

Aged Care Quality and Safety Commission

Sector performance report

October – December 2020

Note on impact of COVID-19

Data for this reporting period reflects adjustments made throughout the year (from 16 March 2020) to the Commission's regulatory program in response to the COVID-19 pandemic.

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

The Commission has continued to be responsive to unfolding events (for example, targeting activities to outbreaks in November and December). Accordingly, these changes are reflected in this sector performance report.



Australian Government
Aged Care Quality and Safety Commission

Engage
Empower
Safeguard

Compliance and enforcement

October – December 2020



Effective compliance and enforcement actions are an important part of the broader functions of the Commission that aim to protect and enhance the safety, health, wellbeing and quality of life of aged care consumers.

Where the Commission is satisfied a provider is not meeting its responsibilities, it may issue directions describing the actions to be taken by the provider (and the timeframes within which those actions must be taken). These directions may be about its compliance with the Aged Care Quality Standards or in relation to a complaint. If the provider fails to comply with this direction, further action may be taken against the provider.

Where 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.



Compliance and enforcement

October – December 2020

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.

For more information about how the Commission carries out its compliance and enforcement responsibilities, please refer to the Commission's Compliance and Enforcement Policy on our [website](#).

TABLE 1

Number of notices issued and enforcement decisions

	NSW	VIC	QLD	SA	WA	TAS	NT	ACT	AUS
Directions* issued	35	15	27	12	5	2	4	0	100
Non-compliance notices	11	4	4	2	0	0	0	0	21
<i>Notices to remedy</i>	12	4	4	1	0	0	0	0	21
Notices to agree	3	0	1	2	0	0	0	0	6
Sanctions	7	1	1	0	0	0	0	0	9

* Includes: Directions to revise plan for continuous improvement (where there is non-compliance with the Aged Care Quality Standards, the Commission issues a Direction to revise the plan for continuous improvement for the service. The revised plan must be given to the Commission.) and Complaints Directions (when undertaking a complaints resolution process, if the Commission is concerned that a provider is not complying with its responsibilities, it will notify the provider of these concerns and provide them with an opportunity to respond.)

TABLE 2

Number of accreditation and revocation decisions

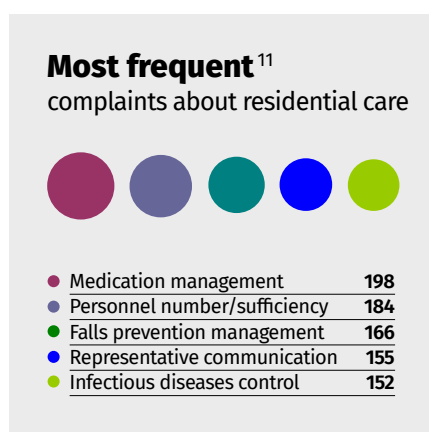
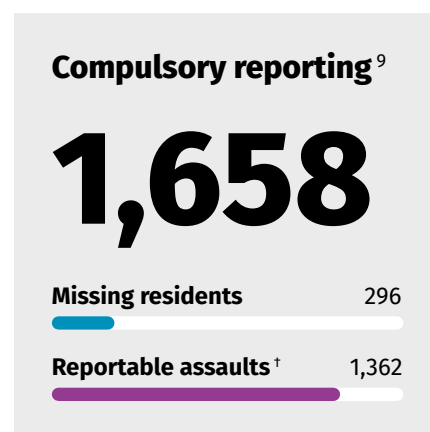
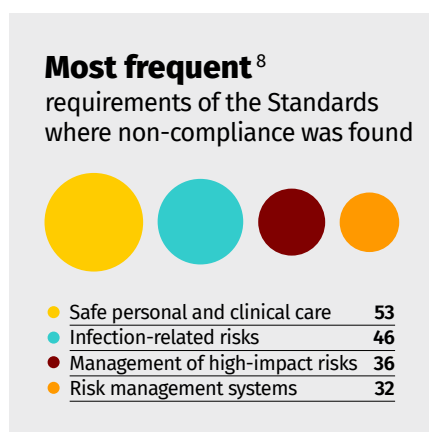
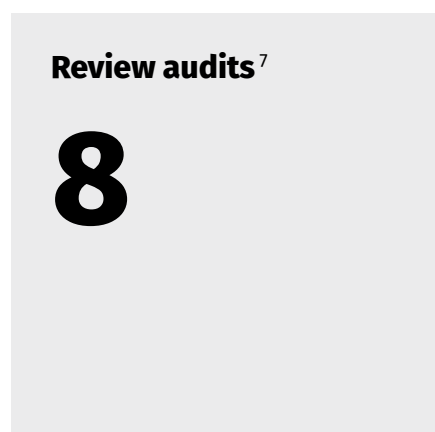
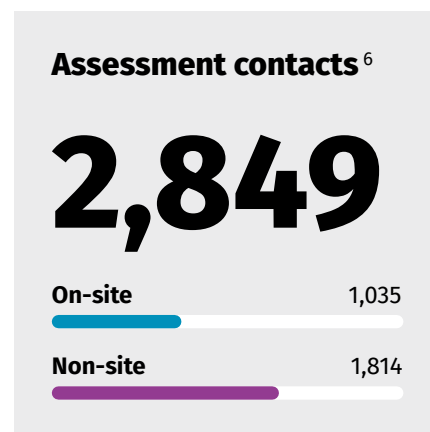
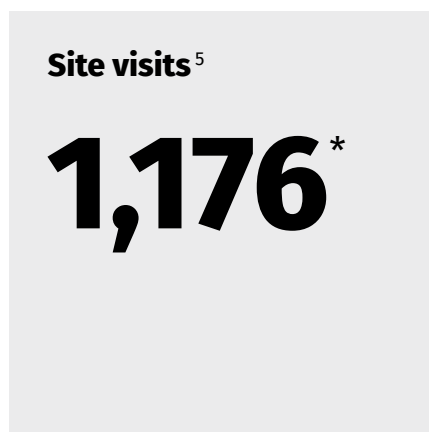
	NSW	VIC	QLD	SA	WA	TAS	NT	ACT	AUS
Number of services subject to shortened accreditation period (less than 3 years)*	22	5	11	1	4	1	0	1	45
Decisions not to accredit	1	0	0	0	0	0	0	0	1
Accreditation revoked	0	0	0	0	0	0	0	0	0
Approved provider status revoked	0	0	0	0	0	0	0	0	0

* "Shortened accreditation" refers to site audit or review audit decisions resulting in an accreditation period of less than 3 years.



Residential care sector performance

October – December 2020



* This figure is a combination of assessment contacts (on-site), site audits and review audits.

† Number of reported allegations or suspicions of serious physical assault, sexual assault, and a combination of serious physical and sexual assault.



Residential care sector performance

October – December 2020

TABLE 3

Residential care

	NSW	VIC	QLD	SA	WA	TAS	NT	ACT	AUS
Number of services at reporting date located in major cities	563	480	280	160	202	0	0	26	1,711
Number of services at reporting date classified as regional	309	286	183	81	39	67	5	0	970
Number of services at reporting date classified as remote and very remote	6	2	13	2	6	5	7	0	41
Total number of services as at reporting date	878	768	476	243	247	72	12	26	2,722

TABLE 4

Number of quality monitoring activities by state/territory

	NSW	VIC	QLD	SA	WA	TAS	NT	ACT	AUS
Assessment contacts	1,609	468	144	455	113	24	0	36	2,849
Number of Assessment contacts on-site	400	250	109	166	100	5	0	5	1,035
<i>Infection control monitoring assessment contacts on-site*</i>	397	250	109	160	96	4	0	4	1,020
Number of assessment contacts non-site	1,209	218	35	289	13	19	0	31	1,814
<i>Infection control monitoring assessment contacts non-site*</i>	856	0	0	241	0	0	0	26	1,123
Site audits	46	24	24	13	16	8	0	2	133
Services accredited or reaccredited	33	36	35	4	10	6	1	1	126
Review audits	2	4	2	0	0	0	0	0	8

* Infection control monitoring assessment contacts (site and non-site) are subsets of the total number of site and non-site assessment contacts.



Residential care sector performance

October – December 2020

During the October to December 2020 quarter, 120 residential care services were found to be non-compliant against at least one Aged Care Quality Standard. The below table shows how many services were non-compliant against each of the Aged Care Quality Standard, noting a single service may be non-compliant against more than one Aged Care Quality Standard.

TABLE 5

Number of services found to be non-compliant with each of the Aged Care Quality Standards

	Jul-Sep 2020	Oct-Dec 2020
Standard 1: Consumer dignity and choice	21	20
Standard 2: Ongoing assessment and planning with consumers	49	36
Standard 3: Personal care and clinical care	75	103
Standard 4: Services and supports for daily living	12	22
Standard 5: Organisation's service environment	16	28
Standard 6: Feedback and complaints	12	21
Standard 7: Human resources	28	45
Standard 8: Organisational governance	49	52



Residential care sector performance

October – December 2020

TABLE 6

Number of times services did not comply with the requirements of the Aged Care Quality Standards (top 10)

	Jul-Sep 2020	Oct-Dec 2020
High-impact or high-prevalence risks managed effectively [3 (3) (b)]	49	36
Safe and effective personal and clinical care [3 (3) (a)]	52	53
Risk management systems and practices [8 (3) (d)]	40	32
Safe and effective care and services [2 (3) (a)]	44	26
Effective organisation wide governance systems [8 (3) (c)]	14	26
Regular reviews of care and services [2 (3) (e)]	36	24
Number and mix of workforce [7 (3) (a)]	20	27
Clinical governance framework [8 (3) (e)]	36	27
Infection risk management and appropriate antibiotic prescribing [3 (3) (g)]	45	46
Recognition and response to deterioration [3 (3) (d)]	10	19

This table displays the number of times a decision of non-compliance was made against this requirement.

The brackets in the table above refer to the requirements for individual Standards – for example [1 (3) (a)] refers to Standard 1, requirement 3a.

More information about the Standards can be found on our website. agedcarequality.gov.au/providers/standards

TABLE 7

Complaints about residential care

	NSW	VIC	QLD	SA	WA	TAS	NT	ACT	AUS
Number of complaints received during the period	446	425	264	160	112	39	4	11	1,461
	Major cities		Inner regional		Regional/remote/very remote		Service not identified		AUS
Number of complaints received during the period	984		349		122		6		1,461



Residential care sector performance

October – December 2020

TABLE 8

Most frequent complaint issues received about residential care

	RANK	NUMBER
Medication management	1	198
Personnel number/sufficiency	2	184
Falls prevention management	3	166
Representative communication	4	155
Infectious diseases control	5	152

TABLE 9

Compulsory reports

	NSW	VIC	QLD	SA	WA	TAS	NT	ACT	AUS
Number of reports of missing residents	84	69	65	34	35	6	0	3	296
Number of reportable assaults*	434	290	301	174	89	40	8	26	1,362
Total number of compulsory reports	518	359	366	208	124	46	8	29	1,658

* Includes number of reported allegations or suspicions of serious physical assault, sexual assault, and a combination of serious physical and sexual assault. Reports include alleged, suspected and witnessed incidents, demonstrating a wide range of severity and impact on residents. This data also includes reports submitted by discretion under Section 53 of the *Accountability Principles 2014*.

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

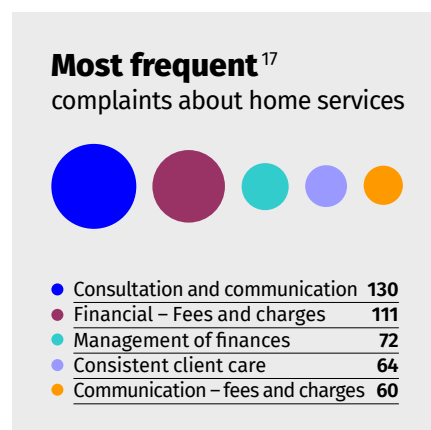
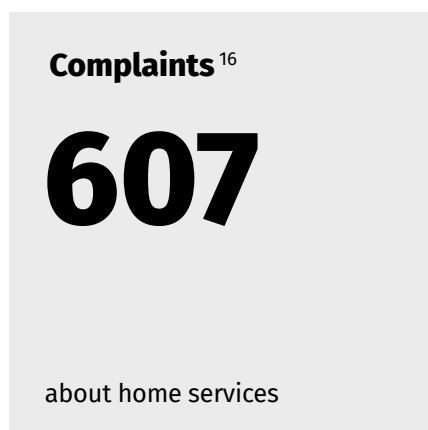
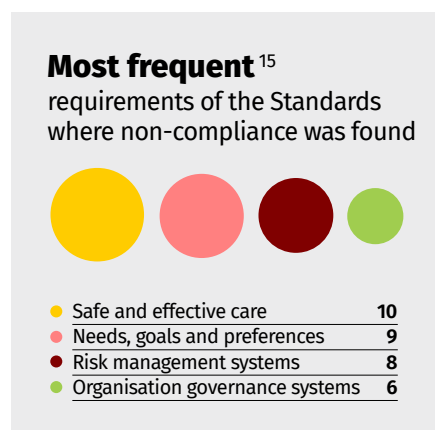
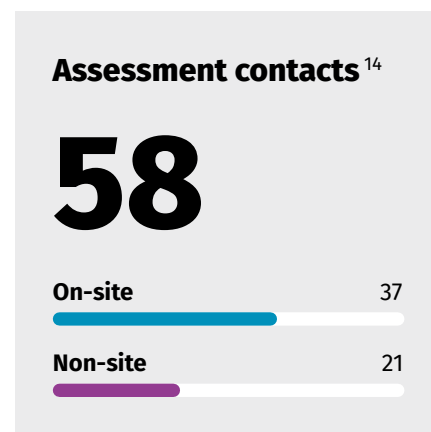
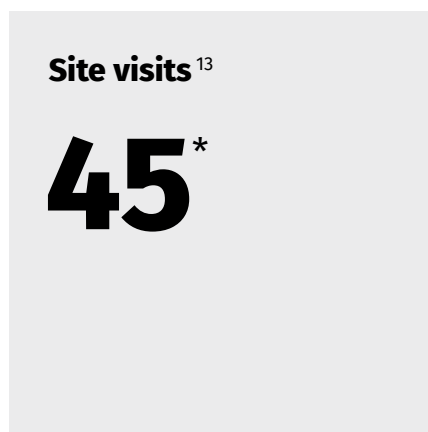
The law also requires service providers to report that a resident is absent without explanation (also known as a missing resident).

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.



Home services sector performance

October – December 2020



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



Home services sector performance

October – December 2020

TABLE 10

Home services *

	NSW	VIC	QLD	SA	WA	TAS	NT	ACT	AUS
Number of services at reporting date located in major cities	417	276	243	133	96	0	0	32	1,197
Number of services as at reporting date classified as regional	322	197	245	44	31	71	29	1	941
Number of services as at reporting date classified as remote and very remote	7	2	47	14	10	1	47	0	128
Total number of services at reporting date	746	475	535	191	137	72	76	33	2,266

* Home services (Help at Home) include Home Care Packages and Commonwealth Home Support Programme. Location is based on the service provider's registered address as at reporting date. Some service providers may deliver care and services in regions outside their registered address.

TABLE 11

Number of assessment and/or audit activities by state/territory

	NSW	VIC	QLD	SA	WA	TAS	NT	ACT	AUS
Assessment contacts	22	8	4	19	2	2	1	0	58
<i>Number of assessment contacts on-site</i>	17	0	4	11	2	2	1	0	37
<i>Number of assessment contacts non-site</i>	5	8	0	8	0	0	0	0	21
Quality audits	1	0	0	7	0	0	0	0	8

* Assessment contacts (site and non-site) are subsets of the total number of assessment contacts.



Home services sector performance

October – December 2020

During the October to December 2020 quarter, 25 home care services were found to be non-compliant against at least one Aged Care Quality Standard. The below table shows how many services were non-compliant against each of the Aged Care Quality Standards, noting a single service may be non-compliant against more than one Aged Care Quality Standard.

TABLE 12

Number of services found to be non-compliant with each of the Standards

	Jul-Sep 2020	Oct-Dec 2020
Standard 1: Consumer dignity and choice	2	2
Standard 2: Ongoing assessment and planning with consumers	3	16
Standard 3: Personal care and clinical care	5	7
Standard 4: Services and supports for daily living	1	2
Standard 5: Organisation's service environment*	0	0
Standard 6: Feedback and complaints	1	2
Standard 7: Human resources	2	6
Standard 8: Organisational governance	2	13

* Standard 5 applies to the physical service environment that the organisation provides for residential care, respite care and day therapy centres. It does not apply to home care services where the environment is the consumer's home. It also does not apply to other environments that consumers visit, such as bowling clubs or libraries.



Home services sector performance

October – December 2020

TABLE 13

Number of times services did not comply with the requirements of the Aged Care Quality Standards (top 10)

	Jul-Sep 2020	Oct-Dec 2020
Effective organisation wide governance systems [8 (3) (c)]	2	6
Safe and effective care and services [2 (3) (a)]	2	10
Regular reviews of care and services [2 (3) (e)]	3	5
Current needs, goals and preferences [2 (3) (b)]	2	9
Risk management systems and practices [8 (3) (d)]	1	8
High-impact or high-prevalence risks managed effectively [3 (3) (b)]	4	5
Communication of assessment and planning outcomes [2 (3) (d)]	3	5
Recruitment training and support for workforce [7 (3) (d)]	1	5
Safe and effective personal and clinical care [3 (3) (a)]	3	5
Sharing information to optimise care [3 (3) (e)]	3	2

This table displays the number of times a decision of non-compliance was made against this requirement.

The brackets in the table above refer to the requirements for individual Standards – for example [1 (3) (a)] refers to Standard 1, requirement 3a.

More information about the Standards can be found on our website. agedcarequality.gov.au/providers/standards



Australian Government

Aged Care Quality and Safety Commission

Home services sector performance

October – December 2020

TABLE 14

Complaints about home services *

	NSW	VIC	QLD	SA	WA	TAS	NT	ACT	AUS
Number of complaints received about home services	200	184	128	31	41	8	5	10	607
	Major cities		Inner regional		Regional/remote/very remote		Service not identified		AUS
Number of complaints received during the period	272		81		41		213		607

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

TABLE 15

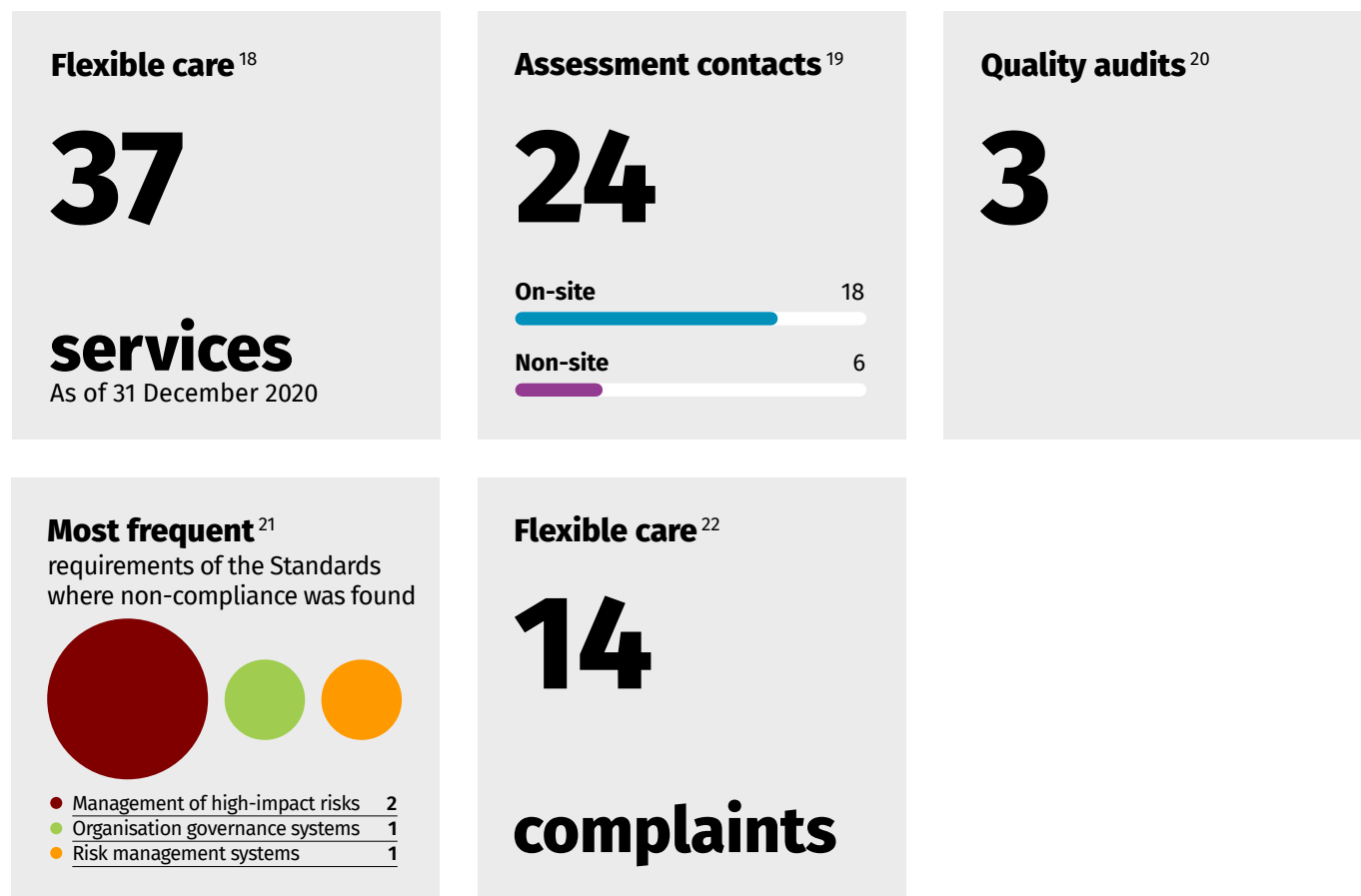
Most frequent complaint issues received about home services

	RANK	NUMBER
Consultation and communication	1	130
Financial – Fees and charges	2	111
Management of finances	3	72
Consistent client care	4	64
Communication – fees and charges	5	60



Flexible care sector performance

October – December 2020



National Aboriginal and Torres Strait Islander Flexible Aged Care Programme (NATSIFACP)

A programme to provide quality, flexible and culturally appropriate aged care to older Aboriginal and Torres Strait Islander people close to their home and community.

Flexible Care

The type of care provided in a residential or community setting through an aged care service that addresses the needs of people receiving care in alternative ways to the care provided through residential care services and home care services. This includes services provided through Short-Term Restorative Care, Transition Care, Innovative Care or Multi-purpose services. Monitoring of STRC is reported as part of the Commission's residential and home services quality monitoring activities, depending on the setting.



Flexible care sector performance

October – December 2020

TABLE 16

Number of National Aboriginal and Torres Strait Islander Flexible Aged Care Programme services (NATSIFACP)

	NSW	VIC	QLD	SA	WA	TAS	NT	ACT	AUS
Number of services at reporting date located in major cities	0	1	1	1	0	0	0	0	3
Number of services as at reporting date classified as regional	2	1	2	2	0	3	4	0	14
Number of services as at reporting date classified as remote and very remote	0	0	3	3	4	0	10	0	20
Total number of services as at reporting date	2	2	6	6	4	3	14	0	37

TABLE 17

Number of NATSIFACP quality and monitoring activities by state/territory

	NSW	VIC	QLD	SA	WA	TAS	NT	ACT	AUS
Assessment contacts	2	1	6	4	0	0	11	0	24
<i>Assessment contacts on-site</i>	2	1	4	3	0	0	8	0	18
<i>Assessment contacts non-site</i>	0	0	2	1	0	0	3	0	6
Quality audits	0	0	1	0	1	0	1	0	3



Flexible care sector performance

October – December 2020

During the October to December 2020 quarter, 3 NATSIFACP services were found to be non-compliant against at least one Aged Care Quality Standard. The below table shows how many services were non-compliant against each of the Aged Care Quality Standards, noting a single service may have non-compliance against more than one Aged Care Quality Standard.

TABLE 18

Number of NATSIFACP services found to be non-compliant with each of the Aged Care Quality Standards

	Jul-Sep 2020	Oct-Dec 2020
Standard 1: Consumer dignity and choice	0	0
Standard 2: Ongoing assessment and planning with consumers	0	0
Standard 3: Personal care and clinical care	0	2
Standard 4: Services and supports for daily living	0	0
Standard 5: Organisation's service environment	0	2
Standard 6: Feedback and complaints	0	0
Standard 7: Human resources	0	0
Standard 8: Organisational governance	0	2



Flexible care sector performance

October – December 2020

TABLE 19

Number of times NATSIFACP services did not comply with the requirements of the Aged Care Quality Standards

	Jul-Sep 2020	Oct-Dec 2020
High-impact or high-prevalence risks managed effectively [3 (3) (b)]	0	2
Effective governance systems [8 (3) (c)]	0	1
Competent, qualified and knowledgeable workforce [7 (3) (c)]	0	0
Safe and effective care and services [2 (3) (a)]	0	0
Clinical governance framework [8 (3) (e)]	0	0
Communication of assessment and planning outcomes [2 (3) (d)]	0	0
Workforce performance assessment, monitoring and review [7 (3) (e)]	0	0
Regular reviews of care and services [2 (3) (e)]	0	0
Risk management systems and practices [8 (3) (d)]	0	1
Planning in partnership with the consumer [2 (3) (c)]	0	0

This table displays the number of times a decision of non-compliance was made against this requirement.

The brackets in the table above refer to the requirements for individual Standards – for example [1 (3) (a)] refers to Standard 1, requirement 3a.

More information about the Standards can be found on our website. agedcarequality.gov.au/providers/standards

TABLE 20

Complaints about flexible care services *

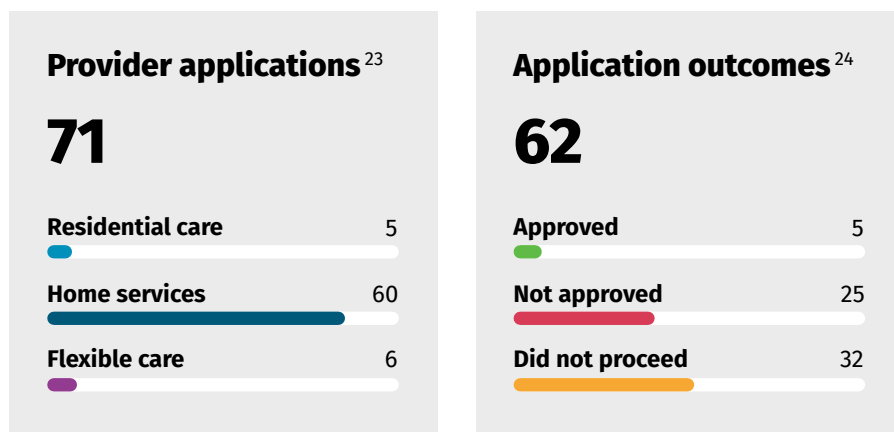
	NSW	VIC	QLD	SA	WA	TAS	NT	ACT	AUS
Number of complaints received about flexible care services	7	2	1	1	1	0	2	0	14

* Complaints about flexible care services includes national Aboriginal and Torres Strait Islander flexible care programs, short term restorative care, multi-purpose services, flexible transition care and undetermined cases



Provider approvals

October – December 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 approvals

October – December 2020

TABLE 21

Provider applications*

	OCT	NOV	DEC	TOTAL
Residential care	2	3	0	5
Home services	19	22	19	60
Flexible care	3	0	3	6

* An application may be for more than one care type. Total numbers for this table may not equal applications received figure in Table 22.

TABLE 22

Application outcomes

	OCT	NOV	DEC	TOTAL
Applications received	21	24	19	64
Applications approved [†]	2	0	3	5
Applications not approved [‡]	11	5	9	25
Applications that did not proceed [§]	15	5	12	32

† 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.





Infographic footnotes

- 1 Refer to Table 1
- 2 Refer to Table 1
- 3 Refer to table 1
- 4 Refer to Table 3
- 5 Refer to Table 4
- 6 Refer to Table 4
- 7 Refer to Table 4
- 8 Refer to Table 6
- 9 Refer to Table 9
- 10 Refer to Table 7
- 11 Refer to Table 8
- 12 Refer to Table 10
- 13 Refer to Table 11
- 14 Refer to Table 11
- 15 Refer to Table 13
- 16 Refer to Table 14
- 17 Refer to Table 15
- 18 Refer to Table 16
- 19 Refer to Table 17
- 20 Refer to Table 17
- 21 Refer to Table 19
- 22 Refer to Table 20
- 23 Refer to Table 21
- 24 Refer to Table 22

The Commission is developing a range of reports, and plans to provide more information and analysis in the future, including trends and rates of compliance.



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Write

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