

Aged Care Quality and Safety Commission

Sector performance report

April – June 2020

Note on impact of COVID-19

Data for this reporting period reflects adjustments made to the Commission's regulatory program in response to the COVID-19 pandemic from 16 March 2020. Adjustments were made to minimise infection risks and focus additional effort on areas of risk to ensure that providers were doing everything possible to keep aged care consumers safe.

The Commission's modified regulatory program increased the frequency of assessment contacts with providers by deferring or adjusting re-accreditation audits and home services quality audits. Short notice site visits temporarily replaced unannounced visits based on public health advice and other clinical advice, including from the Commission's Chief Clinical Advisor.

Unannounced visits resumed in June 2020 when they could occur safely and re-accreditation audits resumed in August 2020.

Accordingly, these changes are reflected in this sector performance report.



Australian Government

Aged Care Quality and Safety Commission

Engage
Empower
Safeguard

Notices and compliance enforcement

April – June 2020

On 1 January 2020 the Commission became responsible for approval of providers, aged care compliance (including Prudential Standards) and compulsory reporting which were previously the responsibility of the Secretary of the Department of Health.

Where the non-compliance poses a high risk to quality and safety, the Commission may issue a Non-Compliance Notice (NCN). The NCN advises the provider of the non-compliance and gives the provider the opportunity to respond.

If the Commission is satisfied with the provider's response to a Non-Compliance Notice, a Notice to Remedy may be issued which requires the provider to remedy the non-compliance within a certain period. Where a provider's non-compliance has resulted in the Commission finding immediate and severe risk to quality and safety, the Commission may – in certain circumstances – issue the provider a Notice of Requirement to Agree to Certain Matters (NTA). An NTA sets out actions a provider is required to take (including necessary timeframes). Should a provider fail to agree, their approval to provide Australian Government subsidised aged care may be revoked. Once a provider has agreed to an NTA, they are required to take the actions they have agreed to.

If the Commission is not satisfied with the provider's response to the Non-Compliance Notice or where there is immediate and severe risk, the Commission may also issue a Notice of Decision to Impose Sanctions. This notifies the provider, in writing, of the Commission's requirements for immediate action or decision to impose one or more sanctions on the provider.

Non-compliance¹

11
notices

Notices to agree and sanctions²

3

Notices to agree	3
Sanctions	0

TABLE 1

Non-compliance notices

Number of notices of non-compliance issued during the quarter	11
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TABLE 2

Notices to agree and sanctions

Number of notices to agree issued during the quarter	3
Number of sanctions issued during the quarter	0



Residential care sector performance

April – June 2020

Residential care

2,728

services

As of 30 June 2020

Site visits³

221^{*}

Assessment contacts⁴ non-site

563

Review audits⁵

2

0.0%
New non-compliance found

Most frequent⁶ requirements of the Standards that were non-compliant



Management of high-impact risks	5
Safe personal and clinical care	5
Maintained service environment	4

Compulsory reporting⁷

1,431

Missing consumers 192

Reportable assaults[†] 1,239

Residential care⁸

2,119

complaints

Most frequent complaints⁹ received about residential care



Infectious diseases control	340
Representative communication	270
Medication management	189
Lack of communication	176
Choice and dignity – independence	169

^{*} This figure is a combination of site audits, review audits and assessment contacts on site.

[†] Includes three sub-categories of serious physical assault, sexual assault, and a combination of serious physical and sexual assault.

Data for this reporting period reflects adjustments made to the Commission's regulatory program in March 2020 to focus additional effort on risks arising from the COVID-19 pandemic and to ensure that providers were doing everything possible to keep aged care consumers safe. The Commission's modified regulatory program increased the frequency of assessment contacts with providers by replacing unannounced site visits with 'short notice' visits on a risk basis and deferring residential re-accreditation audits.



Australian Government

Aged Care Quality and Safety Commission

Residential care sector performance

April – June 2020

TABLE 3

Residential care

	NSW	VIC	QLD	SA	WA	TAS	NT	ACT	AUS
Number of services at reporting date	883	767	475	246	248	72	12	25	2,728
Number of services at reporting date that are urban/metropolitan	566	478	281	162	200	0	0	25	1,712
Number of services at reporting date that are regional, remote and very remote	317	289	194	84	48	72	12	0	1,016
Site audits	0	0	0	0	0	0	0	0	0
Review audits	2	0	0	0	0	0	0	0	2
Assessment contacts	295	168	148	69	80	9	2	11	782

Data for this reporting period reflects adjustments made to the Commission's regulatory program in March 2020 to focus additional effort on risks arising from the COVID-19 pandemic and to ensure that providers were doing everything possible to keep aged care consumers safe. The Commission's modified regulatory program increased the frequency of assessment contacts with providers by replacing unannounced site visits with 'short notice' visits on a risk basis and deferring residential re-accreditation audits. The figures in the above table reflect these adjustments.

TABLE 4

Site audits

The number of site audits is zero for this reporting period [see Table 3 above].

TABLE 5

Review audits

	NSW	VIC	QLD	SA	WA	TAS	NT	ACT	AUS
Number of review audits	2	0	0	0	0	0	0	0	2
Number of review audits with decisions made at reporting date	0	–	–	–	–	–	–	–	0
Number of times requirements of the Standards were non-compliant	–	–	–	–	–	–	–	–	–
% of review audits where one or more requirements of the Standards were non-compliant	–	–	–	–	–	–	–	–	–

Data for this reporting period reflects adjustments made to the Commission's regulatory program in March 2020 to focus additional effort on risks arising from the COVID-19 pandemic and to ensure that providers were doing everything possible to keep aged care consumers safe. The Commission's modified regulatory program increased the frequency of assessment contacts with providers by deferring or adjusting re-accreditation audits and home services quality audits. The figures in the above table reflect these adjustments.



Residential care sector performance

April – June 2020

TABLE 6

Assessment contacts*

	NSW	VIC	QLD	SA	WA	TAS	NT	ACT	AUS
Number of assessment contacts	295	168	148	69	80	9	2	11	782
Number of on site assessment contacts	89	34	43	26	20	2	0	5	219
Number of assessment contacts with decisions made at reporting date	84	34	40	22	13	2	0	5	200
Number of times requirements of the Standards were non-compliant	7	0	3	1	1	0	–	0	12
% of assessment contacts where one or more requirements of the Standards were non-compliant [†]	8.3%	0.0%	7.5%	4.5%	7.7%	0.0%	–	0.0%	6.0%
Number of non-site assessment contacts	206	134	105	43	60	7	2	6	563

Data for this reporting period reflects adjustments made to the Commission's regulatory program in March 2020 to focus additional effort on risks arising from the COVID-19 pandemic and to ensure that providers were doing everything possible to keep aged care consumers safe. The Commission's modified regulatory program increased the frequency of assessment contacts with providers by deferring or adjusting re-accreditation audits and home services quality audits. The figures in the above table reflect these adjustments.

* Assessment contacts are any form of contact (other than a site audit, a review audit or a quality audit) between a Commission regulatory official and the approved provider of an accredited service or a previously accredited service, or the home service providers of a home service, for either or both of the following purposes:

- a) to assess the provider's performance, in relation to the service, against the Quality Standards;
- b) to monitor the quality of care and services provided by the provider through the service.

† % figures based on 200 assessment contacts where the purpose was to assess the provider's performance, in relation to the service, against the Quality Standards.

TABLE 7

Accreditation decisions

The number of site audits is zero for this reporting period [see Table 3]. Accordingly, data for this table is not available for this period.

TABLE 8

Decisions of non-compliance with the Standards*

Site audits and review audits

The number of site audits is zero for this reporting period [see Table 3], and no review audit decisions were available at the reporting time [see Table 5]. Accordingly, data for this table is not available for this period.



Residential care sector performance

April – June 2020

TABLE 9

Decisions of non-compliance with the Standards*

	NSW	VIC	QLD	SA	WA	TAS	NT	ACT	AUS
Assessment contacts									
1 requirement of the Standards were non-compliant	3	0	1	0	1	0	0	0	5
2 requirements of the Standards were non-compliant	2	0	0	1	0	0	0	0	3
3 requirements of the Standards were non-compliant	1	0	0	0	0	0	0	0	1
4 requirements of the Standards were non-compliant	0	0	0	0	0	0	0	0	0
5-10 requirements of the Standards were non-compliant	0	0	2	0	0	0	0	0	2
11-15 requirements of the Standards were non-compliant	0	0	0	0	0	0	0	0	0
16-20 requirements of the Standards were non-compliant	0	0	0	0	0	0	0	0	0
More than 20 requirements of the Standards were non-compliant	0	0	0	0	0	0	0	0	0

Data for this reporting period reflects adjustments made to the Commission's regulatory program in March 2020 to focus additional effort on risks arising from the COVID-19 pandemic and to ensure that providers were doing everything possible to keep aged care consumers safe. The Commission's modified regulatory program increased the frequency of assessment contacts with providers by deferring or adjusting re-accreditation audits and home services quality audits. The figures in the above table reflect these adjustments.

* Note that 'non-compliance' here indicates when a service moves from compliant to non-compliant. This is slightly different from the 'number of times requirements of the Standards were non-compliant'. As such the total here will not match the totals from Tables 4 – 6.

TABLE 10

Most frequent requirements of the Standards that were non-compliant

Site audits and review audits

The number of site audits is zero for this reporting period [see Table 3], and no review audit decisions were available at the reporting time [see Table 5]. Accordingly, data for this table is not available for this period.



Residential care sector performance

April – June 2020

TABLE 11

Most frequent requirements of the Standards that were non-compliant

	RANK	NUMBER
Assessment contacts		
3 (3) (b) Effective management of high-impact or high-prevalence risks	1	5
3 (3) (a) Safe and effective personal and clinical care	2	5
5 (3) (b) Safe, clean and well maintained service environment	3	4
8 (3) (d) Risk management systems and practices	4	2
7 (3) (a) Number and mix of workforce	5	2
2 (3) (b) Current needs, goals and preferences	6	2
3 (3) (e) Sharing information to optimise care	7	2
2 (3) (a) Safe and effective care and services	8	2

TABLE 12

Complaints about residential care

Number of complaints received	2,119
Notices issued from complaints	0
Directions issued from complaints	0

TABLE 13

Most frequent complaint issues received about residential care

Health Care – Infectious diseases/infection control	340
Consultation and Communication – Representative/family consultation and communication	270
Health Care – Medication administration and management	189
Consultation and Communication – Lack of consultation/communication	176
Choice and Dignity – Independence	169



Residential care sector performance

April – June 2020

TABLE 14

Numbers of compulsory reporting

Number of missing resident reports	192
Number of reportable assaults *	1,239
Total numbers of compulsory reporting	1,431

* Includes three sub-categories of serious physical assault, sexual assault, and a combination of serious physical and sexual assault.

Approved providers of residential aged care services are responsible for ensuring that suspicions or allegations of reportable assaults occurring at their services are reported within 24 hours to:

- local police
- the Commission

The law also requires service providers to report that a resident is absent without explanation (also known as a missing resident).

These requirements ensure that those affected receive timely help and support, and that operational and organisational strategies are put in place by the provider to prevent the situation from occurring again. Such strategies help maintain a safe and secure environment for residents.



Australian Government

Aged Care Quality and Safety Commission

Home services sector performance

April – June 2020

Home care¹⁰

2,272

services

As of 30 June 2020

Site visits¹¹

5*

0%

New non-compliance found

Assessment contacts¹² non-site

3,071

Home services¹³

582

complaints

Most frequent complaints¹⁴ received about home services



Financial – Fees and charges	118
Consultation and communication	84
Management of finances	77
Consistent client care	70
Communication – fees and charges	60

Data for this reporting period reflects adjustments made to the Commission's regulatory program in March 2020 to focus additional effort on risks arising from the COVID-19 pandemic and to ensure that providers were doing everything possible to keep aged care consumers safe. The Commission's modified regulatory program increased the frequency of assessment contacts with providers by deferring or adjusting re-accreditation audits and home services quality audits.

* This figure is a combination of quality audits and assessment contacts on site.



Australian Government

Aged Care Quality and Safety Commission

Home services sector performance

April – May 2020

TABLE 15

Home services

	NSW	VIC	QLD	SA	WA	TAS	NT	ACT	AUS
Number of home services at reporting date	753	474	535	192	135	73	77	33	2,272
Quality audits	0	0	0	1	0	0	0	0	1
% of all Quality audits with new Standard requirements non-compliant	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Assessment contacts	977	756	661	293	197	96	59	36	3,075
% of Assessment contacts with new Standard requirements non-compliant	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%

Data for this reporting period reflects adjustments made to the Commission's regulatory program in March 2020 to focus additional effort on risks arising from the COVID-19 pandemic and to ensure that providers were doing everything possible to keep aged care consumers safe. The Commission's modified regulatory program increased the frequency of assessment contacts with providers by deferring or adjusting re-accreditation audits and home services quality audits. The figures in the above table reflect these adjustments.

TABLE 16

Quality audits

	NSW	VIC	QLD	SA	WA	TAS	NT	ACT	AUS
Number of Quality audits	0	0	0	1	0	0	0	0	1
Number of times requirements of the Standards were non-compliant	–	–	–	0	–	–	–	–	0
% of Quality audits where one or more requirements of the Standards were non-compliant	–	–	–	0.0%	–	–	–	–	0.0%

Data for this reporting period reflects adjustments made to the Commission's regulatory program in March 2020 to focus additional effort on risks arising from the COVID-19 pandemic and to ensure that providers were doing everything possible to keep aged care consumers safe. The Commission's modified regulatory program increased the frequency of assessment contacts with providers by deferring or adjusting re-accreditation audits and home services quality audits. The figures in the above table reflect these adjustments.



Home services sector performance

April – June 2020

TABLE 17

Assessment contacts *

	NSW	VIC	QLD	SA	WA	TAS	NT	ACT	AUS
Number of assessment contacts	997	756	661	293	197	96	59	36	3,075
Number of on site assessment contacts	0	1	2	1	0	0	0	0	4
Number of assessment contacts with decisions made at reporting date	0	1	2	1	0	0	0	0	4
Number of times requirements of the Standards were non-compliant	–	1	0	1	–	–	–	–	2
% of assessment contacts where one or more requirements of the Standards were non-compliant †	–	100.0%	0.0%	100.0%	–	–	–	–	50.0%
Number of non-site assessment contacts	977	755	659	292	197	96	59	36	3,071

Data for this reporting period reflects adjustments made to the Commission's regulatory program in March 2020 to focus additional effort on risks arising from the COVID-19 pandemic and to ensure that providers were doing everything possible to keep aged care consumers safe. The Commission's modified regulatory program increased the frequency of assessment contacts with providers by deferring or adjusting re-accreditation audits and home services quality audits. The figures in the above table reflect these adjustments.

* Assessment contacts are any form of contact (other than a site audit, a review audit or a quality audit) between a Commission regulatory official and the approved provider of an accredited service or a previously accredited service, or the home service providers of a home service, for either or both of the following purposes:

- a) to assess the provider's performance, in relation to the service, against the Quality Standards;
- b) to monitor the quality of care and services provided by the provider through the service.

† % figures based on 4 assessment contacts where the purpose was to assess the provider's performance, in relation to the service, against the Quality Standards

TABLE 18

Decisions of non-compliance with the Standards *

Quality audits

There were no decisions of non-compliance for quality audits for this period [see Table 16]. Accordingly, data for this table is not available for this period.



Home services sector performance

April – June 2020

TABLE 19

Decisions of non-compliance with the Standards*

	NSW	VIC	QLD	SA	WA	TAS	NT	ACT	AUS
Assessment contacts									
1 requirement of the Standards were non-compliant	0	0	0	1	0	0	0	0	1
2 requirements of the Standards were non-compliant	0	0	0	0	0	0	0	0	0
3 requirements of the Standards were non-compliant	0	0	0	0	0	0	0	0	0
4 requirements of the Standards were non-compliant	0	0	0	0	0	0	0	0	0
5-10 requirements of the Standards were non-compliant	0	0	0	0	0	0	0	0	0
11-15 requirements of the Standards were non-compliant	0	0	0	0	0	0	0	0	0
More than 20 requirements of the Standards were non-compliant	0	0	0	0	0	0	0	0	0

Data for this reporting period reflects adjustments made to the Commission's regulatory program in March 2020 to focus additional effort on risks arising from the COVID-19 pandemic and to ensure that providers were doing everything possible to keep aged care consumers safe. The Commission's modified regulatory program increased the frequency of assessment contacts with providers by deferring or adjusting re-accreditation audits and home services quality audits. The figures in the above table reflect these adjustments.

* Note that 'non-compliance' here indicates when a service moves from compliant to non-compliant. This is slightly different from the 'Number of times requirements of the Standards were non-compliant'. As such the total here will not match the totals from Tables 15-17.

TABLE 20

Most frequent requirements of the Standards that were non-compliant

Quality audits

There were no decisions of non-compliance for quality audits for this period [see Table 16]. Accordingly, data for this table is not available for this period.



Home services sector performance

April – June 2020

TABLE 21

Most frequent requirements of the Standards that were non-compliant

	RANK	NUMBER
Assessment contacts		
2 (3) (b) Current needs, goals and preferences	1	1
2 (3) (c) Planning in partnership with the consumer	2	1
2 (3) (d) Communication of assessment and planning outcome	3	1
2 (3) (e) Regular reviews of care and services	4	1
3 (3) (a) Safe and effective personal and clinical care	5	1
3 (3) (b) Effective management of high-impact or high-prevalence risks	6	1
3 (3) (e) Sharing information to optimise care	7	1

TABLE 22

Complaints about home services*

Number of complaints received about home services	582
Number of notice of intention to give directions issued for complaints about home services	0
Number of directions issued for complaints about home services	0

* Home services includes Commonwealth Home Support Programme (CHSP) and Home Care Packages (HCP).

TABLE 23

Most frequent complaint issues received about home services

Financial – Fees and charges	118
Consultation and communication – Lack of consultation/communication	84
Financial – Management of finances	77
Client assessment and service implementation – Consistent client care and coordination	70
Financial – Communication about fees and charges	60



Flexible care sector performance

April – June 2020

Flexible care¹⁵

35

services

As of 30 June 2020

Quality audits¹⁶

0

Assessment contacts¹⁷

26

0
requirements of
the Standards were
non-compliant

0%

Flexible care¹⁸

21

complaints



Australian Government

Aged Care Quality and Safety Commission

Flexible care sector performance

April – June 2020

TABLE 24

Quality audits

	NSW	VIC	QLD	SA	WA	TAS	NT	ACT	AUS
Number of Quality audits	0	0	0	0	0	0	0	0	0
Number of Quality audits with decisions made at reporting date	–	–	–	–	–	–	–	–	–
Number of times requirements of the Standards were non-compliant	–	–	–	–	–	–	–	–	–
% of Quality audits where non-compliance was found	–	–	–	–	–	–	–	–	–

Data for this reporting period reflects adjustments made to the Commission's regulatory program in March 2020 to focus additional effort on risks arising from the COVID-19 pandemic and to ensure that providers were doing everything possible to keep aged care consumers safe. The Commission's modified regulatory program increased the frequency of assessment contacts with providers by deferring flexible services quality audits. The figures in the above table reflect these adjustments.

TABLE 25

Assessment contacts*

	NSW	VIC	QLD	SA	WA	TAS	NT	ACT	AUS
Number of assessment contacts	0	2	6	2	1	1	14	0	26
Number of assessment contacts with decisions made at reporting date	–	0	0	0	0	0	0	–	0
Number of times requirements of the Standards were non-compliant	–	–	–	–	–	–	–	–	–
% of assessment contacts where one or more requirements of the Standards were non-compliant	–	–	–	–	–	–	–	–	–

Data for this reporting period reflects adjustments made to the Commission's regulatory program in March 2020 to focus additional effort on risks arising from the COVID-19 pandemic and to ensure that providers were doing everything possible to keep aged care consumers safe. The Commission's modified regulatory program increased the frequency of assessment contacts with providers by deferring flexible services quality audits. The figures in the above table reflect these adjustments.

* Assessment contacts are any form of contact (other than a site audit, a review audit or a quality audit) between a Commission regulatory official and the approved provider of an accredited service or a previously accredited service, or the home service providers of a home service, for either or both of the following purposes:

- a) to assess the provider's performance, in relation to the service, against the Quality Standards;
- b) to monitor the quality of care and services provided by the provider through the service.



Flexible care sector performance

April – June 2020

TABLE 26

Decisions of non-compliance with the Standards

Quality audits

The number of quality audits is zero for this reporting period [see Table 24]. Accordingly, data for this table is not available for this period.

TABLE 27

Decisions of non-compliance with the Standards *

Assessment contacts

The number of non-compliance decisions for assessment contacts is zero for this reporting period [see Table 25]. Accordingly, data for this table is not available for this period.

TABLE 28

Complaints about flexible care services [†]

Number of complaints received	21
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[†] Flexible care services includes flexible/community care complaints and undetermined cases.



Australian Government

Aged Care Quality and Safety Commission

Provider approvals

April – June 2020

The Commission receives applications from potential providers. We determine whether to approve applications against the requirements set out in the *Aged Care Quality and Safety Commission Act 2018*. Approved providers must then meet relevant obligations including notification of material changes to their circumstances.

Provider applications¹⁹

62

Residential care	4
Home services	46
Flexible care	12

TABLE 29

Provider applications*

Residential care	4
Home services	46
Flexible care	12

* An application may be for more than one care type.
Total numbers for this table may not equal applications received figure in Table 30.

TABLE 30

Application outcomes

Applications received	48
Applications approved [†]	6
Applications not approved [‡]	9
Applications that did not proceed [§]	14

[†] Includes approvals, and deemed approvals.

[‡] A delegate has made a decision not to approve the applicant's application.

[§] An application may not proceed because it is either incomplete, withdrawn by the applicant, or the applicant failed to provide the requested information within legislative timeframes.



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Infographic footnotes

- 1 Refer to Table 1
- 2 Refer to Table 2
- 3 Refer to Tables 4, 5 and 6
- 4 Refer to Table 6
- 5 Refer to Table 5
- 6 Refer to Table 11
- 7 Refer to Table 14
- 8 Refer to Table 12
- 9 Refer to Table 13
- 10 Home services (Help at Home) include Home Care Packages and Commonwealth Home Support Program
- 11 Refer to Tables 16 and 17
- 12 Refer to Table 17
- 13 Refer to Table 22
- 14 Refer to Table 23
- 15 35 services are National Aboriginal and Torres Strait Islander Flexible Aged Care Program services that are subject to quality reviews.
- 16 Refer to Table 24
- 17 Refer to Table 25
- 18 Refer to Table 28
- 19 Refer to Table 29

Note

In the March Quarter 2020, the Commission reported counts of assessment contacts for residential aged care and home services. During that quarter, a regulatory campaign around infection control commenced and the final counts of those assessment contacts were not available at the time of reporting.

Tables 8, 9, 18, 19, 26 and 27 indicate the extent of the non-compliance when it is first detected by the Commission. Decisions in these tables refers to instances where the Commission identifies non-compliance with the Quality Standards following a service being fully compliant. Detection rates are shown as a percentage of quality activities with finalised decisions as at 31 July 2020. Complaints data is extracted as at 31 July 2020 and may change as the data is updated. Provider approvals, compliance and compulsory reporting data is extracted as at 27 July 2020 and may change as the data is updated.



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