**Enrolment Audits for Practices**

**Master guide: Indici PMS**

**Enrolment – Self Audit**

As part of the enrolment process, we strongly recommend that practices complete an enrolment self-audit of their practice register. There is no recommended frequency for the audit, this is determined by the practice. Health Hawkes Bay suggest you implement a regular process to ensure you are compliant with all the Enrolment rules, ensuring your practice is well placed in the event of an enrolment audit by Health New Zealand. Recommended audit number is 100.

**Background information and resources**

Health Hawkes Bay have provided a toolkit of resources for training staff in Enrolment Processes [Enrolling with General Practice - Health Hawke's Bay](https://healthhb.co.nz/enrolling-with-general-practice/) as well as further links below in References section [Appendix 3](#Appendix3).

**Why is May 2011 significant**

“In May 2011 new Enrolment Requirements were released which included a new-look enrolment form containing the eligibility declaration. A Quality Improvement Process was also introduced at this time to allow Providers and PHOs time to develop internal systems and processes to assess eligibility. Many practices took the opportunity and instigated a rolling programme of re-enrolling its patient population using the new enrolment form.

Subsequent releases of the Enrolment Requirements have also reminded practices that if patients have not yet signed an enrolment form containing the eligibility declaration and the health privacy statement, then a new form should be obtained at the next point of contact.” Ref: MOH. [Eligibility and Entitlement Presentation by Health New Zealand - Health Hawke's Bay](https://healthhb.co.nz/support/eligibility-and-entitlement-presentation-by-health-new-zealand/)

**Qualifying Encounter Date (QED)** -it is important to understand that every time an invoice for a consultation service is created, this updates NES and pushes the patient’s current enrolment out 3 years. There must be clinical notes found to support a clinical interaction to update the Qualifying Encounter Date (QED) in the NES. It is important that Consultation invoices are not used for administration tasks.

**Date of Last Consultation (DLC)**

The Date of Last Consultation field can be updated following a face-to-face, telephone or other electronic contact between an **Enrolled Person** and a **Health Practitioner.** This is to be recorded in the patient notes “Daily record”.

The following activities should not be used to update the DLC field in the providers PMS:

* Invoices (non-clinical related service) and credit notes
* Correspondence, initiated by Contracted Provider (e.g., debts, recalls, imms)
* Receipt of reports from other health service providers (e.g., lab results)
* Registration, enrolment, re-enrolment
* Notes about patient visits to other providers (e.g., ED) or adding notations.

**Eligibility - Checking citizenship in NES**

If the ‘NZ Citizenship Proof’ field says ‘DIA data share’ this confirms NZ citizenship without the need for the patient to provide documentation

– record this note on enrolment form or in the notes.

**Enrolment Audit Instructions**

The following information includes two associated audit tools:

1. Individual patient enrolment checklist with guidance if required see [Appendix 1](#Appendix1) and the individual audits sheets [Appendix 4.](#Appendix4)
2. Practice enrolment processes to be completed once see [Appendix 2](#Appendix2)

**NOTE- The most important area of enrolment is ensuring the enrolment form is completed and checked carefully.**

For any patients where the following applies; get new enrolment form signed ASAP or consider ending enrolment before the end of the current month if a new form cannot be obtained. If audited an unsigned form etc. may have financial implications if not completed.

* no form
* form is unsigned
* not dated
* eligibility and entitlement criteria are not completed
* ethnicity not completed and scanned copy is not legible or does not include the full information

**Preparing to audit and identifying current issues:**

**Instructions**

1. Create the following query in the Advanced Query Builder. Health Hawkes Bay has a copy of this query if you want to contact the Provider Engagement team for the file to import. The resulting spreadsheet will give you columns to review as per instructions 2-5.

**Columns:**

**Expression / Title**

Patient NHI Number

Patient Provider Name

Patient DOB

Patient Age

Patient Enrolment Status

Patient Funding Status

Patient Register Status

Patient Enrolment Date

Patient EnrollmentExpiryDate

Patient Country Of Birth

Patient VisaExpiry

Patient WorkVisa Expiry Date

**Conditions:**

**Select records where any of the following apply**

Patient Enrolment Status **starts with** Confirmed

**or**

Patient Enrolment Status **starts with** Newborn

1. Identify patients with an enrolment date **previous** to 01 May 2011.
* Check these patients have signed an enrolment form, where their eligibility has been confirmed. Pre 2010 the enrolment form may not have adequately listed the eligibility criteria.
* If in doubt, ask patient to sign a new enrolment form and confirm eligibility. Note the patient needs to have marked on the list their eligibility, eg circles, ticked etc.
1. Review the visa column and check any patients with an expired visa who are still enrolled – if no new Visa or not eligible - end enrolment and contact patient. Can re-enrol if patient presents appropriate Visa.
2. Identify patients registered and enrolled **after** 1 May 2011 – select in the query those patients who are enrolled elsewhere, rejected, deceased etc and fix these – this should have been fixed with the lead up to NES
3. Scan through the spreadsheet and check for unusual names/ dates, such as
* date of last consult after deceased date or before birth date
* too many people with same date of last visit
* too many people with same enrolment dates
* date enrolled is before the date of the PHO commencement
* unusual named patients are not enrolled / funded, e.g. Mickey Mouse, Test patients.
1. Now randomly select (e.g. pick every 50th or 100th patient) a sample of patients enrolled after 2011 and undertake the following audit.
	* NB: Include babies and children in your audit.

**Appendix 1: The Enrolment Audit Guide**

**Including what to do if criteria is not met – for simple individual checklists move to** [**Appendix 4**](#Appendix4)**:**

| **Enrolment form** | **Y** | **N** | **N/A** | **What to do if criteria not met:** |
| --- | --- | --- | --- | --- |
| 1. Enrolment form is stored securely and easily accessible for audit – check that you can find it.
 |  |  |  | If not found gain new enrolment form asap. Consider ending enrolment before the end of the month.  |
| 1. Person has own enrolment form (adult and children)

 - note a child may be on parents’ enrolment form (1 enrolment form per person is the preferred option) |  |  |  | Gain new full enrolment forms if any doubt – can remain enrolled  |
| 1. The enrolment form contains entitlement and eligibility, as well criteria a-j (pre 2011 enrolment forms did not contain this)
 |  |  |  | Update to new enrolment form – can remain enrolled as long as QED within 3 years |
| 1. The scanned enrolment form is completed and legible. Check everything is legible, dates, signature, entitlement and enrolment, ethnicity etc
 |  |  |  | If not, action as above |
| 1. ID is either scanned or noted in the PMS (note must include part of the ID number e.g. last 4 digits xxxx and date issued)
 |  |  |  | Gain ID information as soon as possible – can remain enrolled |
| 1. Proof of eligibility (if required) are scanned into the PMS

E.g. Visa’s etc can be foundOr Is confirmed via checking citizenship in NES (as described above) |  |  |  | If eligibility in doubt end enrolment and re-enrol with all information |
| Mandatory information is recorded and matched with PMS: |  |  |
| 1. Correct information:
* first name
* surname
* Persons legal name is recorded
* preferred name entered if one
* other names

(note a legal name is important for referred services such as radiology and laboratory referrals)* date, place and country of birth
* gender
* usual residential address not postal address and is geo coded
 |  |  |  | Update with patient as soon as practicable – enrolment can continue – no new form required unless signature /date missing.  |
| 1. Ethnicity:
* is selected and recorded and matches NHI
* Ethnicity is recorded in the correct order – note up to 6 ethnicities can be recorded in NHI. PMS will prioritise top 3

Māori then Pacific Islander then remainder of ethnicities * only MoH accepted ethnicity codes are used
* if ethnicity is different from enrolment form the change has been recorded. Check NES.
 |  |  |  | Update all records e.g. PMS & NES. If any uncertainty check with patient – new enrolment form not required and enrolment can continue.  |
| 1. Declaration of entitlement and eligibility
* NZ citizenship can be confirmed in NES as described above.
* person has identified (ticked or circled) their entitlement and eligibility to enrol. – note there are 2 sections that must be filled in
* person has presented proof of identification/ eligibility – recorded type and copy. E.g. visa, birth certificate, passport, gold card
* “I confirm that is requested I can provide prove of my eligibility”

Ticked or circled* Eligibility entered correctly on the PMS e.g., New Zealand, eligible non-NZ, non-NZ?
* It should match the enrolment form

(note this is often recorded incorrectly. Red flag enrolled and non-NZ)* Eligible non-NZ have end of visa date recorded on PMS
 |  |  |  | If any doubt, obtain a new enrolment form and obtain evidence of entitlement and eligibility. If there is any concern regarding this enrolment – end enrolment and re-enrol with correct info. |
| 1. Children of visa holders when turning 18, are unenrolled unless they have obtained their own eligibility documentation.
 |  |  |  | End enrolment and contact patient for new enrolment |
| 1. Enrolment form is signed and dated by the person who is enrolling (check that is not wife’s, husbands etc)
 |  |  |  | Ensure correct signature – if not signed or if any doubt obtain a new enrolment form. If there is any difficulty obtaining this– end enrolment and re-enrol with correct info. |
| 1. Person has had access to the Health Information Privacy Statement
 |  |  |  | Obtain a signed enrolment form at next opportunity – enrolment can continue  |
| 1. Where applicable (e.g. children under 16) enrolment form has been signed by delegated authority and delegation recorded.
 |  |  |  | As above |

| **Persons PMS record** | **Y** | **N** | **N/A** | **What to do if criteria not met:** |
| --- | --- | --- | --- | --- |
| Mandatory fields completed in PMS and match enrolment form  |  |  |
| 1. Date of enrolment is correct
* matches date on enrolment form or
* where this is different check for auditable contact and confirm dates. Note there must be a record to show that the patient’s entitlement and eligibility were re confirmed
* Date on Enrolment Form and date of Enrolment in the NES are within a reasonable timeframe **AND** in the same month
 |  |  |  | If dates are outside a month – obtain new enrolment form. If not explainable to auditors, end enrolment before the end of the month if new form not able to be signed. |
| 1. Has the person been enrolled through NES
* there should be an enrolment ID on tab 2 of the patient register (F3)
* method of Enrolment is – should be this drop down: Form – Only Valid PHO option (F)
* click into NES to view enrolment
 |  |  |  | Correct/Update PMS or NES if anything missing |
| 1. The NHI is recorded and has been validated?
* Patients NHI on the patient dashboard should be blue
 |  |  |  | Validate or obtain correct information and validate |
| 1. If the person is an eligible non-NZ check the visa date Patient register F3 Tab 4:

• is the person still eligible for enrolment? |  |  |  | If eligibility has expired, e.g., work visa expired etc – the person has had their enrolment ended in NES. IF NOT END THE ENROLMENT immediately. |
| 18. If the person is currently enrolled but not eligible or entitled to enrol, the enrolment has been ended in NES and a record is made in the PMS. e.g.* in prison or in the armed forces
* practice advised living overseas
* informed of non-eligibility or entitlement from another source or audit e.g. immigration.
* Deceased
 |  |  |  | If eligibility has expired, or not entitled to enrol END THE ENROLMENT IN NES immediately. |
| 19. Evidence that the patient is being seen and there are consultation notes in the patient record to substantiate this for **Qualifying Encounter Date (QED)** Last qualifying encounter (QED)– Date of last invoice updates last encountered date.Check on tab 3 of patient register for date last invoiced (Tab 3 Account) and last encountered date (Tab 2 – Enrolment end date less 3 years). Did a consultation take place. Can be f2f or virtual by clinician. Note recalls, letters/correspondence from hospital etc is not counted as a consultation and cannot be used to update the date of last consultation. Special Note: Do not enter a zero invoice if enrolment is updated – e.g. new enrolment form signed or auditable contact etc. Only a consult invoice from a health practitioner contact can be used to update the last encounter. If enrolment is updated by auditable contact or new form, update the enrolment and the date in NES. |  |  |  | IF incorrect QED but within 3 years then confirm and re-enrol via auditable contact. If outside 3 years, then obtain new enrolment. |
| 20. Community Service Card is up to date and expiry date correct. |  |  |  | Run CSC sync if required. |
| 21. High User card is up to date and expiry date correct.We advise practices not to encourage use of HU cards because the Practice loses their PPP funding for these patients.  |  |  |  | Not encouraged nowadays due to changed funding model. Use PPP funding. |
| **B Code – Newborn enrolment only**  |
| 22. Babies are registered “B” and enrolment status is B enrolment – from 1 April 2024 this can now continue for 12 months if unable to get enrolled by 6 weeks (required standard). |  |  |  | Ensure someone is chasing newborn enrolment and immunisations  |
| 23.. Newborn babies enrolled via NES – click into NES and view enrolment to check. |  |  |  | Correct if required |
| 24. Baby is Casual or Not enrolled but still on B code (checking for babies who have fallen off register or have signed an enrolment form, but enrolment not completed in NES). |  |  |  | Complete enrolment or action as appropriate |

##

**Appendix 2**

**Practice Enrolment Processes:**

|  |  |  |
| --- | --- | --- |
| **Your practice processes** | **Yes** | **No** |
| 1. You have a documented protocol on enrolment in your practice
 |  |  |
| 1. You have a process and assigned person to undertake the notifications inbox daily regardless of annual leave etc.
 |  |  |
| 1. You have a process if a person is a New Zealander but is not able to provide evidence of this or ID – ie. enrolment is not denied to our most vulnerable and underserved population - contact HHB if you need help or advice with this.
 |  |  |
| 1. Your practice has a system to check enrolment for eligible non-New Zealanders e.g. – work visa expired

If yes what is your system. If you do not have a system, you need to develop one. |  |  |
| 1. Does your practice routinely ask for proof of eligibility from NZers. – can use the data mapping citizenship tab in NES for proof as above
 |  |  |
| 1. Does your practice have a system for tracking requesting and receiving of old notes?
 |  |  |
| 1. If yes to the above what is your practice system:
 |  |  |
| 1. Notes have been received within 10 days of request:
 |  |  |
| 1. The signed enrolment forms are stored in a secure place and are readily retrieved? Are you working towards checking and then scanning hard copies into your PMS.

Is scanning good enough quality to ensure the patient signature and date is legible. |  |  |
| 1. The practice has undertaken the ethnicity tool kit audit.

The practice does not use retired ethnicity codes.  |  |  |
| **Newborn Enrolment**: **Your practice processes** | **Yes**  | **No**  |
| 1. AIR notifications are actioned within 48 hours of the practice receiving them.
 |  |  |
| 1. There is a designated person within the practice to monitor AIR notifications
 |  |  |
| 1. Newborn babies are entered onto the patient management system as soon as birth notification is received.

To avoid duplicates a patient search is completed to check for “baby of, or multiple names” before finding mother and choosing to add new patient.  |  |  |
| 1. Babies are registered “R” and enrolment status is B enrolment
 |  |  |
| 1. Mother /whanau are contacted following registration and enrolment forms sent.
 |  |  |
| 1. Immunisation recalls are on system.
 |  |  |
| 1. Enrolment completed to confirmed enrolment via NES by 12 months old (6 weeks is the expected standard)

There is a signed enrolment form in place when enrolment completed. NB: Birth certificate not required – test eligibility via parentNB: Childhood immunisations are to be claimed free for non-eligible newborns who are casual patients |  |  |
| 1. There is a system to monitor newborn enrolment code
 |  |  |
| 1. What system does the practice use to monitor newborn Enrolments?
 |  |

**Appendix 3**

|  |  |
| --- | --- |
| **References** | **Link** |
| **Updating Patient Ethnicity Information**These documents provide information on what you should do when the ethnicity in your Practice Management System is different from the ethnicity shown on the NHI for an existing patient or when the ethnicity on the enrolment form is different from the ethnicity shown on the NHI for a new patient. | [Primary Care Ethnicity Data Audit Toolkit | Ministry of Health NZ](https://www.health.govt.nz/publications/primary-care-ethnicity-data-audit-toolkit)* [How to Update Patient Ethnicity Information – Guide for MedTech Users (docx, 626 KB)](https://www.tewhatuora.govt.nz/assets/Our-health-system/National-Eligibility-Service/nes_how_to_-_update_ethnicity_on_the_nhi_-_medtech_21july2017_0.docx)
* [How to Update Patient Ethnicity Information – Guide for MyPractice Users (docx, 436 KB)](https://www.tewhatuora.govt.nz/assets/Our-health-system/National-Eligibility-Service/nes_how_to_-_update_ethnicity_on_the_nhi_-_mypractice_17may2017_0.docx)
 |
| Enrolment | Check out [National Enrolment Service – Health New Zealand | Te Whatu Ora](https://www.tewhatuora.govt.nz/for-health-providers/claims-provider-payments-and-entitlements/national-enrolment-service#:~:text=The%20National%20Enrolment%20Service%20(NES)%20has%20been%20developed%20to%20provide) |
| Enrolment Requirements for Contracted Providers | [Enrolment-Requirements-for-Contracted-Providers-and-PHOs-Version-4.1.pdf (tewhatuora.govt.nz)](https://www.tewhatuora.govt.nz/assets/For-the-health-sector/Primary-care/Referenced-documents/Enrolment-Requirements-for-Contracted-Providers-and-PHOs-Version-4.1.pdf) |
| What is the National Enrolment Service | [national-enrolment-service-faq-sept17.docx (live.com)](https://view.officeapps.live.com/op/view.aspx?src=https%3A%2F%2Fwww.tewhatuora.govt.nz%2Fassets%2FOur-health-system%2FNational-Eligibility-Service%2Fnational-enrolment-service-faq-sept17.docx&wdOrigin=BROWSELINK) |
| Identity-NHI User Reference Information & Best Practice Advice | [Information for Health Providers – Health New Zealand | Te Whatu Ora](https://www.tewhatuora.govt.nz/health-services-and-programmes/health-identity/information-for-health-providers#best-practice-guidance-for-health-providers-using-the-nhi) |
| Enrolment & Eligibility presentation by Te Whatu Ora 2024 VideoPDF | [Presentation for Practices 'Enrolment Eligibility & Entitlement' with Justin McCullough-20240703\_030932-Meeting Recording on Vimeo](https://vimeo.com/989200881/06137c4517?ts=0&share=copy)[Eligibility and Entitlement Presentation by Health New Zealand - Health Hawke's Bay](https://healthhb.co.nz/support/eligibility-and-entitlement-presentation-by-health-new-zealand/) |
| NHI – Health identity training for anyone using NHI’s | <https://learnonline.health.nz/login/index.php> |
| Guide to eligibility for publicly funded health services. | [Guide to eligibility for public health services – Health New Zealand | Te Whatu Ora](https://www.tewhatuora.govt.nz/corporate-information/our-health-system/eligibility-for-publicly-funded-health-services/guide-to-eligibility-for-public-health-services)  |
| Resources for service providers to check eligibility: | [Resources for service providers to check eligibility – Health New Zealand | Te Whatu Ora](https://www.tewhatuora.govt.nz/corporate-information/our-health-system/eligibility-for-publicly-funded-health-services/resources-for-service-providers-to-check-eligibility) |

## **Appendix 4**

**Individual Patient enrolment audit checklist**

**NHI:** **Date audited:** **PMS initials of auditor:**

**Enrolment ended: Yes No**

| **Enrolment form Requirements** | **Yes** | **No** | **Not sure or N/A** |
| --- | --- | --- | --- |
| 1. Enrolment form is stored securely and easily accessible for audit – check that you can find it.
 |  |  |  |
| 1. Person has own enrolment form
 |  |  |  |
| 1. The enrolment form contains entitlement and eligibility and PHO enrolment
 |  |  |  |
| 1. The scanned enrolment form is completed and legible
 |  |  |  |
| 1. ID is scanned or noted in the PMS
 |  |  |  |
| 1. Proof of eligibility are scanned into the PMS or confirmed via NES
 |  |  |  |
| Mandatory fields completed in PMS and match enrolment form |  |
| 1. Correct names
* date, place and country of birth.
* gender
* usual residential address
* Residential address not postal address and is geo coded
 |  |  |  |
| 1. Ethnicities correct on form and NES and PMS
 |  |  |  |
| 1. Eligibility entered correctly on the PMS e.g., New Zealand, eligible non-NZ, non-NZ?
 |  |  |  |
| 1. Children of visa holders when turning 18, are unenrolled unless they have obtained their own eligibility documentation.
 |  |  |  |
| 1. Enrolment form is signed and dated by the correct person
 |  |  |  |
| 1. Person has had access to the Health Information Privacy Statement
 |  |  |  |
| 1. Where applicable (e.g. children under 16) enrolment form has been signed by delegated authority and delegation recorded.
 |  |  |  |
| Mandatory fields completed in PMS and match enrolment form  |  |
| 1. Date on Enrolment Form and date of Enrolment in the NES are within a reasonable timeframe AND in the same month
 |  |  |  |
| 1. Person is recorded as registered, and enrolled and enrolled through NES
 |  |  |  |
| 1. The NHI is recorded and has been validated? NHI should be blue
 |  |  |  |
| 1. If the person is an eligible non-NZ check the visa date & this is recorded in the PMS
 |  |  |  |
| 1. Person is not in prison or in the armed forces, living overseas, informed of non-eligibility or entitlement from another source or audit e.g. Immigration or Deceased
 |  |  |  |
| 1. Last qualifying encounter (QED) confirmed within last 3 years
 |  |  |  |
| 1. Community Service Card is up to date and expiry date correct.
 |  |  |  |
| 1. High User card is up to date and expiry date correct.
 |  |  |  |
| B Code – Newborn enrolment only: |
| 22. Babies are registered “R” and enrolment status is B enrolment |  |  |  |
| 23. Newborn babies enrolled via NES – click into NES and view enrolment to check |  |  |  |
| 24. Baby is Casual or Not enrolled but still on B code (checking for babies who have fallen off register or have signed an enrolment form, but enrolment not completed in NES)  |  |  |  |