
Summary Report

HE RITENGA

**TREATY OF WAITANGI PRINCIPLES
HEALTH AUDIT FRAMEWORK**



BAY OF PLENTY
DISTRICT HEALTH BOARD
HAUORA A TOI

Maori Health Planning and Funding Team

APRIL 2004



DESIGN:

The Mangopare represents strength, health and well being.

The two Manaia represents the balance and unity between Tane and Wahine.

The Kape Rua represents the importance of ensuring the needs of Maori are addressed.

The Main Theme is Waiora, with specific acknowledgement to the cleansing and healing properties of water, and how such properties are a korowai for Maori Health.

Designed by Bay of Plenty Carver and Ta Moko Artist - Jason Porter (Nga Puhi, Ngaiterangi).

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Executive Summary

Kia momoho te hapori oranga

“Healthy thriving communities”

The Treaty of Waitangi provisions within Health legislation have continued to evoke an array of discussion and debate. The conceptual framework evolved from the need to develop a Tool to operationalise the Treaty of Waitangi obligations identified in the Bay of Plenty District Health Board (BOPDHB) Prioritisation Policy.

The purpose of He Ritenga - Treaty of Waitangi Principles: Health Audit Framework is to provide a tool to interpret, implement and assess the service delivery against the Treaty of Waitangi as deemed appropriate by the sector, service or organisation.

He Ritenga - Treaty of Waitangi Principles: Health Audit Framework has been designed to provide services and organisations with the mechanisms to implement the Treaty of Waitangi, He Korowai Oranga and Whakatataka into the overall governance, planning and delivery of a service and/or organisation.

The project was initially a BOPDHB initiative and has been fully supported by the BOPDHB Board, BOPDHB Maori Health Runanga¹, BOPDHB Executive Management Team, Maori Health Directorate – Ministry of Health, National Maori General Manager’s Forum, and the Midland Maori General Manager’s Forum.

Complimentary to the development of He Ritenga - Treaty of Waitangi Principles: Health Audit Framework, is the development of the Tangata Whenua Determinants of Health Framework¹ by the BOPDHB Maori Health Runanga.

He Ritenga - Treaty of Waitangi Principles: Health Audit Framework is about obligation not culture and compliance not complacency.

¹ An established Treaty-based partnership with the BOPDHB, the Maori Health Runanga is made up of 18 mandated Iwi representatives. The role of the Maori Health Runanga is to provide strategic leadership, direction and advice to the BOPDHB on Maori Health at a governance level; and also as the principle vehicle through which the BOPDHB consults with whanau, hapu and Iwi.

Background

In 2001/ 2002 the Bay of Plenty District Health Board commenced developments on the BOPDHB Prioritisation Process to assist BOPDHB to determine whose needs will be met and by whom. The framework will assist to maximise health and independence and reduce disparities for Maori.

In April 2002 the Prioritisation Framework Template was developed and consisted of **four** categories:

1. General Information Gives BOPDHB an insight into the nature of services provided.
2. Quality of Service Focuses on health and independence, cost benefit analysis, acceptability, access, availability and safety provisions.
3. Provider Assessment Reviews the range of external service links the management structure, provider competency and provider performance.
4. Overarching Criteria The Treaty of Waitangi, Government Strategies and the BOPDHB Strategic Plan.

The intent of the Treaty of Waitangi section being, to ascertain how the applicant ensures the services demonstrates the ability to increase Maori capacity and capability, the level of Maori involvement and participation, and a commitment to improving the health status of Maori.

In May 2002, Larissa Clarke – Portfolio Manager Maori Health undertook the project management role of developing He Ritenga - Treaty of Waitangi Principles: Health Audit Framework for the BOPDHB, with support, guidance and oversight from the Maori Health Unit Planning and Funding.

A comprehensive literature review was undertaken during the early developments of the Treaty Audit Framework, including *He Taura Tieke – Measuring Effective Health Services for Maori* (1995).

In July 2002 the concept of He Ritenga - Treaty of Waitangi Principles: Health Audit Framework was presented to, and endorsed by Te Tumu Whakarae – National Maori General Manager's Forum held in Hamilton.

The Midland Maori General Manager's Forum gave BOPDHB the assurance that each DHB would provide feedback to the BOPDHB regarding content, practicality and application of He Ritenga - Treaty of Waitangi Principles: Health Audit Framework.

Lakes District Health Board has been trialling He Ritenga - *Treaty of Waitangi Principles: Health Audit Framework Tool* since 2001. Feedback from Lakes DHB has been included in this Summary Report (See Appendix 1).

The Ministry of Health identified the BOPDHB as the lead DHB to develop a national monitoring framework based on a recommendation from the Midland Maori General Manager's group. In response to this the BOPDHB aligned their Treaty Audit Framework to the four Pathways of He Korowai Oranga

and Whakatataka. He Ritenga - Treaty of Waitangi Principles: Health Audit Framework was reviewed following feedback received from the following:

- Maori Health Directorate – Ministry of Health
- National Maori General Manager's Forum
- Midland Maori General Manager's Forum
- Eru Pomare Research Centre

In March 2003, the Maori Health Unit entered into a joint partnership with the BOPDHB Quality and Risk Management Team, led primarily by Andrew Dobbs – Internal Auditor (Non-Clinical). In order to further develop He Ritenga - Treaty of Waitangi Principles: Health Audit Framework comparisons were made with the Standards New Zealand Audit Workbook and Quality Health New Zealand Sector Standards.

He Ritenga - Treaty of Waitangi Principles: Health Audit Framework currently consists of five sections and 33 criteria:

- | | |
|------------------------------|-------------|
| 1. Service Delivery: | 11 criteria |
| 2. Governance: | 6 criteria |
| 3. Workforce Development | 4 criteria |
| 4. Planning | 10 criteria |
| 5. Intersectoral Initiatives | 2 criteria |

By May 2003, BOPDHB identified four key areas to pilot the content of He Ritenga - Treaty of Waitangi Principles: Health Audit Framework, and to establish the ability of the Treaty of the Waitangi Audit Framework to effectively and efficiently assess, monitor, and review both clinical and non-clinical services.

The four key areas were:

1. Human Resources
2. Mental Health Services
3. ENT Services
4. BOPDHB Planning and Funding

In August 2003, the first pilot was conducted on Human Resources. At which point the BOPDHB Maori Health Runanga was provided with a progress report.

In October 2003, the second pilot was conducted on Mental Health Services, which proved to be a lengthy process given that combination of integrated and non-integrated Maori Mental Health Services within Mental Health. Combined with the geographical spread of both Whakatane and Tauranga Mental Health Services. In November 2003, the remaining two pilots on ENT and BOPDHB Planning and Funding were conducted.

Larissa Clarke and Andrew Dobbs jointly conducted the Pilot Audits on Human Resources, Mental Health Services and ENT Services. Phyllis Tangitu – General Manager's Maori Health Lakes DHB joined Andrew Dobbs for the pilot of BOPDHB Planning and Funding team.²

² Given that Larissa Clarke is a member of the BOPDHB Planning and Funding team, and to avoid a conflict of interest.

Aim

Fundamentally the aim of He Ritenga - Treaty of Waitangi Principles: Health Audit Framework is to:

- Monitor progress by DHBs and health providers against He Korowai Oranga, Whakatataka and the BOPDHB Maori Health Plan
- Audit and evaluate both clinical and non-clinical services
- Assist DHBs and providers on 'how' to comply and implement the Treaty of Waitangi into the governance, service delivery, workforce development, planning and with the intersectoral initiatives of the service, and thus impact effectively and efficiently on the health status of Maori
- Identify the service / organisational delivery, planning gaps for Maori
- Ensure the content of the Framework is comprehensive, and the utilisation, simple

Method - Pre Audit

Research Review

Ministry of Health documentation and recognised literature were reviewed prior to the development of He Ritenga - Treaty of Waitangi Principles: Health Audit Framework.



Initial Draft

Developed the initial conceptual He Ritenga - Treaty of Waitangi Principles: Health Audit Framework in accordance with the Crown Principles of Partnership, Participation and Protection.



Feedback

Sought initial feedback from the BOPDHB Maori Health Planning and Funding Unit regarding:

- The use of the Standards New Zealand Audit Workbook and the Quality Health New Zealand Sector Standard.
- Content and structure of He Ritenga - Treaty of Waitangi Principles: Health Audit Framework



External Peer Review

The following organisations conducted the external Peer Review:

- Eru Pomare Research Centre
- Maori Health Directorate – Ministry of Health
- Midland Maori General Manager's Forum
- National Maori General Manager's Forum



Internal Peer Review

Method - Pre Audit

Internal Peer Review

The following organisations conducted the internal Peer Review:

- BOPDHB Board
- BOPDHB Maori Health Runanga
- BOPDHB Planning and Funding Unit
- BOPDHB Senior Management Team
- Quality and Risk Management Team



Ministry of Health Project

Maori Health Directorate – Ministry of Health identified the BOPDHB He Ritenga - Treaty of Waitangi Principles: Health Audit Framework as a mechanism to assess DHBs and providers progress against Whakatataka and He Korowai Oranga.



BOPDHB Pilot Audits

4 Pilot Areas identified:

- Human Resources
- Mental Health Services
- ENT
- BOPDHB Planning and Funding.

Method – During and Post Audit

Assessment

He Ritenga - Treaty of Waitangi Principles: Health Audit Framework was assessed against QHNZ Standards and Health and Disability Standards.



Interview Process

Interviews were conducted with the Service/ General Manager, who then identified Key Staff and Key Stakeholders to also be interviewed.



Review of Service Plans

All Service Plans, Information booklets were reviewed against He Ritenga - Treaty of Waitangi Principles: Health Audit Framework.



Document: Assessment

Written documentation of the evidence reported by the interviewees, including the outcome of the review of the Service plans and information against He Ritenga - Treaty of Waitangi Principles: Health Audit Framework.



Actions Required

Identify and document all ' Actions Required' to ensure the Service being audited is compliant with He Ritenga - Treaty of Waitangi Principles: Health Audit Framework, He Korowai Oranga, Whakatataka and the BOPDHB Maori Health Plan.

The person completing this section **must** be competent to assess service delivery in relation to compliance to the Treaty of Waitangi, commitment to the health and independence of Maori, and **must** be Maori.



Ratings

Method – During and Post Audit

Ratings

Rate the level of Service compliance to He Ritenga - Treaty of Waitangi Principles: Health Audit Framework, and the impact of risk that either a 'UA' or 'PA' rating will have on Maori Health gain.

The person completing this section **must** be competent to assess service delivery in relation to compliance to the Treaty of Waitangi, commitment to the health and independence of Maori, and **must** be Maori.



Draft Documents

With Steps 5 and 6 complete, all documentation is forwarded to the Service/ General Manager to check accuracy of assessment and to get initial feedback on the Audit process.



By Who and By When

Service/ General Manager identifies and inform the Auditors who will undertake each ' Action Required' and by when.

Implementing He Ritenga - Treaty of Waitangi Principles: Health Audit Framework

1. PURPOSE

Fundamentally, the purpose of He Ritenga - Treaty of Waitangi Principles: Health Audit Framework is to identify how each outcome is achieved, the level of potential risk and/ or impact on Maori Health gain, and to make recommendations based on the information received.

Evidence and data can be collected through a number of techniques such as interviews with key informants, visual inspections and documentation reviews. For the purpose of each BOPDHB pilot audit, interviews with key informants were jointly conducted and service documents jointly reviewed.

Evidence of achievement is recorded in the '*How is achievement of this outcome demonstrated?*' 'Attainment Level' for each criteria is then assessed and recoded.

Attainment Level		Interpretation
CL	Continuous Improvement	Having fully attained the criteria the service can in addition clearly demonstrate a review process including analysis and reporting of findings, evidence of action taken based on those findings, and improvements to service provision and consumer safety, or satisfaction as a result of the review process.
FA	Fully Attained	The service can clearly demonstrate implementation (practice evidence, training, records, visual evidence etc) of the process, systems or structures in order to meet the required outcome of the criterion
PA	Partially Attained	<ol style="list-style-type: none"> 1. There is evidence of appropriate process (policy/procedure/guidelines etc), systems or structure implantation without the required supporting documentation. 2. Or a documented process (policy/ procedure/ guidelines etc), system or structure is evident but the organisation or service is unable to demonstrate implementation where this is required.
UA	Unattained	The organisation or service is unable to demonstrate appropriate processes, systems or structure to meet the required outcome of the criterion.

2. RISK ASSESSMENT

This process identifies the degree of risk to the attainment of Maori Health gain associated with the level of attainment by the service for each criterion. The risk is assessed in relation to the possible impact based on the consequences and likelihood as a result of the criterion not being fully implemented. A risk rating is only assigned when the result for any individual criterion is partially attained (PA) or unattained (UA).

Summary

All Services welcomed the opportunity to be a part of the Pilot Audits. He Ritenga - Treaty of Waitangi Principles: Health Audit Framework was much a Pilot for the Services to assess their respective levels of compliance, as it was to determine the extent of how He Ritenga - Treaty of Waitangi Principles: Health Audit Framework can be utilised.

Fundamentally, the aim of He Ritenga - Treaty of Waitangi Principles: Health Audit Framework has been achieved. With feedback from Services Piloted still being forwarded. All of which is complimentary of the 35 comprehensive criteria, the clear recommendations provided, and noting the overall He Ritenga - Treaty of Waitangi Principles: Health Audit Framework as innovative, with the potential to change the health status of Maori nationally.

Impact On Health Issues For Maori

The following outlines how He Ritenga - Treaty of Waitangi Principles: Health Audit Framework can impact on health issues for Maori:

1. He Ritenga - Treaty of Waitangi Principles: Health Audit Framework criteria provides DHBs and providers with the ability to ascertain how the Crown Principles of Partnership, Participation and Protection can be implemented into the Service in a manner that ensures compliance to Whakatataka, He Korowai Oranga, and the health and independence of the Maori that access the Service.
2. Recommendations made following the completion of the Treaty of Waitangi Audit will provide DHBs and providers with mechanisms to ensure all Service Plans have goals, objectives, strategies that will assist with the increase of health and independence for Maori, assist Services to build relationships with Key Maori Stakeholders, and demonstrate a robust and comprehensive commitment to the health of Maori.
3. Recommendations made to date have impacted on the Strategic Planning and Direction of one of the services audited.
4. He Ritenga - Treaty of Waitangi Principles: Health Audit Framework can be used to assess existing services and new funding streams that will be allocated to existing services.
5. He Ritenga - Treaty of Waitangi Principles: Health Audit Framework has been identified as the Treaty of Waitangi Framework for the National Prioritisation Framework.

Where To From Here And Resource Implications?

The following are questions and issue were raised during the development, pilot of He Ritenga - Treaty of Waitangi Principles: Health Audit Framework:

1. What are the implications for He Ritenga - Treaty of Waitangi Principles: Health Audit Framework within a national/policy context?
2. How will the Ministry of Health monitor compliance against He Ritenga - Treaty of Waitangi Principles: Health Audit Framework?
3. Who determines what is deemed an appropriate number of 'UA' and 'PA' attainment levels, and an appropriate number of 'High' or 'Moderate' ratings in regards to the impact of risk on Maori Health gain per Audit?
4. Ministry of Health responsibility to consider resource implications to assist DHBs with the training and implementation of He Ritenga - Treaty of Waitangi Principles: Health Audit Framework?

Acknowledgements

We would like to make special acknowledgement to the following who have participated in the development, utilisation, and promotion of the BOPDHB He Ritenga - Treaty of Waitangi Principles: Health Audit Framework Tool.

Endorsed and Supported the Development of Tool

BOPDHB Maori Health Planning and Funding Unit
BOPDHB Quality and Risk Management Team
BOPDHB Maori Health Runanga
BOPDHB Senior Management Team
BOPDHB Planning and Funding Unit

Participated in Pilots of Tool

BOPDHB Planning and Funding Unit
BOPDHB Human Resources Department
BOPDHB Mental Health Services
BOPDHB Ear Nose and Throat Services

Peer Reviewed Tool

Lakes DHB Maori Health
Eru Pomare Research Centre
Wellington Medical School
Midland Maori General Manager's Forum
National Maori General Manager's Forum
Ministry of Health Maori Health Directorate

Design of Tool

Jason Porter (Nga Puhi, Ngaiterangi)

Project Leaders:

Larissa Clarke (BOPDHB Maori Health Planning and Funding Unit)
Andrew Dobbs (BOPDHB Quality and Risk Management Team)

References

Ministry of Health

He Korowai Oranga – Maori Health Plan
New Zealand Disability Strategy – Making a World of Difference
New Zealand Health Strategy
Primary Health Care Strategy
Reducing Inequalities in Health
Whakataatata

BOPDHB

Te Ekenga Hou – BOPDHB Maori Health Plan

Endnote

¹ The Tangata Whenua Determinants of Health Framework

- Provides broad guidelines based on agreed hapu, iwi identified values and principles that will assist in achieving the shared vision for Toiora (health and well being).
- Stands separately from He Ritenga - Treaty of Waitangi Principles: Health Audit Framework Tool, acknowledging that both must interface and operate in a complimentary way.
- Developed by the BOPDHB Maori Health Runanga in the role of kaitiaki/ stewardship who have the intellectual property for the development of the Tangata Whenua Determinants of Health Framework, on behalf of the Iwi.

FEEDBACK: LAKES DISTRICT HEALTH BOARD

Below is a chronological account of how the trials of He Ritenga - Treaty of Waitangi Principles: Health Audit Framework Tool has assisted the developments within Lakes DHB.

- December 2001 - Service Directors in Lakes DHB Provider Arm trialled He Ritenga - Treaty of Waitangi Principles: Health Audit Framework Tool.
- Service Directors informed that He Ritenga - Treaty of Waitangi Principles: Health Audit Framework Tool is still in the developmental stage.
- Planning 2002 - Service Directors utilised He Ritenga - Treaty of Waitangi Principles: Health Audit Framework Tool to establish their respective Maori Health objectives and service developments for the 2002/2003 financial year.
- Lakes DHB Maori Health monitored the Maori Health objectives. Capacity within Lakes DHB Maori Health was also limited at the time.
 - Services were expected to provide Monthly Reports against the Maori Health objectives to Lakes DHB and the General Manager's Lakeland Health.
 - Lakes DHB Maori Health trialled He Ritenga - Treaty of Waitangi Principles: Health Audit Framework Tool to assess PHO Maori Health Plans.
 - Lakes DHB Maori Health provided each PHO with a comprehensive report against their Maori Health Plan.
 - Lakes DHB Maori Health met with the Maori Health division of each PHO to discuss how each PHO could enhance their services for Maori.
 - Utilisation of He Ritenga - Treaty of Waitangi Principles: Health Audit Framework Tool gave Lakes DHB Maori Health a basis re PHO Maori Health Plans, which assisted in the refining of the Maori Health plans and the re-organisation of infrastructures so as to best meet the needs for Maori.
- November 2003 - Prioritisation Process within Lakes DHB is being reviewed.
- He Ritenga - Treaty of Waitangi Principles: Health Audit Framework Tool is being integrated into the Prioritisation Process.
- March 2004 - Report against Prioritisation Process to Lakes DHB expected.
-