hauora website at: [www.health.govt.nz/about-ministry/information-releases/responses-official-information-act-requests](http://www.health.govt.nz/about-ministry/information-releases/responses-official-information-act-requests).

Nāku noa, nā



Ruihua Gu  
**Acting Group Manager, Quality Assurance and Safety  
Regulation and Monitoring | Te Pou Whakamaru**

## Decision tool guide for the determination of certification period

	Aspect 1: High Risk	Evidence (subsection level attainment rating)	Assessment	Score
1.1	Abuse and neglect HDSS 2021 1.5		0. Subsection UA or PA critical 1. Subsection PA high risk 2. Subsection PA moderate risk 3. Subsection PA low risk 4. Subsection FA 5. Subsection CI or FA with evidence demonstrating links to quality systems and service improvements	0 0=0 1=4 2=8 3=12 4=16 5=20
1.2	Informed consent HDSS 2021 1.6,1.7		0. Subsection UA or PA critical/high risk 1. Two subsections moderate risk 2. One subsection moderate risk 3. One or two subsections low risk 4. FA all subsections 5. Subsection CI or FA with evidence demonstrating links to quality systems and service improvements	0 0=0 1=6 2=12 3=18 4=24 5=30
1.3	Adverse event reporting HDSS 2021 2.2		0. Subsection UA or PA critical 1. Subsection PA high risk 2. Subsection PA moderate risk 3. Subsection PA low risk 4. Subsection FA 5. Subsection CI or FA with evidence demonstrating links to quality systems and service improvements	0 0=0 1=6 2=12 3=18 4=24 5=30
1.4	Staffing HDSS 2021 2.3		0. Subsection UA or PA critical/no staff 1. Subsection PA high risk 2. Subsection PA moderate risk 3. Subsection PA low risk 4. Subsection FA 5. Subsection CI or FA. Undertakes trending/analysis of recruitment issues and implements strategies in response	0 0=0 1=10 2=20 3=30 4=40 5=50
1.5	Medication management HDSS 2021 3.4		0. Criterion UA or PA critical/high risk 1. Criterion 2 or more PA moderate risk 2. Criterion any PA moderate risk 3. Subsection PA low risk 4. Subsection FA 5. Subsection CI or FA with evidence demonstrating links to quality systems and service improvements	0 0=0 1=10 2=20 3=30 4=40 5=50
1.6	Infection Control HDSS 2021 5.1, 5.2, 5.3, 5.4, 5.5		0. Subsection UA or PA high risk/critical 1. Subsection PA moderate risk 2. Subsection PA low risk 3. All subsections FA 4. All subsections FA with links to quality being developed 5. Subsections CI or FA with evidence demonstrating links to quality systems and service improvements	0 0=0 1=6 2=12 3=18 4=24 5=30

1.7	Safe restraint use HDSS 2021 6.1, 6.2, 6.3, 6.4		<ul style="list-style-type: none"> <li>0. Subsection UA or PA high risk/critical</li> <li>1. Subsection PA moderate risk</li> <li>2. Subsection PA low risk</li> <li>3. Subsection FA or NA</li> <li>4. NA/FA/links to quality</li> <li>5. Subsection CI or FA with evidence demonstrating links to quality systems and service improvements</li> </ul>	<ul style="list-style-type: none"> <li>0</li> <li>0=0</li> <li>1=6</li> <li>2=12</li> <li>3=18</li> <li>4=24</li> <li>5=30</li> </ul>
1.8	Maintenance and environment HDSS 2021 4.1		<ul style="list-style-type: none"> <li>0. Subsection UA or PA high risk/critical requiring system changes</li> <li>1. Subsection PA high risk</li> <li>2. Subsection PA moderate risk</li> <li>3. Subsection PA low risk</li> <li>4. FA</li> <li>5. Subsection CI or FA with evidence demonstrating links to quality systems and service improvements</li> </ul>	<ul style="list-style-type: none"> <li>0</li> <li>0=0</li> <li>1=4</li> <li>2=8</li> <li>3=12</li> <li>4=16</li> <li>5=20</li> </ul>
1.9	Direct care systems HDSS 2021 3.2		<ul style="list-style-type: none"> <li>0. Criterion UA critical/high or 3 or more criterion moderate PAs</li> <li>1. Two criterion PA moderate risk</li> <li>2. One moderate risk or more than one low risk</li> <li>3. One criterion low risk</li> <li>4. Subsection FA</li> <li>5. Subsection CI or FA with evidence demonstrating links to quality systems and service improvements</li> </ul>	<ul style="list-style-type: none"> <li>0</li> <li>0=0</li> <li>1=12</li> <li>2=24</li> <li>3=36</li> <li>4=48</li> <li>5=60</li> </ul>
	<b>Aspect 2: General</b>	<b>Evidence (s level attainment rating)</b>	<b>Assessment</b>	<b>Score</b>
2.1	Quality and risk management systems HDSS 2021 2.5, 4.2		<ul style="list-style-type: none"> <li>0. Subsection UA or PA critical</li> <li>1. Subsection PA high risk</li> <li>2. Subsection PA moderate risk</li> <li>3. Subsection PA low risk</li> <li>4. Subsection FA</li> <li>5. Subsection CI (must have CI or FA in 2.5 and 4.2, and four or more other subsections rated CI)</li> </ul>	<ul style="list-style-type: none"> <li>0</li> <li>0=0</li> <li>1=6</li> <li>2=12</li> <li>3=18</li> <li>4=24</li> <li>5=30</li> </ul>
2.2	Governance procedures and systems HDSS 2021 1.1, 1.2, 2.1		<ul style="list-style-type: none"> <li>0. Subsection UA or PA critical</li> <li>1. Subsection PA high risk</li> <li>2. Subsection PA moderate risk</li> <li>3. Subsection PA low risk</li> <li>4. All subsections FA</li> <li>5. Subsection CI or FA with evidence demonstrating links to quality systems and service improvements</li> </ul>	<ul style="list-style-type: none"> <li>0</li> <li>0=0</li> <li>1=3</li> <li>2=6</li> <li>3=9</li> <li>4=12</li> <li>5=15</li> </ul>
2.4	Consumer rights HDSS 2021 1.4, 1.4, 1.8		<ul style="list-style-type: none"> <li>0. Subsection UA or PA critical</li> <li>1. Subsection PA high risk</li> <li>2. Subsection PA moderate risk</li> <li>3. Subsection PA low risk</li> <li>4. All subsections FA</li> <li>5. Subsection CI or FA with evidence demonstrating links to quality systems and service improvements</li> </ul>	<ul style="list-style-type: none"> <li>0</li> <li>0=0</li> <li>1=3</li> <li>2=6</li> <li>3=9</li> <li>4=12</li> <li>5=15</li> </ul>

2.5	Access and timeliness HDSS 2021 3.1, 3.6		<ul style="list-style-type: none"> <li>0. Subsection UA or PA critical</li> <li>1. Subsection PA high risk</li> <li>2. Subsection PA moderate risk</li> <li>3. Subsection PA low risk</li> <li>4. All subsections FA</li> <li>5. Subsection CI or FA with evidence demonstrating links to quality systems and service improvements</li> </ul>	<ul style="list-style-type: none"> <li>0</li> <li>0=0</li> <li>1=4</li> <li>2=8</li> <li>3=12</li> <li>4=16</li> <li>5=20</li> </ul>
2.8	Activities HDSS 2021 3.3		<ul style="list-style-type: none"> <li>0. Subsection UA or PA critical</li> <li>1. Subsection PA high risk</li> <li>2. Subsection PA moderate risk</li> <li>3. Subsection PA low risk</li> <li>4. Subsection FA</li> <li>5. Subsection CI or FA with evidence demonstrating links to quality systems and service improvements</li> </ul>	<ul style="list-style-type: none"> <li>0</li> <li>0=0</li> <li>1=3</li> <li>2=6</li> <li>3=9</li> <li>4=12</li> <li>5=15</li> </ul>
2.9	Food Services HDSS 2021 3.5		<ul style="list-style-type: none"> <li>0. Subsection UA or PA critical</li> <li>1. Subsection PA high risk</li> <li>2. Subsection PA moderate risk</li> <li>3. Subsection PA low risk</li> <li>4. Subsection FA</li> <li>5. Subsection CI or FA with evidence demonstrating links to quality systems and service improvements</li> </ul>	<ul style="list-style-type: none"> <li>0</li> <li>0=0</li> <li>1=4</li> <li>2=8</li> <li>3=12</li> <li>4=16</li> <li>5=20</li> </ul>
2.10	Good Practice HDSS 2.4		<ul style="list-style-type: none"> <li>0. Subsection UA or PA critical</li> <li>1. Subsection PA high risk</li> <li>2. Subsection PA moderate risk</li> <li>3. Subsection PA low risk</li> <li>4. Subsection FA</li> <li>5. Subsection CI</li> </ul>	<ul style="list-style-type: none"> <li>0</li> <li>0=0</li> <li>1=4</li> <li>2=8</li> <li>3=12</li> <li>4=16</li> <li>5=20</li> </ul>
	<b>Aspect 3: Other / Inter Agency</b>	<b>Evidence</b>	<b>Assessment</b>	<b>Score</b>
3.1	History (previous certification period)		<ul style="list-style-type: none"> <li>0. Less than one year</li> <li>1. One year with issues</li> <li>2. Post Provisional Audit</li> <li>3. Two years</li> <li>4. Three years</li> <li>5. 3 + 3 years or 4 / 5 years</li> </ul>	<ul style="list-style-type: none"> <li>0</li> <li>0=0</li> <li>1=1</li> <li>2=2</li> <li>3=3</li> <li>4=4</li> <li>5=5</li> </ul>
3.2	Recurring CARs (recurring CAR irrespective of standard reported against)		<ul style="list-style-type: none"> <li>0. Subsection UA/Critical</li> <li>1. Recurring CAR across multiple Audits within certification cycle irrespective of risk rating</li> <li>2. Recurring CAR High risk</li> <li>3. Recurring CAR Moderate risk</li> <li>4. Recurring CAR Low risk</li> <li>5. No Recurring CARs within certification cycle</li> </ul>	<ul style="list-style-type: none"> <li>0</li> <li>0=0</li> <li>1=4</li> <li>2=8</li> <li>3=12</li> <li>4=16</li> <li>5=20</li> </ul>

3.3	Other		0. HDC Breach 1. HealthCERT inspection or DHB issues Based Audit with systematic findings 2. Substantiated Complaint or DHB appointed temporary manager 3. Second Surveillance 4. Partially substantiated Complaint DHB/HDC/HealthCERT (and/or recommendations that fit with the complaint) 5. Not Substantiated Complaint/Nil/Not determined/Pending	0 0=0 1=4 2=8 3=12 4=16 5=20
<b>9.9</b>	<b>Advisor Discretionary Score</b>		+/- 2.5%	<b>0</b>
	<b>Total Score</b>			<b>0</b>

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