

Information to participants

Dear Participant

You are invited to participate in a survey authorised by Aged Care Australia (ACAA) of costs associated with your efforts to comply with regulatory requirements under the Aged Care Act (1997) and Quality Principles. A similar survey was conducted in January 2006 relating to the Resident Classification Scheme (RCS) which has now been replaced by the Aged Care Funding Instrument (ACFI). This current survey hopes to establish a basis for comparison of compliance costs across regulations that apply to funding and validation, licensing and accreditation.

If you agree to participate in this study, you will be asked to provide information concerning resources that you believe are required to comply with regulatory compliance including any follow-up dealings with mandated agencies that may have been necessary.

By completing the survey you will be taken to have consented to having your survey included in the study. The information you provide will be combined with that collected from other providers of aged care across Australia, and analysed to construct a profile of costings associated with regulatory compliance processes to inform the aged care industry as well as guiding aged care policy review.

The survey questions relate to variables associated with regulatory compliance activities that require particular staff to spend time to achieve compliance. We want to be able to estimate the costs involved and so we need to know the following for each variable:

1. Resources (time and staffing) associated with compliance processes
2. Your State or Territory (to allow for calculation of staff wages) and the number of beds (to the nearest 10 to preserve confidentiality) you have at your facility

The questions refer to your compliance contact regarding the following areas of compulsory activity:

Aged Care Funding Instrument (ACFI)	1 question
Aged Care Assessment Teams (ACAT)	1 question
Department of Health and Ageing (DOHA)	3 questions
Conditional Adjustment Payment (CAP)	1 question
Office of Quality and Compliance - Complaints Investigation Scheme (CIS)	2 questions
Australian Aged Care Standards and Accreditation Agency	6 questions
Police	6 questions
State and local government regulations (Public health, guardianship, mental health, local councils, food authority, occupational health and safety)	4 questions

All information shared with the researcher will be treated confidentially. At no time will your identity or that of your organisation be obtainable from any publication of the data from this project. Any publications based on de-identified information will be made available to the aged care industry and government agencies.

You are free to withdraw from the survey at any time through the process without having to justify your decision. Should you choose to withdraw please be assured that your decision will have no effect whatever on you, your organisation or anyone connected with your organisation.

Any questions regarding the project should be directed to:-

Dr Tracey McDonald Tel: 0408 954 801 Email : tracey.mcdonald@acu.edu.au

or through your State office of the Aged Care Association Australia (ACAA)

Survey form

SOME BASIC INFORMATION TO ENABLE COSTS TO BE CALCULATED

Please provide the following information:

State or Territory of your facility:

- a. Queensland
- b. New South Wales
- c. Victoria
- d. South Australia
- e. Tasmania
- f. Western Australia
- g. Australian Capital Territory
- h. Northern territory

Aged Care bed numbers (to nearest 10) _____

Aged Care sector:

- a. Private sector
- b. Church and Charitable sector
- c. Government sector

SURVEY QUESTIONS: We want to estimate the AVERAGE TIME PER WEEK or AVERAGE TIME PER CASE involved in COMMUNICATING WITH OFFICIALS on regulatory compliance issues. For the following questions, please indicate how much time is spent by members of each staff category in communication (all types) with particular agencies about the compliance activity categories listed. Some examples of tasks associated with these activities are provided but are not exhaustive. If other tasks are involved but not listed as examples, please add in the time taken by particular staff for their completion.

AGED CARE FUNDING (ACFI) ASSESSMENT & DOCUMENTATION

<p>Q. 1 Completion and lodgement of ACFI assessment:</p> <p>How much time is spent <u>PER CASE</u>, by different staff categories, on regulatory compliance with ACFI processes</p>	<p>Examples:</p> <ul style="list-style-type: none">- Receiving / checking ACCR- Liaising with ACAT- Liaising with family re information- Organising medical assessments- Data entry of ACFI details- ACFI information storage- e-Lodgement of ACFI claim- Lodgement of ACFI documents- Personal/demographic details- Wills, guardianship, contacts- Clinical information (assessment)- Financial information (ACFI)
--	--

AGED CARE ASSESSMENT TEAM (ACAT)

<p>Q. 2 Aged Care Assessment Team (ACAT):</p> <p>How much time is spent <u>EACH WEEK</u>, by different staff categories, communicating with the Aged Care Assessment Team (ACAT) on:</p> <p><u>Disputed assessments</u></p>	<p>Examples:</p> <ul style="list-style-type: none">- Low ACAT/High care needs- Incomplete ACAT information- Inappropriate referral based on actual clinical needs
--	---

DEPARTMENT OF HEALTH AND AGEING (DOHA)

<p>Q.3 Department of Health and Ageing (DOHA):</p> <p>How much time is spent <u>EACH WEEK</u>, by different staff categories, communicating with the Department of Health and Ageing (DOHA) on:</p> <p><u>ACFI Submission processes</u></p>	<p>Examples:</p> <ul style="list-style-type: none"> - Regulation checking - Process checking - Records checking
<p>Q 4. Department of Health and Ageing (DOHA):</p> <p>How much time is spent <u>EACH WEEK</u>, by different staff categories, communicating with the Department of Health and Ageing (DOHA) on:</p> <p><u>ACFI Validation processes</u></p>	<p>Examples:</p> <ul style="list-style-type: none"> - Validation documentation - Checking ACFI rates - Accompanying auditors - Staff interviews by auditors - Exit interviews - Appeals
<p>Q 5. Department of Health and Ageing (DOHA):</p> <p>How much time is spent <u>EACH WEEK</u>, by different staff categories, communicating with the Department of Health and Ageing (DOHA) on:</p> <p><u>Duplication of reporting to various government agencies and Compliance with Ministerial directives</u></p>	<p>Examples:</p> <ul style="list-style-type: none"> - Including reporting missing residents and suspected resident abuse to police; and reporting outbreaks and responses to infections - Press releases on heating/ cooling systems; etc - Ongoing political surveys eg on the charging of bonds
<p>Q 6. Conditional Adjustment Payment (CAP)</p> <p>How much time is spent <u>EACH WEEK</u>, by different staff categories, communicating with the Department of Health and Ageing (DOHA) on:</p> <p><u>Compliance with reporting requirements linked to Conditional Adjustment Payment (CAP) funding</u></p>	<p>Examples:</p> <ul style="list-style-type: none"> - staff training - workforce surveys - auditing of accounts - compliance reporting - disputes with DOHA

OFFICE OF QUALITY AND COMPLIANCE - COMPLAINTS INVESTIGATION SCHEME (CIS)

<p>Q7. Office of Quality and Compliance - Complaints Investigation Scheme (CIS)</p> <p>How much time is spent <u>EACH WEEK</u>, by different staff categories, communicating with the Office of Quality and Compliance - Complaints Investigation Scheme (CIS) on:</p> <p><u>Maintaining records for purposes of investigating complaints; improving systems; and defence against false allegations</u></p>	<p>Examples:</p> <ul style="list-style-type: none"> - Maintaining database / records of complaints handling (analysing by type, security) - Ensuring confidentiality of complainant and person complained of - responses to letters to the Aged Care Commissioner
<p>Q 8. Office of Quality and Compliance - Complaints Investigation Scheme (CIS)</p> <p>How much time is spent <u>EACH WEEK</u>, by different staff categories, communicating with the Office of Quality and Compliance - Complaints Investigation Scheme (CIS) on:</p> <p><u>Disputes with CIS over reporting</u></p>	<p>Examples:</p> <ul style="list-style-type: none"> - Liaising with CIS to deal with reporting issues - Double reporting to CIS and HCCC, Public Guardian, solicitors, Aged Care Commissioner, police etc

AGED CARE STANDARDS AND ACCREDITATION AGENCY

<p>Q 9. Aged Care Standards and Accreditation Agency:</p> <p>How much time is spent <u>EACH WEEK</u>, by different staff categories, communicating with the Aged Care Standards and Accreditation Agency on: <u>Documentary requirements linked to application for accreditation</u></p>	<p>Examples:</p> <ul style="list-style-type: none"> - Time preparing for and undergoing accreditation visit
<p>Q 10. Aged Care Standards and Accreditation Agency:</p> <p>How much time is spent <u>EACH WEEK</u>, by different staff categories, communicating with the Aged Care Standards and Accreditation Agency on: <u>Support contacts (announced) by Accreditation Agency officers</u></p>	<p>Examples:</p> <ul style="list-style-type: none"> - Time involved in scheduled support visits and following-up on issues arising from these contacts
<p>Q 11. Aged Care Standards and Accreditation Agency:</p> <p>How much time is spent <u>EACH WEEK</u>, by different staff categories, communicating with the Aged Care Standards and Accreditation Agency on: <u>Unannounced contacts by officers of the Accreditation Agency</u></p>	<p>Examples:</p> <ul style="list-style-type: none"> - Accreditation agency unannounced visits and telephone contacts - Following referral of an issue from another government agency - Random scrutiny on an issue raised by the Minister
<p>Q 12. Aged Care Standards and Accreditation Agency:</p> <p>How much time is spent <u>EACH WEEK</u>, by different staff categories, communicating with the Aged Care Standards and Accreditation Agency on: <u>Documentation of care</u></p>	<p>Examples:</p> <ul style="list-style-type: none"> - Documentary evidence required to substantiate (prove) care standards, care outcomes and improvements in care
<p>Q 13 Aged Care Standards and Accreditation Agency:</p> <p>How much time is spent <u>EACH WEEK</u>, by different staff categories, communicating with the Aged Care Standards and Accreditation Agency on: <u>Documentation of personnel management</u> <u>Documentation of environmental management</u></p>	<p>Examples:</p> <ul style="list-style-type: none"> - Documentary evidence required to substantiate (prove) staff qualifications and skills; management systems - Documentary evidence required to substantiate (prove) environment maintenance and/or improvement; and lifestyle programs etc
<p>Q 14. Do you believe accreditation regulations compel you to allocate more staff, time and effort than is necessary to have an effective quality management system? YES <input type="checkbox"/> NO <input type="checkbox"/></p>	

INTERAGENCY COMMUNICATION – COMPULSORY REPORTING TO THE POLICE

<p>Q 15. Police department Compulsory reporting:</p> <p>How much time is spent <u>EACH WEEK</u>, by different staff categories, communicating with the Police regarding:</p> <p><u>Allegations of resident abuse</u> <u>Missing residents</u></p>	<p>Examples:</p> <ul style="list-style-type: none"> - Collecting information on suspected incident; interviewing residents, staff and family; contacting police and liaising re follow-up; documentation and reporting of incident; staff counselling and support; - Verbal contact with police; faxing reports and more details as requested; conducting internal investigation; reporting to DOHA and coordinating facility response with police action
<p>Q 16. How many cases of allegations of resident abuse and missing residents would you deal with per annum? _____</p>	
<p>Q 17 Police department</p> <p>How much time is spent <u>EACH WEEK</u>, by different staff categories, communicating with the Police regarding:</p> <p><u>Staff police checks</u></p>	<p>Examples:</p> <ul style="list-style-type: none"> - Include time spent on checking on who has to have a police check - filling out the form - entering details on database - dealing with staff who have convictions - following up on all staff
<p>Q 18. Does your organisation pay for staff police checks? YES <input type="checkbox"/> NO <input type="checkbox"/></p>	
<p>Q 19. Police department:</p> <p>How much time is spent <u>EACH WEEK</u>, by different staff categories, communicating with the Police regarding:</p> <p>Other matters involving police</p>	<p>Examples:</p> <ul style="list-style-type: none"> - Include reporting criminal activities by residents, families and staff - Attacks on staff by residents and visitors - staff training on crisis response and preservation of evidence - subpoenas - coroner's cases - police investigations of suspected crimes eg fraud, theft.
<p>Q 20. How many cases of police contact on other matters would you deal with per annum? _____</p>	

INTERAGENCY COMMUNICATION – STATE GOVERNMENT AGENCIES

<p>Q 21. State Health agencies – Public Health notification</p> <p>How much time is spent <u>EACH WEEK</u>, by different staff categories, communicating with the public health unit regarding outbreaks of infection and infestations etc</p>	<p>Examples:</p> <ul style="list-style-type: none"> - Reporting outbreaks of gastrointestinal problems - other infections and infestations - dealing with public health and departmental follow-up and accreditation agency spot checks related to outbreak.
---	---

<p>Q 22. State Health agencies – Guardianship issues:</p> <p>How much time is spent <u>EACH WEEK</u>, by different staff categories, communicating with the Guardianship Board and officers regarding guardianship issues</p>	<p>Examples:</p> <ul style="list-style-type: none"> - Assessments and applications for guardianship for residents in danger - Documentation related to applications and ongoing guardianship - Appearances before the Board - Time spent working with guardians re treatment and lifestyle permissions
<p>Q 23. State Health agencies – Mental health issues, Psychiatric care and treatment:</p> <p>How much time is spent <u>EACH WEEK</u>, by different staff categories, communicating with the hospital and health officers regarding psychiatric services</p>	<p>Examples:</p> <ul style="list-style-type: none"> - Liaison with public hospital mental health units re assessments and treatment for psychiatric cases - Documentation related to securing admission to hospital and psychiatric care - Liaison with families and other residents re psychiatric resident behaviours - Staff training - Time working with families re treatment /management issues.
<p>Q 24. State government agencies – Food Authority:</p> <p>How much time is spent <u>EACH WEEK</u>, by different staff categories, communicating with the Food Authority and officers on compliance and issues</p> <p>Food Authority</p>	<p>Examples:</p> <ul style="list-style-type: none"> - Preparation of food safety program - Implementation of food safety program - Audit of program - Staff training - Systems monitoring and reporting
<p>Q 25. Occupational Health and Safety (OHS):</p> <p>How much time is spent <u>EACH WEEK</u>, by different staff categories, communicating with OHS and WorkCover compliance matters</p> <p>Occupational Health and Safety reporting</p>	<p>Examples:</p> <ul style="list-style-type: none"> - Include mandatory training of all staff - documentary evidence of training and staff competency - time spent at OHS committees and investigating OHS issues - policy development and review etc.

LOCAL GOVERNMENT AGENCIES

<p>Q 26. Local councils - Requirements imposed by local council regulation:</p> <p>How much time is spent <u>EACH WEEK</u>, by different staff categories, communicating with local council officers regarding local regulations</p>	<p>Examples:</p> <ul style="list-style-type: none"> - fire and safety - building certification - building codes - zoning issues - lift (elevator) maintenance - parking and traffic - water supply / mixing valves - noise / neighbourhood issues - garbage collection
---	---

Thank you for taking the time to fill out this survey. If you have any further comments that you think could assist in calculating the costs associated with regulatory compliance processes, please do not hesitate to provide them to the survey team.

IT NOTE

Pull-down (online) menus on each question a) Staff categories b) Time spent

STAFF CATEGORIES INVOLVED	TIME SPENT (average per WEEK) or (average per CASE)
Executive manager (CEO, DCEO)	NIL
Senior manager (DON, DOC)	30 minutes
Unit manager (Supervisor, NUM)	1 hour
Project manager (Quality, Education)	2 hours
Clinical RN	3 hours
Clinical EN	4 hours
Direct care staff	5 hours
Secretarial/administrative staff	6 hours
Management consultants	7 hours
Clinical consultants	8 hours
Domestic services manager	9 hours
Domestic services staff	10 hours
Admissions/ reception clerks	11 hours
Accounts clerks	12 hours
	13 hours
	14 hours
	15 hours
	16 hours
	17 hours
	18 hours
	19 hours
	20 hours
	21 hours
	22 hours
	23 hours
	24 hours
	25 hours
	26 hours
	27 hours
	28 hours
	29 hours
	30 hours
	31 hours
	32 hours
	33 hours
	34 hours
	35 hours
	36 hours
	36+ hours