

Ethnicity Data Systems Compliance Audit Checklist

	Compliance question	Response	
Is your practice policy for the collection of ethnicity data compliant with the current ethnicity data Protocols for the health sector?	Does your practice collect ethnicity data from all enrolled patients (eg, for all age groups and funding sources)?	<input type="checkbox"/>	<input type="checkbox"/>
	Are less than 2 percent of your practice management system (PMS) records for enrolled patients coded as having missing or 'not stated' ethnicity response fields (this will require you to run a query in your PMS)?	<input type="checkbox"/>	<input type="checkbox"/>
	Does your practice registration/enrolment form contain the standard ethnicity question* as outlined in the current ethnicity data Protocols?	<input type="checkbox"/>	<input type="checkbox"/>
	Does your practice allow all respondents to self-identify their ethnicity, regardless of how ethnicity is collected (eg, face to face, on a paper form, electronically, by telephone)? (Note – this excludes situations where ethnicity must be collected from next of kin.)	<input type="checkbox"/>	<input type="checkbox"/>
	When collecting ethnicity data for children (including for the pre-enrolment of newborns), does your practice provide the parent or caregiver with the standard ethnicity question* to complete for the child until the child is of an age to complete it themselves?	<input type="checkbox"/>	<input type="checkbox"/>
	When a patient is unable to complete the ethnicity question through incapacity, does your practice provide his or her next of kin with the standard ethnicity question to complete, or, if no next of kin is available, does the practice wait until the respondent is able to self-identify his or her ethnicity?	<input type="checkbox"/>	<input type="checkbox"/>
	In cases where ethnicity data are collected by asking the patient verbally (eg, over the phone), does your practice require staff to: <ol style="list-style-type: none"> 1. state that they would like to collect ethnicity 2. explain that the patient may choose more than one ethnicity 3. read out all the categories, in the order they appear in the standard ethnicity question outlined in the current ethnicity data protocols, and 4. record all the patient's responses? 	<input type="checkbox"/>	<input type="checkbox"/>
Is your practice policy for recording ethnicity data compliant with the current ethnicity data Protocols for the health sector?	Does your practice only use the standard codes, as outlined in the current ethnicity data Protocols, for recording ethnicity?	<input type="checkbox"/>	<input type="checkbox"/>
	Does your practice input and store ethnicity data in the PMS at a minimum of Level 2 of the standard classification system?	<input type="checkbox"/>	<input type="checkbox"/>
	For ethnicities that are written on the form by respondents, does your practice match the response with the Level 4 ethnicity codes and then record the response in the PMS at a minimum of Level 2 (which is the first two digits of the level 4 code)?	<input type="checkbox"/>	<input type="checkbox"/>
	Is your practice able to record and store at least three ethnicities for an individual?	<input type="checkbox"/>	<input type="checkbox"/>
	Where a patient supplies more responses than can be recorded in your PMS, does your practice prioritise responses according to the standard list provided in the current ethnicity data Protocols?	<input type="checkbox"/>	<input type="checkbox"/>

	Compliance question	Response	
Is your practice policy for the output of ethnicity data compliant with the current ethnicity data Protocols for the health sector?	Where your practice outputs data to the primary health care organisation, are you able to deliver up to three ethnicities per patient? Where the patient identifies with more than three ethnicities, do you prioritise them according to the standard list?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	In the analysis and reporting of ethnicity data, does your practice use one of the recommended methods (total, prioritised or sole/combination) for the output of multiple ethnicities?*	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	In the analysis and reporting of ethnicity data, does your practice describe the method it uses for the output of multiple ethnicities (eg, total, prioritised or sole/combination)?**	<input type="checkbox"/> Yes	<input type="checkbox"/> No

* The 'standard ethnicity question' refers to the 2001 Census ethnicity question, which is the standard question to be used for all ethnicity data collection in the health sector, as outlined in the current ethnicity data Protocols.

** Total response, prioritised and sole/combination are different methods for outputting multiple ethnicities. Total response counts each person once in each ethnic group they identify with. Prioritisation assigns a person who identifies with more than one ethnic group to a single mutually exclusive category based on an established priority order. Sole/combination assigns individuals to either a sole ethnicity group (if they only identify with one ethnicity) or a combination category (eg, European/Māori) if they identify with more than one ethnic group.

Compliance score

Category	Score
Collection	_____/7 If score is less than 7, action is required
Recording	_____/5 If score is less than 5, action is required
Output	_____/3 If score is less than 3, action is required
Total	_____/15 If score is less than 15, action is required