External Evaluation and Review Report

Health Audit Training Limited

Date of report: 2 November 2018

About Health Audit Training Limited

Health Audit Training Limited (HAT) primarily delivers health audit training to health professionals through a five-day training scheme (two-three times a year). This includes unit standard 8086, a prerequisite for Ministry of Health auditors.

Type of organisation:	Private training establishment (PTE)
Location:	24 Fusion Road, Flat Bush, Auckland
Code of Practice signatory:	No
Number of students:	Domestic: 37 learners enrolled in 2017 (across three trainings, including to one group of 15 learners from a Māori organisation)
	Māori: 35 per cent of all learners between 2015 and 2018
	Pasifika: 2.6 per cent of all learners since 2015
Number of staff:	Three full-time equivalents, as well as one lead trainer and a support trainer
TEO profile:	https://www.nzqa.govt.nz/providers/details.do?providerId=732744001
	The business changed ownership in 2016, including a new managing director
Last EER outcome:	In 2014 NZQA was highly confident in both HAT's educational performance and capability in self-assessment
Scope of evaluation:	Health Care Auditor Course (Training Scheme) (level 4)
MoE number:	7327
NZQA reference:	C29345
Date of EER visit:	7 August 2018

Summary of Results

There is evidence of good value and processes contributing to quality and relevant training. Good data informs programme review. There have been gaps in HAT's effective management of some key compliance accountabilities.

Confident in educational performance

Not Yet Confident in capability in self-assessment

- HAT is meeting a sector need for health audit training, including providing the Ministry of Health unit standard prerequisite and a pathway to health auditing. The training contributes to enhanced employer practice. HAT uses strong sector knowledge and connectedness to ensure relevant training.

- The lead tutor is an experienced auditor and trainer and contributes to programme development. Contributing processes include comprehensive internal moderation, using learner and trainer feedback to improve the programme, and a recent refresh of training materials.

- HAT collects good data, including on Māori learner achievement and resit information, but could better analyse it to inform improvement. HAT collects and uses learner feedback but could better collate it for analysis purposes.

- HAT knows if learners progress to become auditors, and anecdotally understands the value and contribution of the training. However, evidence of graduate and employer outcomes could be more systematically collected.

- HAT failed to submit assessment materials and engage in NZQA national external moderation in 2016 and 2017. During the EER, the evaluators identified that some programme components were not the same as HAT advised to NZQA as part of the 2014 training scheme approval.

Key evaluation question findings[1]

1.1 How well do students achieve?

Performance:	**Good**
Self-assessment:	**Good**
Findings and supporting evidence:	Since 2015, 77 learners have enrolled in the Healthcare Auditor training scheme: 72 (93 per cent) completed the training, 25 out of 77 (32 per cent) after one resit (i.e. they have not met one or two performance criteria). Only one learner in this time has not passed more than three performance criteria and thus needed to sit a new exam. The completion rates reflect the relevance of the learning content and strong teaching and support. Formative workshops demonstrate learner competence and allows HAT to assess if a resit is appropriate. The resit process and practice seems fair, is closely reviewed, and is focused on supporting those likely to achieve. Since 2015, just six learners have failed or not completed overall: four of these were part of a large group from a Māori organisation, with varying levels of health sector knowledge (11 had a resit opportunity). Following this situation, HAT proposes providing the lead trainer with information about learner's professional backgrounds earlier to help her prepare relevant content and support in advance. This is within the context of a short five-day course. HAT collects data on ethnicity but has not analysed achievement using this data. Doing so would improve HAT's understanding of achievement, including any trends relating to ethnicity. The previous EER had a similar finding.
Conclusion:	Most learners complete the programme. HAT collects relevant achievement data and reviews it after each delivery. However, more in-depth analysis could improve HAT's understanding of achievement results.

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[1] The findings in this report are derived using a standard process and are based on a targeted sample of the organisation's activities.

1.2 What is the value of the outcomes for key stakeholders, including students?

Performance:	**Good**
Self-assessment:	**Good**
Findings and supporting evidence:	Learners build confidence and knowledge in audit and risk management practices, learn about the realities of audit practice, and are supported to identify if the audit pathway is appropriate for them. Learners acquire unit standard 8086, a minimum prerequisite for auditing for the Ministry of Health. The training provides the foundation for the more extensive development of future auditors and provides HAT's sister company, Q-Audit, with insights into a potential pool of auditors to develop further. As a key stakeholder, this relationship also informs HAT's understanding of the relevance of the training and if it is meeting needs. HAT provided examples of learners taking knowledge and skills back to their employer organisations and enhancing the effectiveness of their healthcare quality and risk management systems and audit practices. Learners enhance their understanding of health and disability standards and the desired behavioural qualities underlying auditor practice. HAT is aware of those learners who have gone on to become auditors and gets learner feedback at the end of the training about the difference that the training has made. HAT does not proactively collect external feedback from organisations who send their employees on the training or ask repeat clients why they choose to use HAT again. Such information could add to HAT's understanding of the value of outcomes for stakeholders and where they may need to make improvements. The previous EER came to a similar conclusion.
Conclusion:	HAT has a good understanding of the value that the training adds and the knowledge learners gain. The training provides learners with the foundation to develop as an auditor and benefits the practices of employers. HAT does not collect feedback from employers or repeat learners, limiting their understanding of the training's value.

1.3 How well do programme design and delivery, including learning and assessment activities, match the needs of students and other relevant stakeholders?

Performance:	**Marginal**
Self-assessment:	**Marginal**
Findings and supporting evidence:	Niche, specialised training is managed and delivered by experienced personnel. Learner feedback confirms training quality and relevance. Training materials were refreshed in 2017 to be up-to-date and engaging. Case studies and role plays are based on real auditing situations. A key focus is customer-centred auditor practice, driven by its importance. HAT has recently enhanced the quality and fairness of assessment by analysing exam results and feedback to improve the consistency of language in exam questions and revise marking schedules. The training is reviewed after each delivery (i.e. using the tutor's and learners' reflections). HAT does not collate survey feedback, but small learner numbers means that it can review each learner's feedback and identify improvements. Internal post-assessment moderation is comprehensive, contributing to fair and consistent marking. Because HAT failed to engage in national moderation in 2016 and 2017, there has been no external validation of assessment in the last two years. HAT was slow to submit the required materials for NZQA moderation in 2018 but has now submitted the materials as required.[2] Assessment has always been by open-book examination, but HAT's 2014 training scheme application documentation referred to a closed book exam. Since the EER visit, HAT has notified NZQA of this and NZQA has recorded the change. The application documentation also refers to a numeracy and literacy requirement which is not explicit in HAT's enrolment process.
Conclusion:	The training is relevant and informed by up-to-date sector information. Revised assessment materials and internal moderation gives some confirmation of fair and consistent assessment, but there is no external validation of assessment. The evaluators identified some differences between the training scheme application information and HAT's delivery.[3]

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[2] Confirmed moderation results were not available at the time the EER report was finalised.

Final Report

1.4 How effectively are students supported and involved in their learning?

Performance:	**Good**
Self-assessment:	**Good**
Findings and supporting evidence:	Before starting, learners receive information about the programme structure, requirements, learning outcomes, and who the programme is suited for. Information about entry, assessment and attendance requirements should be explicit, as expressed by NZQA in 2014 correspondence relating to the training scheme application. A registration form collects background information about each learner, aiming to understand their professional role and learning goals. This information has not been provided to the lead trainer in advance of the training, which HAT is correcting. The form could be improved to ask about specific support needs. The lead tutor engages with each learner to understand their goals and needs, and proactively offers additional support if needed (i.e. one-to-one time before or after class, providing a reader-writer). HAT has appointed a support tutor, increasing in-class support and support for learning in te reo Māori. Learner feedback shows satisfaction with the support provided. Interactive learning activities based on real scenarios actively involve learners in their learning. The tutor tailors information based on the learners' backgrounds and interests. Over the five-day training, learners engage in formative assignments which provide timely feedback on their progress. Learners are engaged by an experienced trainer who is up-to-date with current knowledge and trends through practising as an auditor and ongoing professional development.
Conclusion:	The tutor proactively identifies learning and support needs and responds appropriately within the context of a short course. HAT is taking corrective action to provide tutors with background information of the learners in advance of the training to help identify needs. Leaners receive pre-course information and formative feedback during the training. They are interactively involved in the learning by an experienced trainer with relevant sector knowledge.

1.5 How effective are governance and management in supporting educational achievement?

Performance:	**Good**
Self-assessment:	**Good**
Findings and supporting evidence:	With the transfer of new ownership in 2016, the managing director has resourced a full review of the training materials and a new support tutor. Management is reviewing future delivery and how the training might be developed to increase its value and reflect the increasing importance of customer-centred audit practice. The management team includes a practising auditor with experience in adult teaching and assessment. This experience is used to review training and support its relevance, as well as in internal moderation. HAT's integration with its sister company, Q-Audit, keeps HAT informed of sector trends and developments and training needs. HAT reviews the programme closely after each training delivery using relevant data (i.e. exam achievement, resit information, tutor and learner feedback). Specific survey questions ensure a good breadth of information to measure the appropriateness of delivery. The PTE makes improvements in areas identified for development. The EER has identified areas where HAT can strengthen its self-assessment. HAT positively considered these areas during the EER as areas of focus for the new management team going forward.
Conclusion:	Training quality and relevance is supported by management's resourcing, self-review, and sector knowledge and connections. HAT is focused on continuing to develop its training to support the value of its training and the development of quality future auditors.

1.6 How effectively are important compliance accountabilities managed?

Performance:	**Marginal**
Self-assessment:	**Poor**
Findings and supporting evidence:	HAT did not engage in NZQA's required national external moderation process in 2016 and 2017, not submitting assessment materials for unit standard 8086, and not meeting moderation requirements in the last two years. HAT was also not timely in submitting its moderation plan to NZQA for 2018 (first requested in November 2017), but has now submitted the required assessment materials. At the time of the EER visit, HAT's open-book exam did not match the closed-book approach in the documentation for HAT's 2014 training scheme application. The new managing director has since engaged with NZQA to rectify the issue. HAT may also need to review its consideration of learner's numeracy and literacy background at entry, as HAT's application for the training scheme approval identifies a specific requirement. HAT did not submit a self-assessment summary to inform the EER, despite requests for it and indications HAT would do so. The training timetable matches delivery and HAT is reporting learner completions and credits to NZQA. HAT assures the appropriateness of each venue where the training is delivered (usually a hotel) through a health and safety briefing before the training, and on the day to ensure the venue meets all requirements. A representative from the HAT head office is present at the beginning of each training day.
Conclusion:	HAT has not engaged in some required NZQA processes, which does not demonstrate effective management of some of HATs compliance accountabilities.

Focus Areas

This section reports significant findings in each focus area, not already covered in Part 1.

2.1 Focus area: Healthcare Auditor course (Training Scheme) (level 4)

Performance:	**Good**
Self-assessment:	**Good**

Recommendations

Recommendations are not compulsory but their implementation may improve the quality and effectiveness of the training and education provided by the tertiary education organisation (TEO). They may be referred to in subsequent external evaluation and reviews (EERs) to gauge the effectiveness of the TEO's quality improvements over time.

NZQA recommends that Health Audit Training Limited:

- Review learner entry processes to ensure that learner numeracy and literacy requirements align with information provided in the original documentation for the training scheme application.

- Ensure that information to learners explicitly identifies entry, assessment, and attendance requirements.

- Analyse achievement information by ethnicity to ensure parity is being achieved.

- Systematically collect feedback from external stakeholders (e.g. employers) to add to an understanding of the value of training and how it meets stakeholder needs.

Requirements

Requirements relate to the TEO's statutory obligations under legislation that governs their operation. This include NZQA Rules and relevant regulations promulgated by other agencies.

There are no requirements arising from the external evaluation and review.

Appendix

Conduct of external evaluation and review

All external evaluation and reviews are conducted in accordance with NZQA's published policies and procedures. The methodology used is described fully in the web document Policy and Guidelines for the Conduct of External Evaluation and Review available at: http://www.nzqa.govt.nz/providers-partners/registration-and-accreditation/external-evaluation-and-review/policy-and-guidelines-eer/introduction. The TEO has an opportunity to comment on the accuracy of this report, and any submissions received are fully considered by NZQA before finalising the report.

Disclaimer

The findings in this report have been reached by means of a standard evaluative process: http://www.nzqa.govt.nz/providers-partners/external-evaluation-and-review/policy-and-guidelines-eer/introduction/. *They are based on a representative selection of focus areas, and a sample of supporting information provided by the TEO under review or independently accessed by NZQA. As such, the report's findings offer a guide to the relative quality of the TEO at the time of the EER, in the light of the known evidence, and the likelihood that this level of quality will continue.*

For the same reason, these findings are always limited in scope. They are derived from selections and samples evaluated at a point in time. The supporting methodology is not designed to:

- *Identify organisational fraud[4]*

- *Provide comprehensive coverage of all programmes within a TEO, or of all relevant evidence sources*

- *Predict the outcome of other reviews of the same TEO which, by posing different questions or examining different information, could reasonably arrive at different conclusions.*

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[4] NZQA and the Tertiary Education Commission (TEC) comprehensively monitor risk in the tertiary education sector through a range of other mechanisms. When fraud, or any other serious risk factor, has been confirmed, corrective action is taken as a matter of urgency.

Regulatory basis for external evaluation and review

External evaluation and review is conducted according to the External Evaluation and Review (EER) Rules 2013, which are made by NZQA under section 253 of the Education Act 1989 and approved by the NZQA Board and the Minister for Tertiary Education, Skills and Employment.

Self-assessment and participation in external evaluation and review are requirements for maintaining accreditation to provide an approved programme for all TEOs other than universities. The requirements are set through the NZQF Programme Approval and Accreditation Rules 2013, which are also made by NZQA under section 253 of the Education Act 1989 and approved by the NZQA Board and the Minister for Tertiary Education, Skills and Employment.

In addition, the Private Training Establishment Registration Rules 2013 require registered private training establishments to undertake self-assessment and participate in external evaluation and review, in accordance with the External Evaluation and Review Rules (EER) 2013, as a condition of maintaining registration. The Private Training Establishment Registration Rules 2013 are also made by NZQA under section 253 of the Education Act 1989 and approved by the NZQA Board and the Minister for Tertiary Education, Skills and Employment.

NZQA is responsible for ensuring non-university TEOs continue to comply with the rules after the initial granting of approval and accreditation of programmes and/or registration. The New Zealand Vice-Chancellors' Committee (NZVCC) has statutory responsibility for compliance by universities.

This report reflects the findings and conclusions of the external evaluation and review process, conducted according to the External Evaluation and Review (EER) Rules 2013. The report identifies strengths and areas for improvement in terms of the organisation's educational performance and capability in self-assessment.

External evaluation and review reports are one contributing piece of information in determining future funding decisions where the organisation is a funded TEO subject to an investment plan agreed with the Tertiary Education Commission.

External evaluation and review reports are public information and are available from the NZQA website (www.nzqa.govt.nz). The External Evaluation and Review (EER) Rules 2013 are available at http://www.nzqa.govt.nz/assets/About-us/Our-role/Rules/EER-Rules.pdf, while information about the conduct and methodology for external evaluation and review can be found at http://www.nzqa.govt.nz/providers-partners/external-evaluation-and-review/policy-and-guidelines-eer/introduction/.

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