Long-Term Care Homes
Quality Inspection Program (LQIP)

LQIP Up-date
Analytics – 2014 RQIs

Family Councils of Ontario
June 18, 2015

Karen Simpson & Mary Nestor | Senior Managers
Performance Improvement and Compliance Branch
Health System Accountability and Performance Division
Ministry of Health and Long-Term Care

Today’s Agenda

1. Introduction

2. General LQIP Program Up-dates

3. RQI Analytics ~ What the analysis is showing us

4. Post-RQI Surveys ~ Feedback from LTC Homes, Residents’ Councils and Family Councils
**Quality in Long Term Care: The Foundation**

*Long-Term Care Homes Act, 2007*

~ Resident-centered Care ~ Public Accountability ~ Preserving and Promoting Quality

- Reporting of Quality of Care Indicators (HQO)
- Public reporting of quality indicators and posting of QIPs
- Inspection reports posted and shared with Residents’ and Family Councils

**Excellent Care for All Act, 2010**

~ patient-centered care ~ accountable ~ safe ~ equitable ~

---

**Refresh…Goals of Compliance Transformation**

*Key objectives*

- **Alignment** with the new *Long-Term Care Homes Act, 2007* (LTCHA) legislation and regulations.
- Ensure that residents in LTC homes continue to **be protected** and cared for, and their **dignity and rights respected**.
- **Assure the public** that our first priority is the care and safety of residents.
- Build a new **evidence-based** and **resident-centred** inspection process.
- **Focus** on residents’ **quality of care** and **quality of life**.
- Improve **objectivity** and **consistency** through a structured information gathering process.
LTC Homes Quality Inspection Program (LQIP)

Long-Term Care Homes Act, 2007
Residents’ Bill of Rights

System advocates ~ Public spotlight ~ Investigations (OO + OAGO)

Safeguards residents’ rights, safety, and quality of care by conducting inspections & inquiries to ensure Licensee compliance with LTCHA and Regulation.

Complaint Inspections
• Responds to information submitted by LTCs
• Mandatory reports and reportable incidents as per LTCHA

Critical Incident Inspections
• Cornerstone methodology – all types aligned.
• Researched & tested; Resident-focused; aligned with LTCHA.

Resident Quality Inspections (RQI)
• 2-stage inspection:
  • Requires a team of certified/trained inspectors
  • Requires inspectors with clinical assessment training

Follow-up Inspections
• Occurs when Compliance Orders are issued.
• Inspection conducted after compliance date expires to ensure non-compliance is corrected

General Program Up-dates
Program Overview

June 10, 2013
Announcement by Hon. Deb Matthews, Minister of Health and Long-Term Care that every long-term care home would receive an RQI by December 2014 and annually thereafter, and that up to 100 new inspectors would be hired.

Inspector training
- Extensive training developed for existing and new inspectors
- Including:
  - Inspecting for complaints, critical incidents and follow-ups;
  - Resident Quality Inspections (RQI)⇒ inspectors trained and “adhered” (certified) in RQI

Inspection Protocols – developed and regularly updated
- posted on ltchomes.net ⇒ Latest version: September 2014
- French translation completed

Inspectors’ Handbook
- policies and procedures, reference and support manual for inspectors
- ensures inspection process integrity and standardization
- regularly updated

Performance Improvement and Compliance Branch
Health System Accountability and Performance Division

Program Overview

- Inspection data reporting
- Extensive I.T. systems development & implementation
  - supports inspection process
  - critical to RQIs (abaqis and IQS)
  - instrumental in data collection and reporting
- Centralized Intake, Assessment and Triage Team (CIATT)
  - implemented Fall 2012
  - provides consistency and standardization for the intake function
  - hired 7 Intake, Assessment and Triage Inspectors to support the intake function

Performance Improvement and Compliance Branch
Health System Accountability and Performance Division
Program Overview: Public Inspection Reports

- **Publishing of Inspection Reports** [LTCHA s. 173]
  - via MOHLTC public website
  - narrative/explanatory portion up-dated
  - changes to naming convention implemented in Fall 2014
  - public reports are now “searchable” when uploaded to the MOHLTC public website as a Pdf document

- **NEW!** When Reports are sent to each LTC home, they are now specifically addressed to:
  - Administrator
  - Residents’ Council President
  - Family Council President

Program Overview: LQIP Staffing Up-date

- Immediately following June 2013 announcement, action taken to hire, on-board, orient and train up to 100 new LTC home inspectors.
- Fall 2014 – approvals received to recruit permanent inspectors.
- Currently over 170 inspectors on staff.
- Inspectors: Nursing (RNs), Dietary (RDs), Physiotherapy (Reg. Physiotherapists), and Environmental Health (certified Public Health Inspectors).
Provincial Inspection Count: January 1 – May 31, 2015

<table>
<thead>
<tr>
<th>Inspection Type</th>
<th># of Inspections: Jan 1, 2015 – May 31, 2015</th>
</tr>
</thead>
<tbody>
<tr>
<td>Complaint</td>
<td>331</td>
</tr>
<tr>
<td>Critical Incident</td>
<td>294</td>
</tr>
<tr>
<td>Follow-up</td>
<td>146</td>
</tr>
<tr>
<td>Other *</td>
<td>7</td>
</tr>
<tr>
<td>RQI **</td>
<td>214</td>
</tr>
<tr>
<td>Total</td>
<td>992</td>
</tr>
</tbody>
</table>

* Other inspections include: SAO-Initiated inspections, Post-occupancy, Special Inspection, etc.
** RQIs are counted based on RQI Last Onsite Date

What the analysis is showing us…

2014 RQIs: June 2013 to January 2015

Home size & frequency of inspections
Average # of non-compliances: RQIs vs Other Inspections
Top 10s Issued @ RQIs: WNs & Compliance Orders
Top Non-Compliances Likely Identified @ RQIs vs. Other Inspection Types
Completion of the 2014 RQIs has provided an unprecedented opportunity to collect baseline data about levels of compliance of LTC homes relative to their overall operations.

Robust I.T. systems (ex. IQS) have enabled access to and analysis of inspection data.

Analytics on 2014 RQI results have been conducted.

Significant interest and anticipation by LTC Home operators and stakeholders to hear results, discuss implications and next steps.

**Provincial Inspections: June 1, 2013 – January 31, 2015**

<table>
<thead>
<tr>
<th>Inspection Type</th>
<th># of Inspections: Jun 1, 2013 - Jan 31, 2015</th>
</tr>
</thead>
<tbody>
<tr>
<td>Complaint</td>
<td>1,697</td>
</tr>
<tr>
<td>Critical Incident</td>
<td>1,543</td>
</tr>
<tr>
<td>Follow-up</td>
<td>477</td>
</tr>
<tr>
<td>Other *</td>
<td>103</td>
</tr>
<tr>
<td>RQI **</td>
<td>629</td>
</tr>
<tr>
<td>Total</td>
<td>4,449</td>
</tr>
</tbody>
</table>

* Other inspections include: SAO-Initiated inspections, Post-occupancy, Special Inspection, etc.
** Number of RQI inspections conducted under the RQI Acceleration Project (i.e. between June 13/13 and January 31/15)
RQI inspection results – general comments

1. Home Size and Frequency of Inspections & Non-compliances:

   - Very little correlation between the size of the LTCH and the total number of inspections of any type.
   - Almost no correlation between size of the LTCH and the total number of non-compliances.

   ✤ Conclusion: size really doesn’t matter

2. #s of Non-compliances Identified through RQIs vs. Other Inspection Types:

<table>
<thead>
<tr>
<th>Type of Non-Compliance</th>
<th>Average # @ RQI</th>
<th>Average # @ Complaint</th>
<th>Average # @ Critical Incident</th>
</tr>
</thead>
<tbody>
<tr>
<td>Written Notification</td>
<td>12</td>
<td>4</td>
<td>2.5</td>
</tr>
<tr>
<td>Compliance Order</td>
<td>2</td>
<td>.75</td>
<td>.5</td>
</tr>
</tbody>
</table>

✤ Conclusion: an average RQI probes a home’s compliance standing 3 times more thoroughly than a Complaint Inspection and 5 times more thoroughly than a Critical Incident Inspection

RQI Analytics: All Non-Compliance (Written Notifications)

<table>
<thead>
<tr>
<th>Rank</th>
<th>Description</th>
<th>% of LTCHs in which issued (629 LTCHs)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Plan of Care</td>
<td>81%</td>
</tr>
<tr>
<td>2</td>
<td>Infection Prevention and Control Program</td>
<td>67%</td>
</tr>
<tr>
<td>3</td>
<td>Policies  in compliance with the LTCHA Policies  home to comply with own policies</td>
<td>55%</td>
</tr>
<tr>
<td>4</td>
<td>Accommodation Services  cleanliness and repairs of home, furnishings &amp; equipment</td>
<td>52%</td>
</tr>
<tr>
<td>5</td>
<td>Residents' Bill of Rights</td>
<td>48%</td>
</tr>
<tr>
<td>6</td>
<td>Dining and Snack Service</td>
<td>39%</td>
</tr>
<tr>
<td>7</td>
<td>Safe Storage of Drugs</td>
<td>37%</td>
</tr>
<tr>
<td>8</td>
<td>Communication and Response System</td>
<td>35%</td>
</tr>
<tr>
<td>9</td>
<td>Skin and Wound Care (required programs)</td>
<td>33%</td>
</tr>
<tr>
<td>10</td>
<td>Resident and Family Satisfaction Survey</td>
<td>33%</td>
</tr>
</tbody>
</table>

Legend: Yellow highlighted text indicates LTCH operational system/infrastructure issues
# RQI Analytics: Compliance Orders

## Top 10 Issued @ RQIs: Compliance Orders


<table>
<thead>
<tr>
<th>Rank</th>
<th>Description</th>
<th>% of LTCHs in which issued (629 LTCHs)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Safety issues related to use of bed rails</td>
<td>9%</td>
</tr>
<tr>
<td>2</td>
<td>Generator availability and capacity</td>
<td>5%</td>
</tr>
<tr>
<td>3</td>
<td>Doors in a home ~ requirements</td>
<td>4%</td>
</tr>
<tr>
<td>4</td>
<td>Communication and Response System</td>
<td>4%</td>
</tr>
<tr>
<td>5</td>
<td>Residents’ Bill of Rights</td>
<td>4%</td>
</tr>
<tr>
<td>6</td>
<td>Plan of Care ~ care provided according to the plan of care</td>
<td>4%</td>
</tr>
<tr>
<td>7</td>
<td>Accommodation Services ~ cleanliness and repairs of home, furnishings &amp; equipment</td>
<td>4%</td>
</tr>
<tr>
<td>8</td>
<td>Policies ~ in compliance with the LTCHA Policies ~ home to comply with own policies</td>
<td>4%</td>
</tr>
<tr>
<td>9</td>
<td>Plan of Care ~ ensure a written plan of care for each resident</td>
<td>3%</td>
</tr>
<tr>
<td>10</td>
<td>Dining and Snack Service</td>
<td>3%</td>
</tr>
</tbody>
</table>

**Legend:** Yellow highlighted text indicates LTCH operational system/infrastructure issues

---

### Non-Compliances captured through an RQI vs. Other Inspection Types

#### Are there areas of a home’s operations where an RQI is more likely to find non-compliance and where other inspection types typically do not?

- Infection Prevention and Control Program
- Accommodation Services
- Policies to be followed
- Dining and Snack Service
- Safe Storage of Drugs
- Plan of Care
- Residents’ Bill of Rights
- Communication and Response System
- Resident and Family Satisfaction Survey
- Skin and Wound Care

#### Are there areas of a home’s operations where an inspection type other than an RQI is more likely to find non-compliance?

- Reporting certain matters to the Director
- Reports re Critical Incidents
- Policy to promote zero tolerance of abuse
- Duty to protect
- Administration of drugs
- Responsive behaviours
- Dealing with complaints
- Training of staff

---

Performance Improvement and Compliance Branch
Health System Accountability and Performance Division
Lessons Learned

LTC Homes had better results at second RQI.

Familiarity with RQI process by staff, residents and families seems to yield better results.

Everyone at the LTCHs must be “invested” in the RQI process.

Preparation is key:
• be familiar with Inspection Protocols (IPs)
• incorporate IPs and other inspection tools into quality management processes within the LTC Home.

Post-RQI Surveys ~ Feedback

LTC Homes
Residents’ Councils
Family Councils
Post-RQI Surveys ~ Feedback from LTC Homes

A Few Basic Statistics

- 404 Surveys received for 2014 RQIs (survey closed on February 27th, 2015)
- Significant volume of narrative comments, observations, recommendations

> we have expressed our appreciation to LTC sector for taking the time to complete the surveys and put thought into comments

- full range of responses, reactions, observations
- some very thoughtful, constructive recommendations
- We have completed a review:
  - More detailed data review is underway
  - Plan to incorporate relevant aspects via CQI process.

General Questions

<table>
<thead>
<tr>
<th>Question</th>
<th>Strongly Agree / Agree</th>
</tr>
</thead>
<tbody>
<tr>
<td>The Provincial Webinars and materials provided by the Ministry prepared us well for the RQI Process.</td>
<td>64%</td>
</tr>
<tr>
<td>There was sufficient time during the inspection allotted for questions and/or clarification.</td>
<td>64%</td>
</tr>
<tr>
<td>The length of the Stage 1 staff interviews was appropriate, not too long and not too short.</td>
<td>63%</td>
</tr>
<tr>
<td>The Stage 1 staff interview questions were easy to understand.</td>
<td>64%</td>
</tr>
<tr>
<td>The inspector(s) acted professionally and respectfully while conducting interviews and interacting with staff.</td>
<td>75%</td>
</tr>
<tr>
<td>Where non-compliance was cited, the inspector provided supporting evidence with clear explanation.</td>
<td>70%</td>
</tr>
<tr>
<td>The inspector(s) provided clear responses to any questions that we had.</td>
<td>63%</td>
</tr>
<tr>
<td>The inspection process was transparent and objective.</td>
<td>63%</td>
</tr>
<tr>
<td>Overall, we would rate our RQI experience as being a positive experience.</td>
<td>59%</td>
</tr>
</tbody>
</table>

Themes in Comments / Observations

- Length of time for inspection
- Stress levels on home in general, staff and residents
- Inspection focus seems to be on negative outcomes, non-compliances and finding fault
- Attitude / experience / demeanor of inspectors
- Communication at time of inspection
- Strict inspection role vs previous advisory role of inspectors
- Length of time to receipt of Inspection Report
- Consistency of approach and process between inspectors and amongst offices
- Planned frequency of RQIs – recommendations for risk-based approach
Post-RQI Surveys ~ Feedback from Residents’ Councils & Family Councils

A Few Basic Statistics

For RQIs conducted in 2014:
- Paper surveys were distributed to Residents’ Council and Family Council representatives interviewed as part of the RQI with an envelope included to return by mail.

<table>
<thead>
<tr>
<th># Responses Received</th>
</tr>
</thead>
<tbody>
<tr>
<td>Residents’ Council</td>
</tr>
<tr>
<td>195</td>
</tr>
</tbody>
</table>

General Questions

<table>
<thead>
<tr>
<th>Question</th>
<th>Residents’ Council</th>
<th>Family Council</th>
</tr>
</thead>
<tbody>
<tr>
<td>The interview was conducted in an appropriate manner, i.e. in a private and quiet room, free from distraction and noise, sitting down and interacting at eye level.</td>
<td>95%</td>
<td>83%</td>
</tr>
<tr>
<td>There was sufficient time allotted for questions and/or clarification.</td>
<td>95%</td>
<td>95%</td>
</tr>
<tr>
<td>The length of the interview was appropriate, not too long and not too short.</td>
<td>95%</td>
<td>96%</td>
</tr>
<tr>
<td>The interview questions were easy to understand and meaningful to me.</td>
<td>89%</td>
<td>86%</td>
</tr>
<tr>
<td>The inspector was well prepared and organized.</td>
<td>97%</td>
<td>97%</td>
</tr>
<tr>
<td>The inspector responded well to questions and provided clear responses.</td>
<td>96%</td>
<td>93%</td>
</tr>
<tr>
<td>The inspector conducted the interview in a professional and respectful manner</td>
<td>98%</td>
<td>98%</td>
</tr>
<tr>
<td>The new inspection process met my expectations.</td>
<td>88%</td>
<td>88%</td>
</tr>
<tr>
<td>Overall, we would rate our RQI experience as being a positive experience.</td>
<td>90%</td>
<td>89%</td>
</tr>
</tbody>
</table>

Sampling of Comments ~ Family Councils

Explanation and expectation of what is a Family Council and what the Home should do in return.

As long as the results are posted quickly and concerns will be noted and answered, the inspection process was good.

I appreciate the thoroughness/attention to detail....

A little bit more notice regarding the time of the meeting...having it on the last day of the inspection with a few days notice was tricky, especially when I have a busy schedule.

Could language be less formal? Questions very legal, terms needed to be reread.

"would suggest there be a few more questions specific to impressions on how the home is run. Most of the questions are geared to how arm’s length the home is from the working of the Family Council."
Thank You.