



Assessment module 9

Improvements and feedback



Aged Care
Standards and Accreditation Agency Ltd

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AUSTRALIA

Users of this handbook should refer to all relevant legislation, including the *Aged Care Act 1997*, the *Accreditation Grant Principles 1999* and the *Accountability Principles 1998*.

Aspects

1. The home is proactive in seeking improvements and monitoring compliance with the Accreditation Standards. Residents/representatives, staff and others have opportunities for input into the continuous improvement system, the implementation of improvements is monitored, the results evaluated and feedback provided.
2. There are systems available to allow and encourage residents/representatives, staff and others to make complaints. Complaints are responded to in a timely manner with feedback provided.

Process

The process followed is one using improvements, complaints and monitoring processes as a means of directing enquiry about the home's performance against the Accreditation Standards.

- Ascertain the home's processes for identifying opportunities for improvement, for monitoring compliance and for capturing and actioning formal and informal complaints.
- Interview at least 10% of residents/representatives and discuss their ability to contribute suggestions and raise complaints. Discuss whether they are aware of improvements occurring on an ongoing basis, if they receive feedback in relation to complaints and if they are satisfied with actions taken as a result of suggestions or complaints.
- Review the results of monitoring processes such as audits and evaluate if appropriate actions have been taken.
- Select a sample of at least eight improvements across the Accreditation Standards from the past year. Evaluate:
 - how the area of improvement was identified
 - how the area of improvement was planned for example prioritising, setting goals, allocation of responsibility and determining timeframes
 - how outcomes were monitored and evaluated
 - if outcomes are sustainable and link to the provision of care and services for residents
 - if there was consultation with and feedback provided to relevant people during the planning, implementation and evaluation of the improvement
 - if changes to processes or procedures as a result of improvements are communicated to the relevant people
 - where applicable when an improvement activity has been deemed successful, the ongoing evaluation and monitoring of this is incorporated into the home's broader monitoring system.
- Evaluate if:
 - suggestions and complaints are captured and adequately followed up
 - complaints are resolved in a timely manner and feedback given to the complainant
 - issues raised are systemic of wider problems within the home
 - the home is proactive in preventing recurrence of issues by analysing any trends in complaints or suggestions and where applicable feeding suggestions and complaints into the continuous improvement system
 - there are processes for ensuring all residents/representatives, staff and others have access to and knowledge of ways of making suggestions and complaints.

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Assessment process	Use information from the following to assist in assessing the home's compliance or non-compliance
Aspect 1	The home is proactive in seeking improvements and monitoring compliance with the Accreditation Standards. Residents/representatives, staff and others have opportunities for input into the continuous improvement system, the implementation of improvements is monitored, the results evaluated and feedback provided.
Considerations	<ul style="list-style-type: none"> • The home has a framework that assists it to actively pursue continuous improvement taking into consideration: <ul style="list-style-type: none"> – a self-assessment approach and methods of measuring and reviewing performance against the Accreditation Standards to ensure the changing needs and preferences of residents continue to be met – mechanisms to ensure residents/representatives, staff and others have opportunities for involvement – tracking and capture of opportunities for improvement to ensure they are not lost – the framework used is cyclical and regular – the planning of improvements including prioritising, setting goals, allocation of responsibility and determining timeframes – relevant people are consulted throughout the implementation of the improvement activity – monitoring during implementation allows processes and activities to be altered to ensure maximum success – evaluation of improvements including their impact on residents, staff and others – feedback to residents, staff and others including information on changes to procedures and any training for staff • Issues or problems identified are resolved in a timely manner which assists in preventing recurrence • The continuous improvement and monitoring system tools are reviewed • Management demonstrates staff and the management team have the knowledge and skills required to effectively manage improvements and monitoring processes • Where applicable when an improvement activity has been deemed successful, the ongoing evaluation and monitoring of this is incorporated into the home's broader monitoring system • There are mechanisms to ensure that changes in relevant legislation, regulations and guidelines are incorporated into the home's policies and/or procedures
Observations	<ul style="list-style-type: none"> • Recent examples of improvements • Availability of forms for input into the continuous improvement system such as improvement logs, suggestions, incident and hazard • Availability of information related to continuous improvement such as how the system operates, meeting minutes, monitoring and survey results

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Aspect 1	The home is proactive in seeking improvements and monitoring compliance with the Accreditation Standards. Residents/representatives, staff and others have opportunities for input into the continuous improvement system, the implementation of improvements is monitored, the results evaluated and feedback provided.
Resident/ representative interviews	<ul style="list-style-type: none"> • Recent examples of improvements • Knowledge of ways to make comments or suggestions such as forms, meetings or surveys • Level of consultation about possible changes and improvements, for example discussion at meetings • Satisfaction with the feedback given and actions taken as a result of suggestions or other input
Staff interviews	<ul style="list-style-type: none"> • Management and staff regarding recent examples of improvements • Management and staff regarding how residents and other interested parties are informed about and encouraged to participate in continuous improvement • Key staff regarding the planning of improvements including prioritising, setting goals, allocation of responsibility, determining timeframes, progress monitoring and evaluation methods • Key staff regarding steps taken to ensure the sustainability of improvement activities such as communicating changes to staff and ongoing monitoring • Staff regarding willingness to raise issues and make suggestions • Staff in relation to their understanding of the continuous improvement system and monitoring processes • Staff satisfaction with feedback and actions taken as a result of suggestions for improvements
Documentation	<ul style="list-style-type: none"> • Examples of improvements • Policies and/or procedures relevant to the home's continuous improvement system and monitoring processes • Continuous improvement plans • Forms for input into the continuous improvement system such as improvement logs, suggestions, incident and hazard • Audit and survey schedules, results and trend data • Memoranda, meeting minutes, newsletters, reports • Evidence of review of the home's continuous improvement and monitoring systems such as reviews of monitoring tools • Evidence of actions taken to address identified weaknesses or problems • Evidence of monitoring and evaluation of improvements to ensure they are sustainable • Evidence of informing residents and staff of changes as a result of improvements such as new procedures • Education records in relation to continuous improvement

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Aspect 2	There are systems available to allow and encourage residents/representatives, staff and others to make complaints. Complaints are responded to in a timely manner with feedback provided.
Considerations	<ul style="list-style-type: none"> • Improvements as a result of complaints • Management demonstrates how improvements as a result of complaints are implemented and evaluated • The home informs and regularly reminds residents, representatives, staff and others about internal and external complaints mechanisms including for those with cognitive, communication and other special needs • That information on the complaints' mechanisms which may include brochures, handbooks or complaint forms is readily available to residents and staff • The home has systems to manage written and verbal complaints • There is a system to manage reportable assaults which meets legislative requirements • The home maintains resident privacy and confidentiality throughout the complaint process where necessary • Management ensures residents and staff are protected from harassment, retaliation and victimisation • Management, staff, residents and representatives confirm the adequacy of staff skills in relation to the management of complaints • Outcomes of investigations and actions as a result of formal and informal complaints are communicated to relevant individuals
Observations	<ul style="list-style-type: none"> • Recent improvements as a result of complaints • Access to complaints forms • Access to information on internal and external complaint mechanisms such as brochures, posters, handbooks and information on noticeboards • Access to information on advocacy services • Access to information in other languages as appropriate • Ways of making an anonymous/confidential complaint
Resident/ representative interviews	<ul style="list-style-type: none"> • Knowledge of any improvements as a result of complaints • Knowledge of the internal and external complaint processes and advocacy services • Perceived access, opportunity and comfort with raising issues within the home such as at meetings, using the complaints system and informally with management and staff • Satisfaction with timeliness, communication and actions taken as a result of raising a complaint
Staff interviews	<ul style="list-style-type: none"> • Management regarding how complaints feed into the continuous improvement system to help prevent recurrence of issues • Management regarding processes for informing residents and representatives of internal and external complaints mechanisms and advocacy services when residents move into the home and on an ongoing basis

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Aspect 2	There are systems available to allow and encourage residents/representatives, staff and others to make complaints. Complaints are responded to in a timely manner with feedback provided.
Staff interviews	<ul style="list-style-type: none"> • Management regarding processes for facilitating access for residents with limited English or literacy skills or who have a disability limiting their use of formal systems • Management regarding processes for informing staff of complaints mechanisms • Management regarding processes for managing reportable assaults • Management regarding processes for ensuring the confidentiality and anonymity of complaints where appropriate • Staff knowledge of any improvements as a result of complaints or improvements which enhance the system • Staff in relation to their access to complaints mechanisms and their willingness to raise issues • Staff regarding knowledge of formal and informal internal processes for residents/representatives and staff and what to do when they receive a complaint • Staff regarding satisfaction with actions, timeliness and communication of outcomes of complaints
Documentation	<ul style="list-style-type: none"> • Examples of any improvements as a result of complaints or review of the system • Documented evidence of complaints and any trends • Reportable assaults' register • Documented actions and evaluations for individual complaints • Any documentation linking issues to the continuous improvement system for example an action plan or focused audit • Handbooks, resident agreements, newsletters • Evidence of other resident or staff complaints such as meeting minutes and surveys - consider participation levels • Evidence of capturing verbal complaints • Policies and/or procedures relating to the complaints' system • Any education records on complaints' management