AUDIT TRAINING (HEALINT)

Kirsti Santamäki, 27.5. 2019

HEALINT

INTRODUCTION

- This audit education is a part of HEALINT project, which produces tools for higher education and health care institutions to offer high-quality, cross-border traineeships based on international standards and guidelines.

- SAMK is responsible for creating audit training where the actors in higher education will be educated to audit health care organizations using an audit form produced in the project.

Content of audit training

1. Quality and the importance of quality assessment
2. Audit as a process and a concept
3. The structure of the audit, the competence of the auditor and data collection methods
4. The results of the audit (strengths, development areas) and their reporting (feedback to the audited organization and the commissioner of the audit)
5. Case: Audit of international traineeship
   - The importance and bases for the audit
   - Audit sectors: administration, resources and the planning and management of the traineeship

Reflection diary of the persons participating in audit training

- Instructions for writing the audit reflection diary
- The purpose of your learning diary is that you reflect upon your learning experiences and strengthen your professional growth as an auditor. Continue writing your audit reflection diary throughout the lectures and in your practice audit.

- When writing your diary:
  - Describe and analyze the matters that made you ponder
  - What made you stop to ponder those matters?
  - What did you learn during the audit lectures and audit?
  - Which of the things you learned could you utilize and how?
  - What and what kind of information would you have needed more?
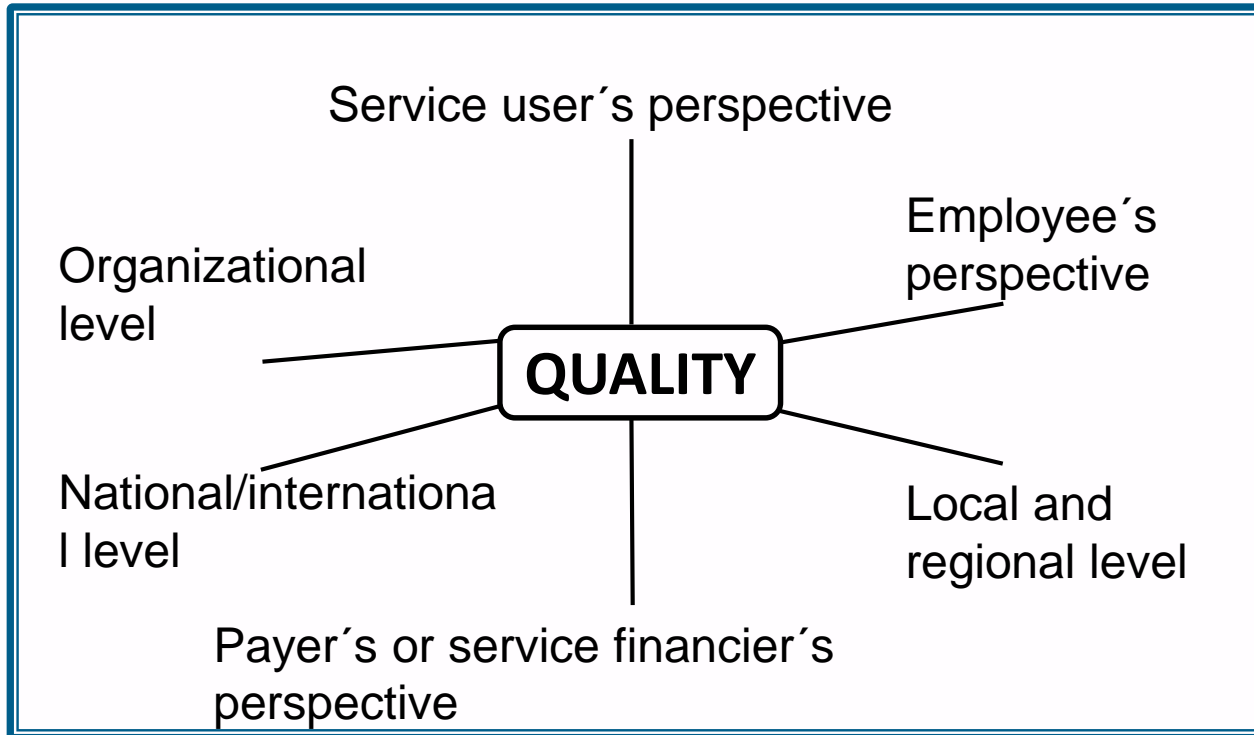
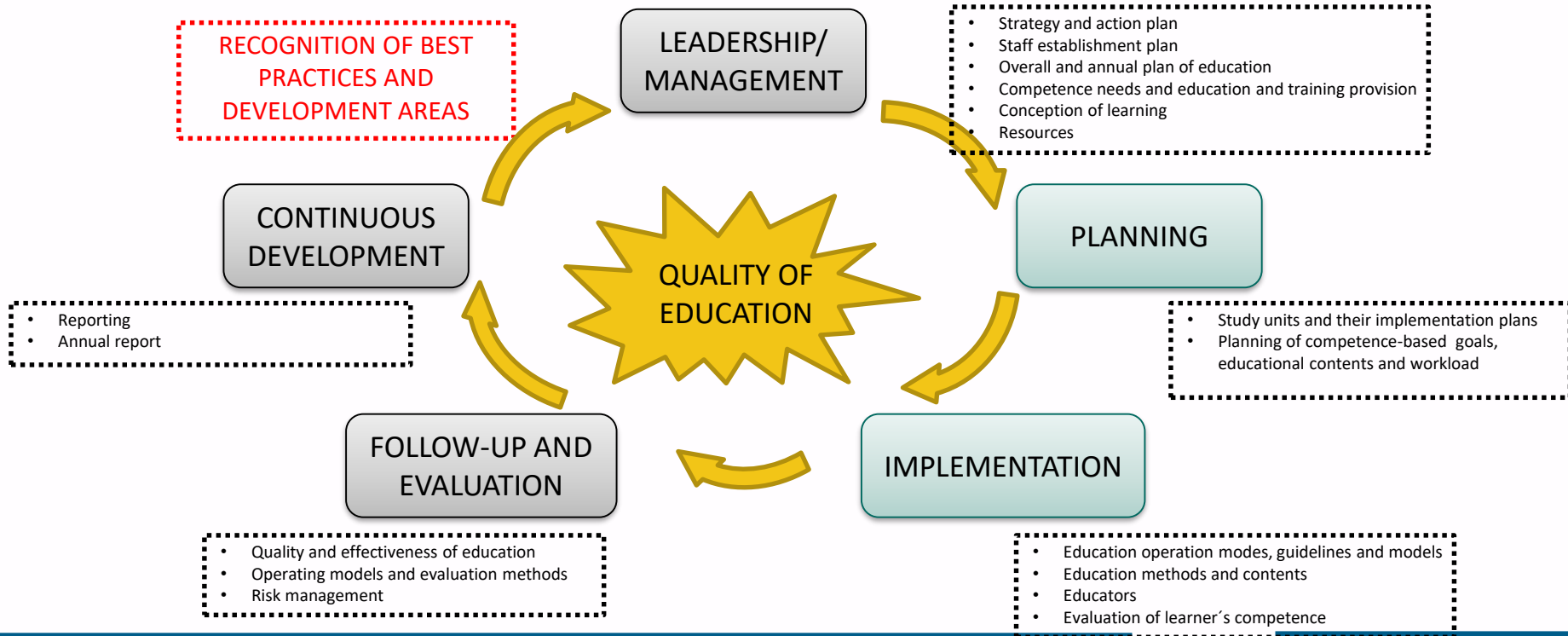| EXAMPLES OF QUALITY DEFINITIONS	
Deming	The most important product for the customer
Grosby	Meets the requirements
Ishikawa	Customer satisfaction
Wesselius	Quality = a component to be assessed objectively + a component to be assessed subjectively + a component which is totally impossible to assess.
PIMS	Quality: all the attributes affecting the purchase decision, besides the price.
Oxford dictionary	General excellence of standard or level
ISO	All the features and properties of a product or a service, with which the product or the service meets the set or expected requirements.
Tradesman´s axiom	Customer satisfaction is paramount. Satisfied customers buy again and tell the others about a good product. A good product signifies a better product that the competitors´.
Weinberg	Quality is value to a certain person

Quality, standards and criteria

- Quality is not unambiguous as a concept. To put it simply, it is the ability of the operations to meet the expectations and hopes. Quality can be said to be the ability to know what these expectations area, and the ability to learn and use the learned to develop the operation. Quality criterion is a previously set description or level for what these hopes consist of.

- Standard is a common procedure for repeated action. Standards are recommendations by nature, but the authorities may require that they are followed. A standard is a written publication and approved by the authority, organization or other recognized body.

Quality – from whose perspective?

Service user´s perspective

Employee´s perspective

Organizational level

QUALITY

National/international level

Local and regional level

Payer´s or service financier´s perspective

Example of quality development in education

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CYCLE OF CONTINUOUS DEVELOPMENT IN EDUCATION

LEADERSHIP/ MANAGEMENT

- Strategy and action plan
- Staff establishment plan
- Overall and annual plan of education
- Competence needs and education and training provision
- Conception of learning
- Resources

RECOGNITION OF BEST PRACTICES AND DEVELOPMENT AREAS

PLANNING

- Study units and their implementation plans
- Planning of competence-based goals, educational contents and workload

CONTINUOUS DEVELOPMENT

- Reporting
- Annual report

QUALITY OF EDUCATION

IMPLEMENTATION

- Education operation modes, guidelines and models
- Education methods and contents
- Educators
- Evaluation of learner´s competence

FOLLOW-UP AND EVALUATION

- Quality and effectiveness of education
- Operating models and evaluation methods
- Risk management

Education and social welfare and health care need quality assessment because

- The quality of one´s own work must be shown to others as well: it is not enough that we know we are good
- Quality assurance methods must be shown also in writing: the level of quality remains, even though people change
- One must know who does and is responsible for what: description of work processes
- The results of work and the advantage gained by the customer must be measurable
- Own work must be evaluated critically: seeing the right direction
- Services are for customers

Quality work is based on process management

- Processes have been described and documented, i.e. the work has been done visible and it has been assured that all the stages of work have been completed
- The fluency and efficiency of the work processes are measured
- The quality development of internal customer relations (to other departments, other organizations) is paid attention to
- The service that the customer receives consists of various stages that are consecutive or parallel
- "Process owner" is responsible for the service entity
- The stages include various stages of work, and a certain person is/persons are responsible for them
- Process descriptions help in drawing up common rules, enable changing the operation and make the operation visible

A functioning quality management system assures e.g. that in the work community

- Operation has a common basis, which is defined by visions, basic function, values and quality objectives and quality criteria -> strategic thinking
- The expectations and needs of own customers as well as other requirements aimed at operation are recognized
- Sufficient preconditions for reaching the objectives agreed upon
- Main processes and services have been described and made visible to be evaluated and developed
- Joint procedures are used to plan, follow-up, evaluate and assure the operation
- Necessary documents and documenting practices exist for the control of operation as well as for the follow-up, evaluation and inspection of the operation

Management/leadership in the development of nursing education
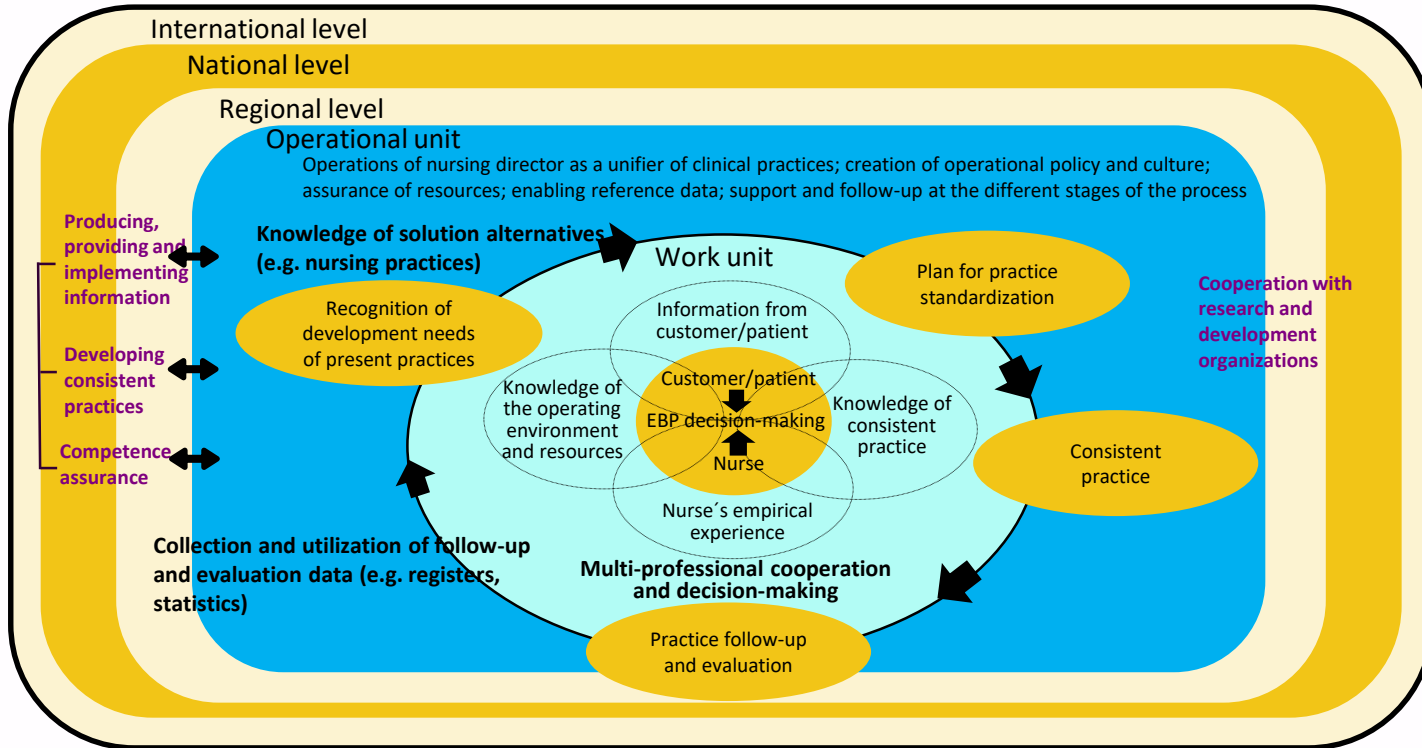
Measuring quality

- "What is not measured cannot be guided"
    - Without measures decision-making has no grounds and organization cannot succeed in the long run
- The goal of the measures:
    - Understanding the present and directing towards the future; progress, goals and comparisons and prediction
    - Support to decision-making and guiding of operations: objectivity of information
    - Important for the development of organization:
        - Understanding the events
        - Evaluation of the effects of change
        - Early recognition of problems
        - Recognition of development targets
        - Development of processes

External evaluation (audit): performed by independent party or buyer

Customer evaluation 1: feedback from patients, relatives, service users…

Self-evaluation: personal, team, work unit, organization

Customer evaluation 2: feedback from commissioners, partners, buyers…

Forms of quality assessment

Benchmarking:

Internal evaluation: internal evaluation of organization´s operation and procedures

Peer evaluation: with those representing the same field

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Audit

- Organization´s commitment to quality can best be shown by independent external evaluation. In addition, audit brings forward risks and development areas, with which the organization can boost and enhance its operation

- Audit is a formal and objective evaluation performed to observe whether the requirements set for the target of the audit have been met. These requirements can be e.g. quality system requirements. The audit is usually performed by one or more persons who are independent in relation to the audited target. The audit consists of field visits, interviews and familiarization with process descriptions and work instructions relevant to the audit.

- The most essential matter in the audit is to find out how things really are, not how they should be!

Principles of audit

- Honesty and integrity
- Truthful reporting
- Professionalism
- Confidentiality
- Independence
- Evidence-based approach to audit
- Mode of operation that takes possible risks and problems into account

High-quality evaluation

- Well planned and prepared
- Focuses on essential matters
- Is interactive
- Learning and joint developing
- Promotes sharing best practices
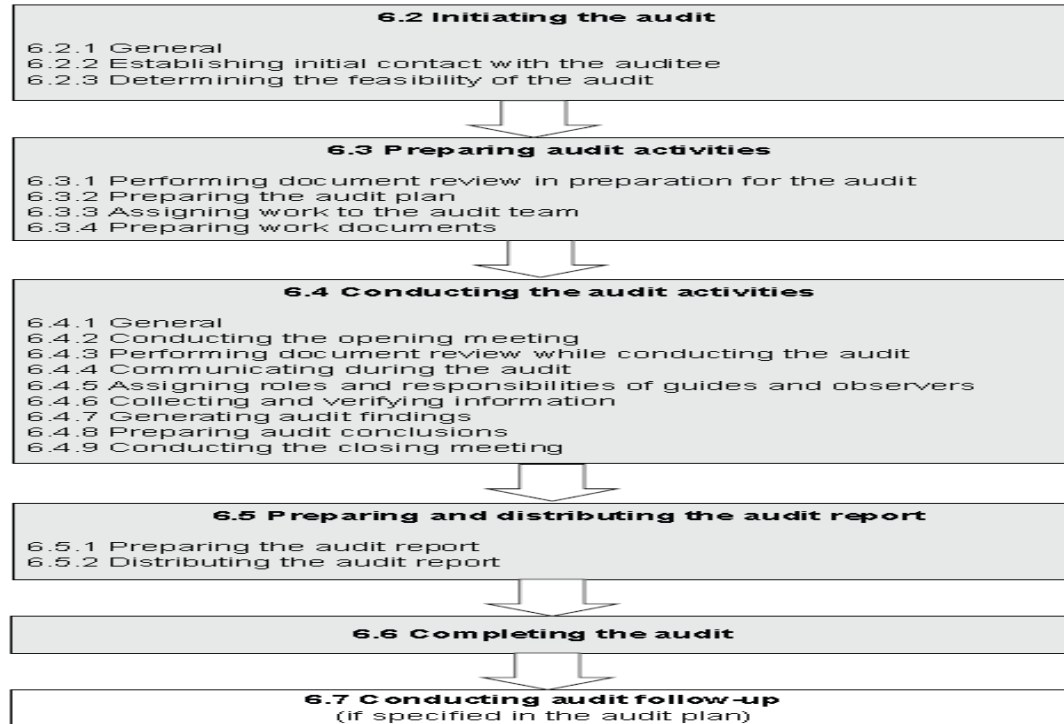
Audit as instructive evaluation

- Activation:
    - Inclusion of those being evaluated
    - Incorporation of stakeholders

- Target:
    - Revealing present practices
    - Orientation towards future

- Method:
    - Triangulation (e.g. surveys, field visits, interviews and familiarization with written documents)
    - Interactivity

- Adaptability:
    - Context sensitivity
    - Process observation

(Atjonen, 2015: Kehittävä arviointi kasvatusalalla)

Characteristics of a good auditor

- Honest
- Open, willingness to look at matters from many angles without excluding anything
- Diplomatic when handling people
- Perceptive
- Has skills to learn and understand
- Resilient
- Determined
- Independent but sociable, not carried away by others
- Courage, standing by the facts despite possible pressure
- Willing to develop
- Adaptable to cultures
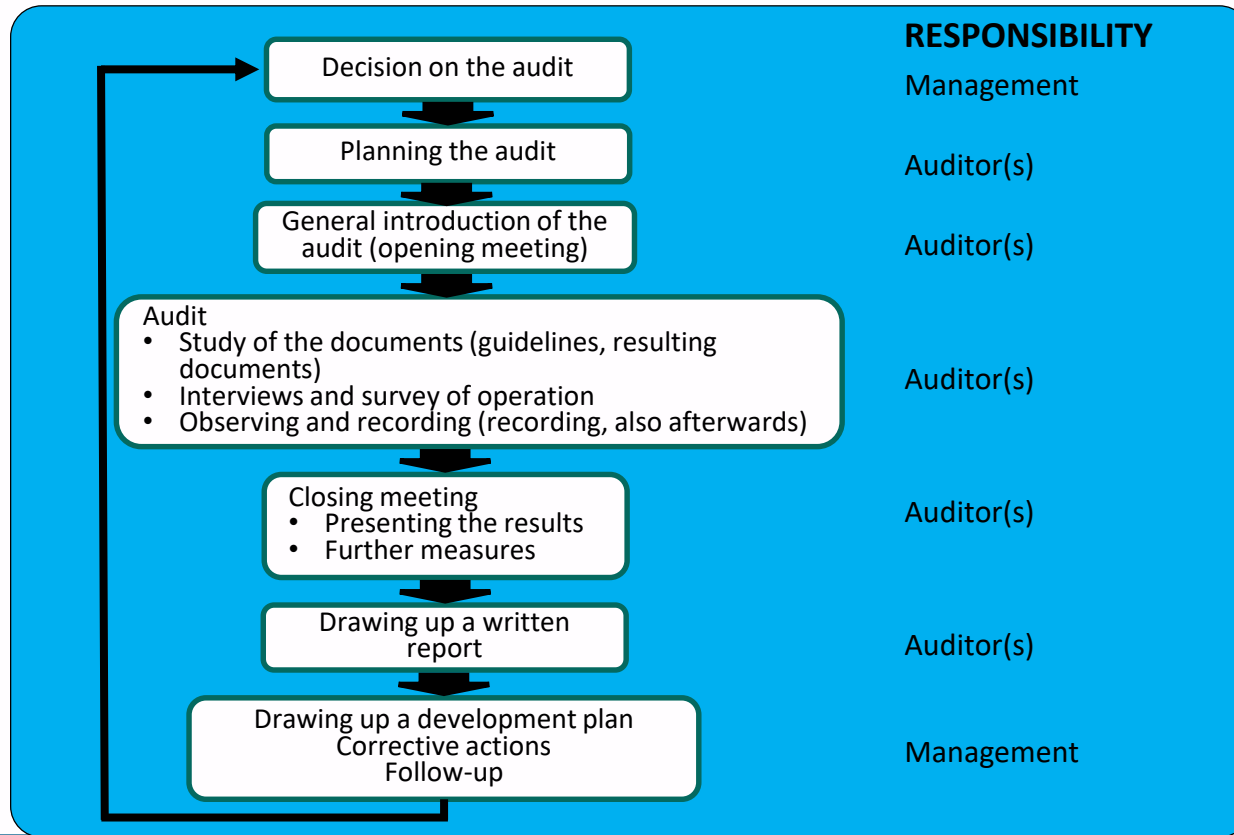- Has cooperation skills in the audit team and with customers

Audit process

Figure 2 — Typical audit activities

Structure of the audit

RESPONSIBILITY

Decision on the audit — Management

Planning the audit — Auditor(s)

General introduction of the audit (opening meeting) — Auditor(s)

Audit
- Study of the documents (guidelines, resulting documents)
- Interviews and survey of operation
- Observing and recording (recording, also afterwards)

Auditor(s)

Closing meeting
- Presenting the results
- Further measures

Auditor(s)

Drawing up a written report — Auditor(s)

Drawing up a development plan
Corrective actions
Follow-up

Management

Division of tasks in the audit

- Audits are often performed in pairs. Thus, the strengths and development challenges of the target can be discussed together, and the time reserved for the audit spent efficiently.
- Before the audit: who is responsible for and takes care of preliminary arrangements
- Opening meeting of the audit: acting as a chairperson, recording
- During the interviews: making questions, writing down observations
- Closing meeting: acting as a chairperson, presenting feedback/summary, recording
- Drawing up audit report

Audit programme

- The goals of the audit
- The extent of the audit, organizational units and processes belonging to the audit
- The criteria and reference material of the audit
- Contact information of the audit target; places to visit; the schedule of the audit and appointed meetings with auditing target
- The approach to the audit; collection of evidence adapted to the goals of the audit
- Composition of the audit team, assigned responsibilities and if necessary, guides and observers
- Resources directed to the critical targets of the audit (time management, auditor, evidence)
- Representative of the audit target
- The basic structure of audit report (what is reported)
- If necessary, transfer of the audit team between places
- Insecurities connected to audit and measures connected to them
- Confidentiality and data protection issues of information dealt with in the audit

The schedule and contents of the audit

- Before the audit day
  - Information to the audit target about matters being audited, necessary materials, schedule and reservations for venues
  - Preparing for the audit, drawing up audit questions and a plan of how the data will be collected
- Audit day
  - Opening meeting: persons participating in the audit present
  - Audit discussions according to the agreed schedule
  - Summary of the audit: auditors and possible observers
  - Closing meeting of the audit
- Drawing up audit feedback
- Follow-up of measures agreed upon in the audit

Opening meeting of the audit

- The audit day usually starts with an opening meeting, where the audited target is presented by the persons participating in the audit (representatives from the management/other members of the personnel can also be present). The schedule of the audit is defined, and interviews are started. It is important for the auditor to present him/herself at the beginning of the meeting and if there are other members in the audit team, present them as well. It is similarly important that the representatives of the audit target present themselves, and the auditor/auditors record the names and tasks of those present. In addition, the time and participants of the feedback session is assured.

- The auditor should be prepared for the fact that all the representatives of the audit target do not necessarily know about the goals and content of the audit. The auditor must highlight the evidence and developing point of view of the evaluation. An audit is not an inspection where you should fear for mistakes and failures. An auditor will bring an outside view on the situation of the matter being audited and give proposals and ideas to develop operations.

- The objectives of the audit are presented at the opening meeting and the collaborative nature of the audit emphasized. In addition, the main content of the audit plan is presented: what is evaluated and how.

Data collection in audit

- The basis for the success of the "field policy" of the audit is that the auditor sets off to work well prepared. It is important that the auditor defines the objectives and goals of the audit for him/herself: Why is this audit carried out? What do I want to know? How am I able to verify the realization of matters? The basic idea can be described with three questions: why – what – how. The auditor must also clarify for him/herself the importance of the matter being evaluated for the whole operation in order for the conclusions to have the right dimensions.
- The three basic methods of data collection in audit are
    1. interviews
    2. familiarization with documents
    3. observing the operation and facilities
- All of these methods may be needed for the auditor to have an overall picture of the planning, organization and practical implementation of matters. Based on the preliminary material, the auditor usually has already before the actual audit a view of the practices and guidelines connected to matters. Thus, the focus of the audit is on whether the matters are realized as planned in practice. To clarify this, interviews, observation of operating environment and examples of operations conducted are needed.
- The auditor must interview the representatives at different organizational levels, if possible, in order to receive as truthful a picture of the operation as possible, and not only of documented objectives and measures. Consequently, the auditor should not interview the representatives of all the different branches of the personnel simultaneously at the orientation meeting.

Audit methods

	On site audit	Remote audit
• Interacting with the auditees	• Interviews • Interviews held with check lists • Going through documents together with the auditee • Viewing the facts with the auditee	• Remote interviews • Interviews held with check lists • Going through documents with the auditee in a remote session
• Not interacting with the auditees	• Survey of documents and recordings • Observing procedures without interviewing the person • A tour with visual observation • Viewing the facts (e.g. instruments, storing places, documents)	• Going through the requested documents and recordings • Going through statutory requirements • Analyzing the data

Group interviews as an audit method

- A justified selection of interviewees
- The size of the group: assuring polyphony
- Prior information for the interviewees, so as to be able to concentrate on essentials
- Division of duties between interviewers: making questions/ recording
- The content and formulation of the questions:
  - Is based on the audit form
  - Central topics
  - Formulation examples for questions:
    - How are things realized?
    - Who is in charge/who guides/supervises?
    - What are the criteria for selection?
    - How is it assured?
  - Follow-up questions: supplementing
  - Arguments/examples
- The importance of the atmosphere at the interview for the success

Drawing up the audit summary

- The auditor must have a possibility for drawing up the summary and preparing feedback in peaceful, closed facilities. At least an hour should be reserved for this.
- Drawing up the summary must happen efficiently and the auditor should prepare for this already before the audit.
- A good operating model is to first go through the sections, which already based on the audit form have identifiable deficiencies or areas needing development.
- When areas for development have been identified, a compact summary is drawn of the audit target´s strengths and development areas for the closing meeting.

Closing meeting

- The leader of the audit group chairs the closing meeting and presents the observations and conclusions of the audit
- The closing meeting should be attended by the management of the audit target and, if possible, those responsible for audited processes or unit managers

- **At the closing meeting:**
    - it is emphasized that the audit observations are based on evidence, not a 100 % review
    - the structure of the audit report is described
    - it is described how different audit observations and their effects are dealt with
    - audit observations and conclusions are described using such language that the personnel of the audit target present at the meeting understand them
    - it is described, as required, how to implement the corrective actions connected to audit observations; who, how, follow-up
    - if there are differences of opinion on audit observations, the aim is to solve them in feedback discussion. If consensus cannot be reached, the disagreement will be recorded

Audit report

- Audit report is drawn up as soon as possible after the audit day, with the following content:
  - The objectives of the audit
  - The extent of the audit, organizational units/processes that were audited
  - The representatives of the audit target
  - The members of the audit team
  - The time of the audit, the locations visited during the audit
  - Audit criteria
  - Audit observations and evidence
  - The conclusions/development areas of the audit
  - A statement about how well the audit criteria were met
  - Best practices observed in the audit target
  - Follow-up needs, if necessary to be agreed on with the audit target

AUDIT IS INTERESTING BECAUSE

- It helps to pay attention to matters that are essential for work processes
- It increases the interaction and cooperation between actors
- It improves the quality of the service the customers receive -> relevance and effectiveness

THANK YOU FOR YOUR ATTENTION

You can download this presentation at:

www.healint.eu

SHORT DESCRIPTION OF THE HEALINT

HEALINT

In healthcare, student learning in clinical practice is an essential part of the curriculum. However, in a context of international mobility, healthcare professionals ideally need to train within the system they intend to work in, so that they may easily integrate and deliver care. HEALINT is promoting such international training by developing management tools that support Higher Education and Health Care institutions to offer and direct high-quality cross-border apprenticeships which can serve as a basis for the development of formal international standards and guidelines.