

CATALAN HEALTH SERVICE PROVISION OF THE KIDNEY FAILURE CARE OUTPATIENT SERVICE 2022

Report 20/2024

PROVISION OF THE KIDNEY FAILURE CARE OUTPATIENT SERVICE

AUDIT DESIGN

- Reason
- Scope
- Audit planning and criteria
- Theory of change
- Audit objectives
- Incorporation of stakeholders

REPORT CONTENTS

- Conclusions
- Recommendations
- Subsequent events

COMMUNICATION

- Communicative elements
- Impact of the report in the press

ISSAI 100, Fundamental Principles of Public-Sector Auditing
ISSAI 300, Fundamental Principles of Performance Auditing

AUDIT DESIGN: REASON

- Renal replacement therapy is for life, it has important consequences for the patient's **quality of life** and has a high cost.
- There are different **systems for providing the service**, with different agents involved, the election of which may result in differences in the cost and quality of the service.
- CatSalut provides the outpatient dialysis service through **public procurement**. It is necessary for this procurement **to be subject to the general principles** of freedom of access to tenders, transparency, non-discrimination and equal treatment between bidders.

AUDIT DESIGN: SCOPE



Type of audit

- **Performance** audit with an evaluative approach



Scope of the audit

- Audit **the efficiency, efficacy and economy** of the management carried out by the Catalan Health Service in the provision of the kidney failure care **outpatient service**
- Some typical objectives of the **evaluation** of public policies and programmes have been incorporated: evaluation of the **governance** tools, internal and external **coherence** of the public intervention and the **relevance** and **equity**



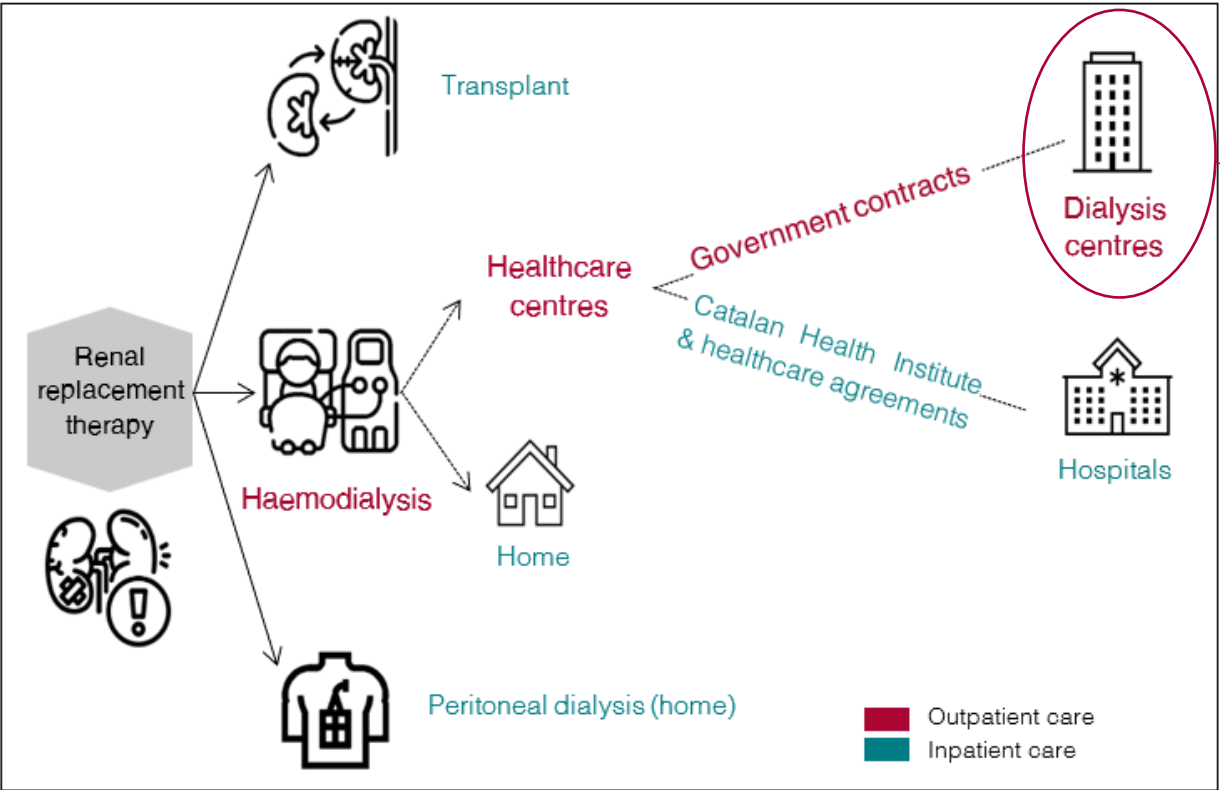
Subjective scope

- Catalan Health Service
- Temporal scope. The analysis of specific data corresponds to 2022, but other aspects have a broader scope

AUDIT DESIGN: SCOPE

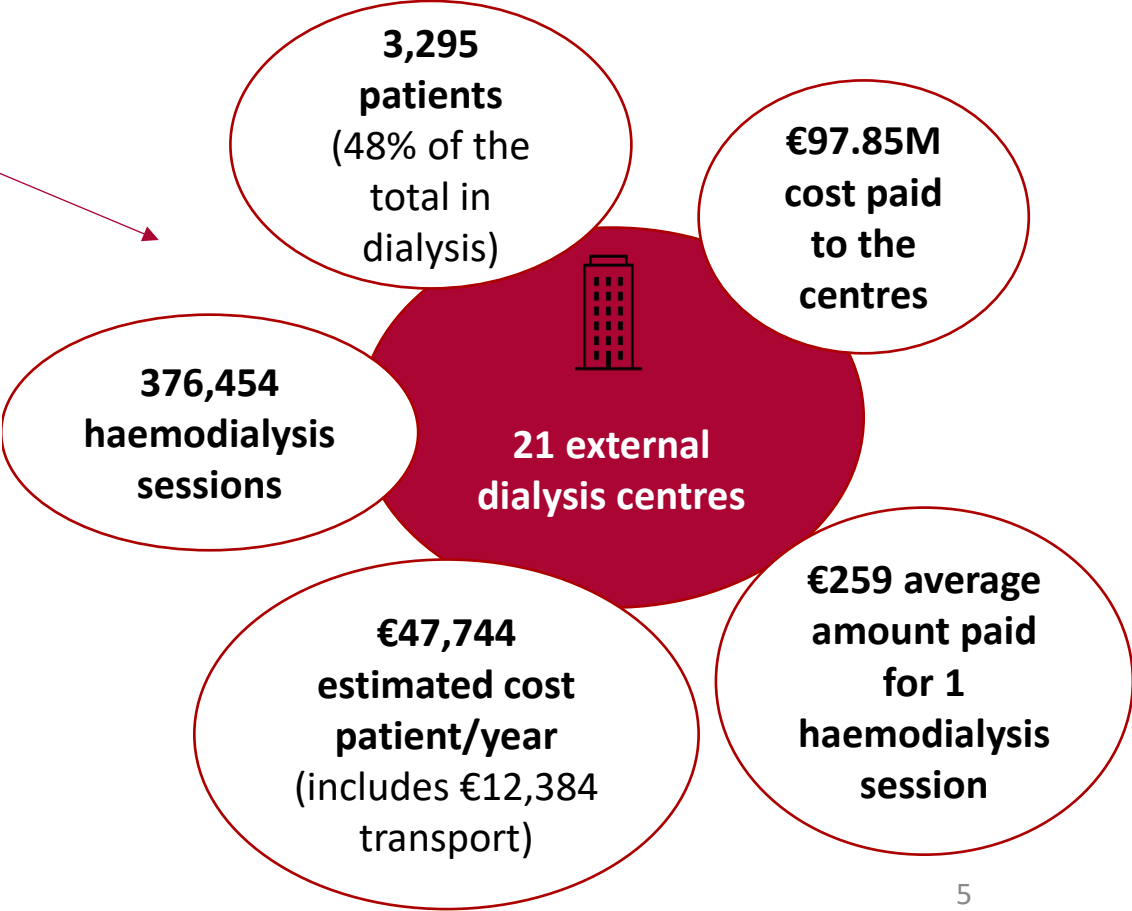
Renal replacement therapy

Figure 1. Renal replacement therapies



Source: Compiled by author.

External haemodialysis, 2022



AUDIT DESIGN: SCOPE

Opportunity of
the Report

- The audit objective is situated within the framework of **public service management contracts formalised in 2014 and extended annually until 2022**. The Catalan Health Service justified the need to outsource part of the haemodialysis service, which began to be carried out in authorised dialysis centres managed by contractors.
- The Sindicatura **does not question nor has an opinion** on the political decision to outsource part of the dialysis service, which has not been subject to audit.
- In 2014, CatSalut issued a call for tenders and awarded, through 2 negotiated procedures, the management of the outpatient haemodialysis service with an estimated contract value of **€1,165.77M VAT free**, for a maximum period of **10 years**.



- Formalisation of the services management contract of the outpatient activity: 1 April 2014
- Duration: 1 year + 9 annual extensions (maximum 10 years)
- End of the contract: 1 April 2024

AUDIT DESIGN: PLANNING

INTERNAL REORGANISATION STRATEGY

- Multidisciplinary **teams**
- Work **procedures**: Statistics/risk analysis, Memorandums, Matrixes, Executive summary
- Analysis of the characteristics of the **information** (availability, integrity, authenticity, confidentiality, traceability)
- Access to **primary data**

KEY ASPECTS

- **Control** environment: Cybersecurity and Information Systems
- Continuous **review**
- **Governance**: involvement of the stakeholders
- Audit **criteria**
- **Holistic** vision of the intervention

EXPECTATIONS

- Suitable and relevant **methods**: solid and reliable results
- **Results** of the public intervention
- Culture of **learning** and public **responsibility**
- **Improvement** in the management: optimisation of resources
- Dissemination and **transparency**
- Close, efficient and quality public care for **citizens**

AUDIT DESIGN: AUDIT CRITERIA

When undertaking an evaluation, all six criteria should be considered initially. However, evaluations must carefully select which criteria to focus upon, dependent upon several factors including the objectives and limitations of the evaluation and the context of the intervention.



APPLYING EVALUATION CRITERIA THOUGHTFULLY © OECD 2021

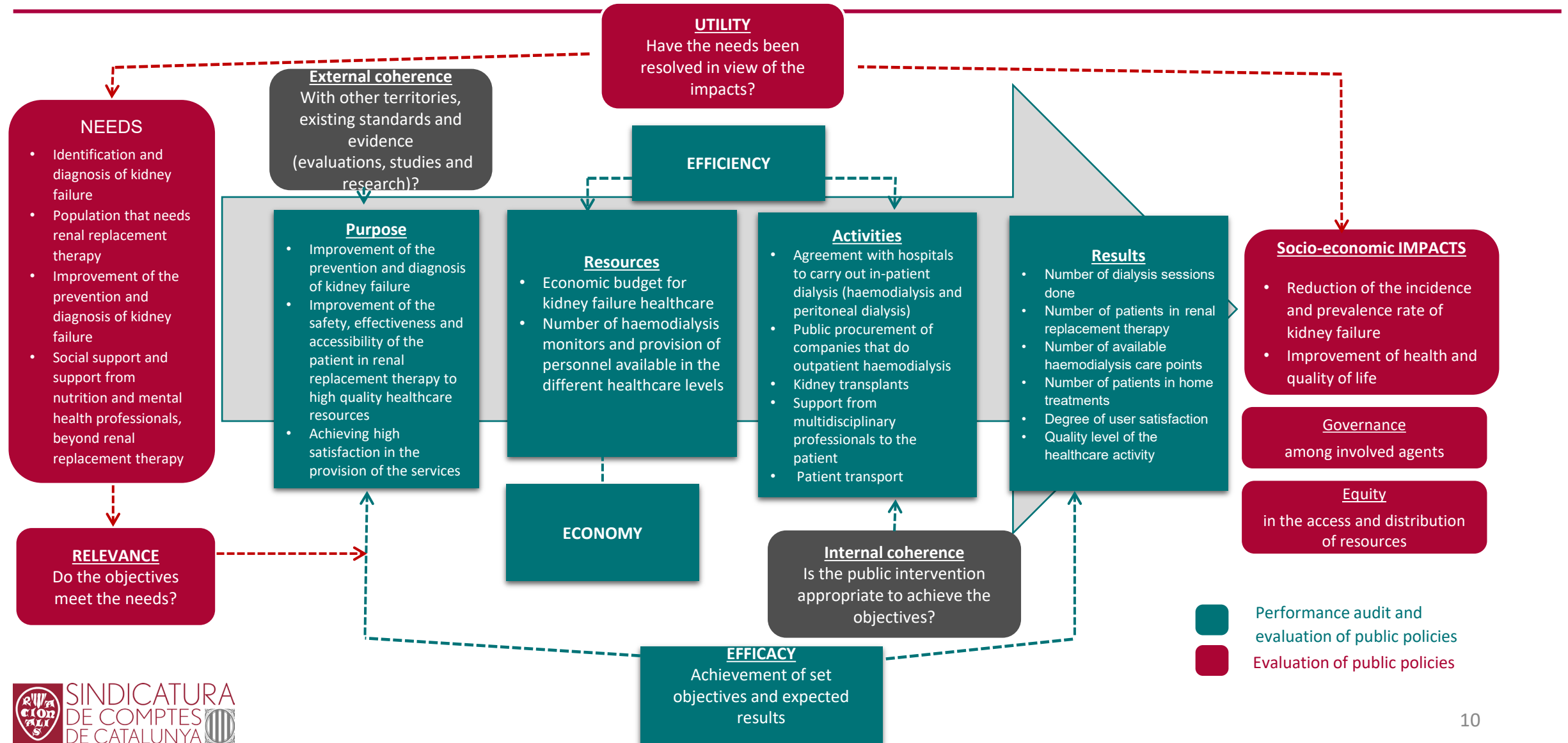
- ✓ **Standards/Principles**
- ✓ ***Interdependence?***
- ✓ **Initial** consideration
- ✓ Basis for **evaluative judgements**
- ✓ **Purpose. Priorities. Scope. Context**
- ✓ **Useful** and **quality** evaluation
- ✓ **Standardisation, comparison and learning**

EVALUATION QUESTIONS

AUDIT DESIGN: PLANNING MATRIX

PLANNING MATRIX - QUESTIONS		
Audit SUBJECT	<i>Provision of kidney failure care outpatient services by CatSalut, 2022</i>	
Audit OBJECTIVE	Evaluate the efficiency, efficacy and economy in the management by CatSalut of kidney failure care outpatient services	
Question (b)	Subquestion (b)	Criteria (c)
1. Has the Government created a public healthcare policy that coherently meets the previously identified needs?	1.1 Has the Government designed the strategy around identified needs?	<ul style="list-style-type: none"> > Government plan > Current Health Plan > Strategic Plan > RDL 3/2011 Consolidated Text of the Law on Public Sector Contracts, Law on Public Finances of Catalonia (chapter: Evaluation of Public Policies) > Relevance of the policy
	1.2 Do the legal framework and policies cover the needs of groups identified as vulnerable with regard to the objective of kidney failure care outpatient services?	<ul style="list-style-type: none"> > RDL 3/2011 Consolidated Text of the Law on Public Sector Contracts > Current Health Plan > SDG Agenda 2030 > Specific administrative tender conditions - Annex 1 > National and international experience (studies, audit reports of other external control bodies (OCEX), etc.) > Regulations that define the portfolio of services that includes the outpatient haemodialysis service > Regulations that define the portfolio of services that includes the home haemodialysis service > Strategic Plan
	1.3 Has the Government informed and involved the stakeholders in the processes to plan, implement and supervise kidney failure care outpatient services?	<ul style="list-style-type: none"> > Law on Transparency 19/2014 (groups of interest) > National/international experiences
	1.4 Is the current public health policy for the provision of the service aligned with the Sustainable Development Goals?	<ul style="list-style-type: none"> > Sustainable Development Goals - Agenda 2030: <ul style="list-style-type: none"> 3) Good health and well-being, 5) Gender equality, 8) Decent work and economic growth, 10) Reduced inequalities, 11) Sustainable cities and communities > National/international experiences

AUDIT DESIGN: THEORY OF CHANGE



AUDIT DESIGN: AUDIT OBJECTIVES

OBJECTIVES

- 1** Has the Government created a public healthcare policy for kidney disease patients that meets the previously identified needs?
- 2** Is the procurement of outpatient services suitable to meet health and social needs?
- 3** Have the most suitable provisions in quantity and quality been acquired? and Has the coordination of healthcare resources been coherent and efficient?
- 4** To what extent is there a control system that guarantees performance of the contract and quality of the service?

SCOPE

Planning and objectives

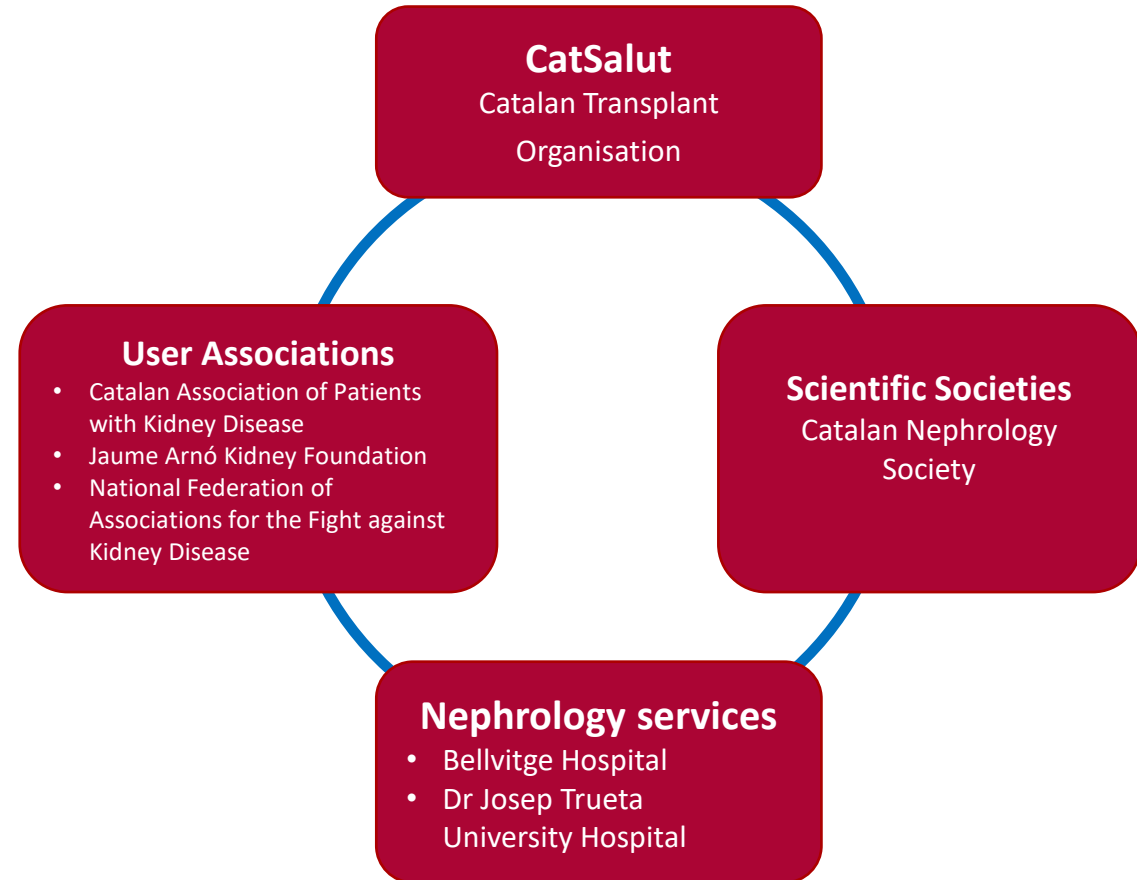
Procurement of provision

Suitability of the provisions in quantity, quality and cost

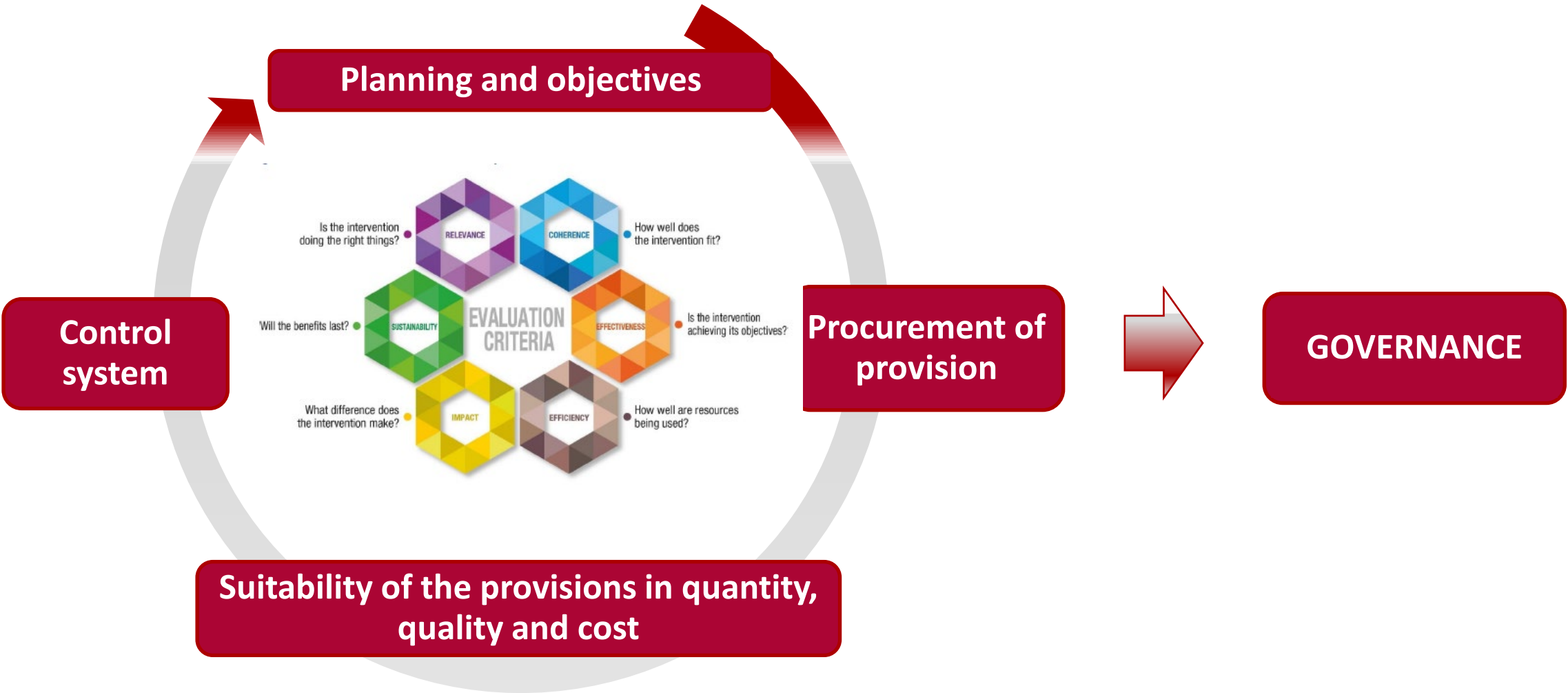
Control system

AUDIT DESIGN: INCORPORATION of STAKEHOLDERS

- ✓ The following has been combined to obtain the audit results: documentary, analytical, physical and testimonial evidence, the latter through **interviews** with stakeholders (technical and legal experts, audited entities and other stakeholders).
- ✓ In this report, the **preliminary conclusions and recommendations** have been verified and shared with the managers of the audited entity and with the stakeholders, before definitive approval of the report.



AUDIT DESIGN: HOLISTIC VISION











AUDIT DESIGN: AUDIT CRITERIA - RESULTS

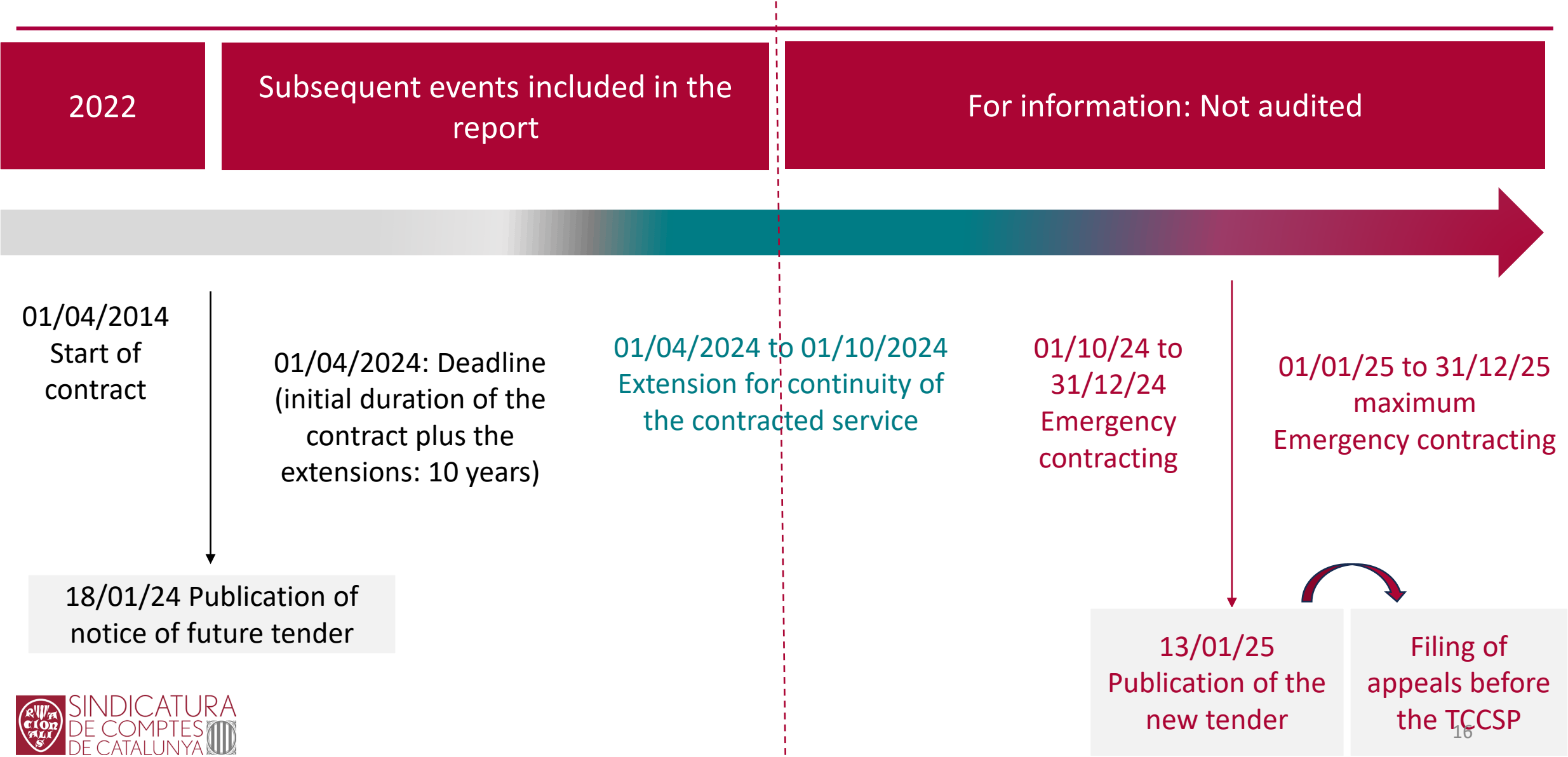
Criterion	Result
RELEVANCE	<ul style="list-style-type: none"> The current Strategic Plan is deemed <i>obsolete</i>. The volume of the contracted activity does not vary depending on the <i>needs</i>. In 10 centres, the billed amount exceeds that contracted.
EFFICACY	<ul style="list-style-type: none"> The <i>objectives</i> set out in the Strategic Plan were not met. User <i>satisfaction</i> has not been evaluated. In particular, dissatisfaction with the medical transport. There are areas for improvement in the <i>identification, recording and prevention</i> of chronic kidney disease.
EFFICIENCY	<ul style="list-style-type: none"> The report on <i>needs</i> for the <i>procurement</i> was not sufficiently justified and there are facts that could constitute evidence of <i>collusive behaviour</i>.
ECONOMY	<ul style="list-style-type: none"> The cost of providing the service is not supported with <i>cost studies</i> that justify the tariffs. There is no robust <i>billing validation</i> system. There are potential duplications. <i>Signing</i> of the annual clauses that regulate the service provision should not be late.
COHERENCE (internal and external)	<ul style="list-style-type: none"> The <i>definition</i> and functions of the healthcare levels that form the map of resources do not correspond with the distribution and real functioning of some centres. Although home techniques have been recommended by different organisms for years, peritoneal dialysis is being <i>underused</i>.
EQUITY	<ul style="list-style-type: none"> <i>Patients' access</i> to professionals (nutritionists, psychologists) depends on the centre where the patient is seen, or on their ability to search. A <i>significant territorial variation</i> and a clear <i>socio-economic component</i> has been observed in access to home treatments.

REPORT CONTENTS: RECOMMENDATIONS

For improvement of the efficiency, efficacy and economy of the management by the Catalan Health Service of the provision of the kidney failure care outpatient service.

-  **Planning** of resources
-  Patients in a situation of **social vulnerability** (definition of reference and identification)
-  Participation of the **stakeholders**
-  **Procurement** of the service (promoting competition)
-  **Cost** of providing the service (estimate the cost of providing the different dialysis services and update tariffs to facilitate hospitals to offer home techniques)
-  Human and technological **resources**
-  **Quality** of the outpatient haemodialysis service
-  Monitoring and **control** of the activity

REPORT CONTENTS: SUBSEQUENT EVENTS



REPORT CONTENTS: SUBSEQUENT EVENTS - NEW TENDER

Haemodialysis session price: 220.12 euros

Award procedure: open

Duration of the contract: 5 years

In-person availability of psychologists, nutritionists and physiotherapists

User satisfaction: indicator of quality in provision of the service

Medical transport: incidents and coordination

Service provision control: monitoring committees

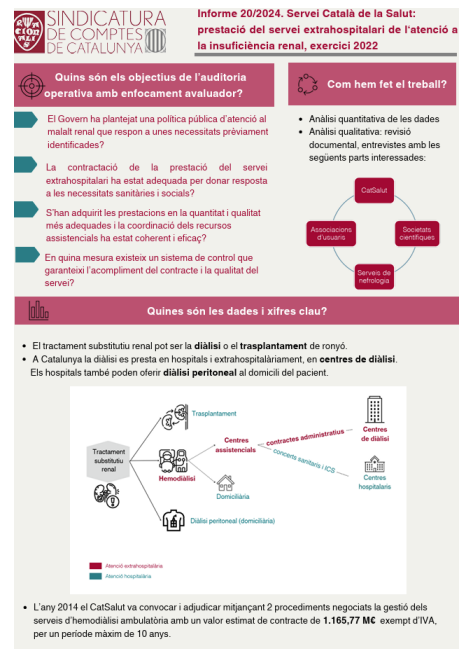
COMMUNICATION – COMMUNICATIVE ELEMENTS

Website

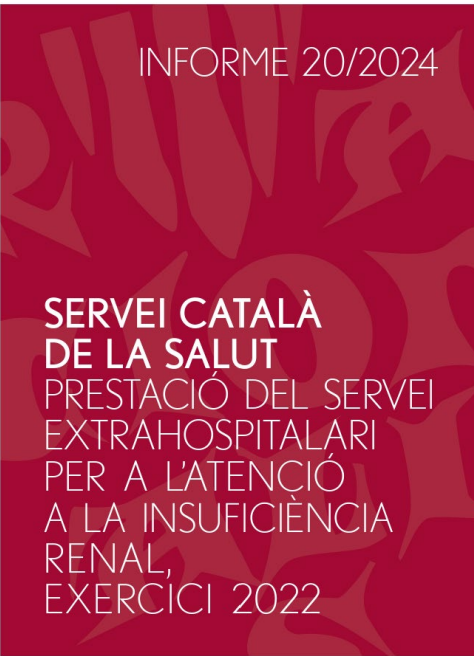


- Report and 2-minute report
- Press release

Infograph



Leaflet



Video and presentation in Parliament



COMMUNICATION - IMPACT IN THE PRESS

POLÍTICA Y NORMATIVA | Informe

La Sindicatura de Cuentas ve infrautilizada la diálisis domiciliada en la externalización del servicio del CatSalut

En 2022 el CatSalut pagó 98 millones de euros extrahospitalario, para 3.295 pacientes, con un coste de 29.700 euros anuales por paciente.

La Sindicatura de Comptes de Catalunya denuncia problemas en la planificación del servicio de diálisis contra CatSalut

La Sindicatura de Comptes de Catalunya denuncia "irregularidades" en la externalización del servicio de diálisis



Sanidad pública en Catalunya



La Sindicatura de Cuentas de Cataluña denuncia problemas de gobernanza y control al CatSalut

Miércoles, 18 Diciembre, 2024 | Estatuarios y funcionarios | Laborales

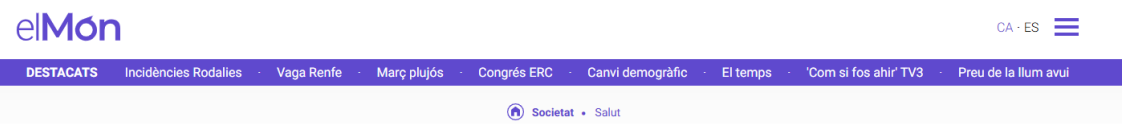
auditoría operativa

EN 13/01/2025 / POR ANTONIO ARIAS RODRIGUEZ / EN AUDITORÍA, SANIDAD



Los informes de auditoría operativa son complejos por naturaleza. Decíamos hace 13 años -en Catalunya precisamente- que frente a los métodos "estándar" de la auditoría de cumplimiento, cada auditoría operativa es distinta e incorpora una mayor libertad de criterio para el auditor. El reto del folio en blanco que nos recordaba Eduardo Ruiz en el fantástico CCIL'21. Por cierto, que el CCIL'25 ya está asignado a Córdoba (16 y 17 de octubre de 2025) y promete ser una de las grandes reuniones del año.

Hoy traemos a la comunidad fiscalizadora el informe 20/2024 de la Sindicatura de Cuentas de Catalunya, relativo al Servicio Catalán de la Salud: prestación del servicio extrahospitalario para la atención a la insuficiencia renal, ejercicio 2022.



La Sindicatura de Comptes carrega contra el desgavell del servei públic de diàlisi

Continent inform sobre els costos i l'eficàcia del servei



liderazgo "escaso" en la promoción de los tratamientos domiciliarios

me

Cuentas ve infrautilizada la diálisis en la externalización del servicio de CatSalut

98 millones de euros por el servicio de diálisis extrahospitalario, para 3.295 pacientes, con un coste estimado de 48.000 euros anuales por paciente.

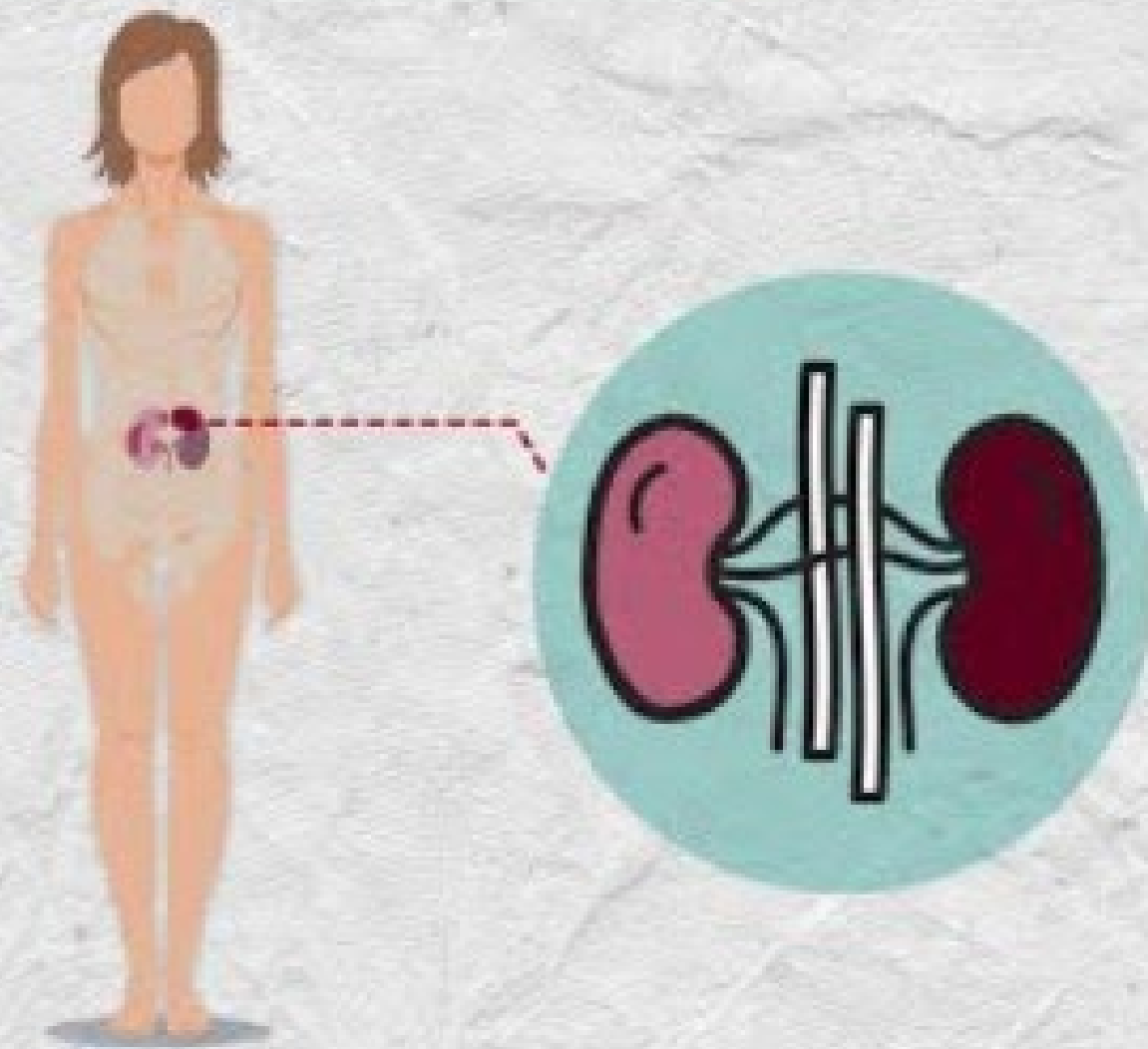
catan a la planificación y eficiencia de la externalización.

enfermedad renal crónica, acceso vascular de diálisis y el control y los descritos en el extrahospitalario de la enfermedad y eficiencia".

Insuficiència renal crònica avançada

Tractament de per **vida**

Alt impacte en la **qualitat de vida**



www.sindicatura.cat