

**The Chinese University of Hong Kong  
The Nethersole School of Nursing  
CADENZA Training Programme**

**CTP 005: Community and Residential Care for  
Older People**

**Web-based Course for  
Professional Social and Health Care Workers**

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# **Chapter 10**

## **Reviewing residential care assessment and quality assurance initiatives in long- term care**

# Lecture Outline

- n Define “Quality”, “Quality assurance”
- n Current quality assessment methods for residential care homes in Hong Kong
  - q Licensing Office of Residential Care Homes for the Elderly (**LORCHE**)
  - q Service Performance Monitoring System by Social Welfare Department
  - q International organisation for standardization (ISO)
  - q Accreditation system for residential care services for the older people in Hong Kong
- n Comparison of quality assurance for long term care with other countries
- n Conclusion

# Introduction

- n The ageing population produces a great demand for residential care home places.
- n Quality of life and quality of care are two important concerns that are often addressed when reviewing residential care policies.
- n The licensing scheme in Hong Kong covers the basic requirements to operate a residential care home for the elderly (RCHE).

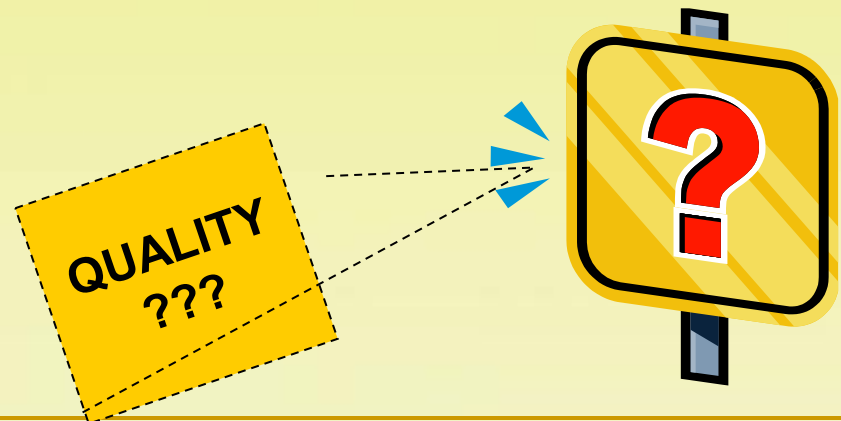
- n Meeting the basic requirements does not mean a home can provide *quality of care* to maximise *quality of life* for the residents.
- n Ensuring 'quality' in RCHE remains a worldwide issue.



- n In a 2002-03 study in the United States, only 68% of RCHEs met at least 50% of the National Minimum Standards established by the Care Standards Act of 2000 and only 60% met the quality of life standards.

(Wiener et al., 2007).

# WHAT IS MEANT BY "QUALITY"???





- n Strictly speaking, there is no definite answer to this question.
- n *'Quality'* is uniquely measured by each individual's heart and mind.
- n It is subjective in feelings and in perceptions, but despite its ambiguities, it is a very important concept to implement in a healthcare setting as a benchmark for service.



# Definition of 'Quality'

**“It is  
the ongoing process  
of building and  
sustaining relationships  
by assessing,  
anticipating, and  
fulfilling stated and  
implied needs.”**

**A strategic,  
systems approach  
to  
continuous  
improvement**

**Quality is doing the correct things precisely  
and is distinctively defined by each individual.**

# Definition of 'Quality Assurance'

•An organised monitoring and evaluation programme for various aspects of a project, service, or facility to guarantee the quality or standards.

**A course of action that ensures that processes are followed, that the processes have been done in right way with the right things. Correction or adjustment will be executed for any failure in the procedures or performance until it is resolved to meet the satisfactory quality.**

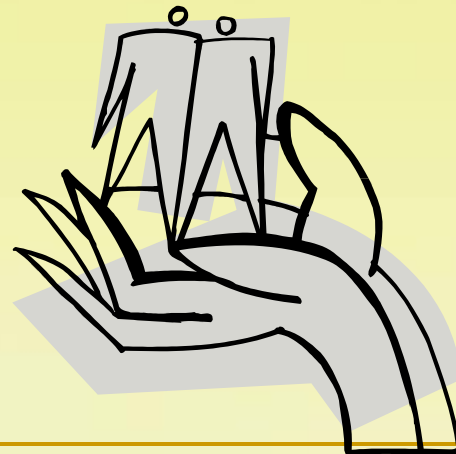
- n There are all sorts of definitions pertaining to 'Quality' and 'Quality Assurance'.
- n In healthcare services, one of the best known definitions comes from Donabedian's three distinct aspects of quality of care: structure, process and outcome.

# Donabedian's quality of care

- n Donabedian's model is based on the idea that a desirable **outcome** is more likely happens if the structural arrangements meet adequate **standards**
- n A good outcome is also more likely if the **processes** used follow recognized protocols

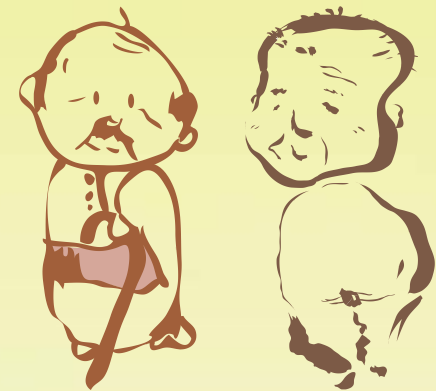
(Donabedian & Bashshur, 2003)

Since quality is so difficult to define, therefore, in residential care settings, the focus of quality assessment and quality assurance should be based on resident outcomes, rather than the service outcomes.



Currently, the admission of older people to subvented aged homes is guarded by the Standardised Care Needs Assessment Management Offices (SCNAMOs). This guarantees that the older people being admitted really need to be cared for in institutions.

- n Consequently, these particular older people may become more functionally impaired and require more intense help. Therefore, quality monitoring within RCHEs becomes more urgent and more systematic.





- n All RCHEs in Hong Kong, no matter if they are receiving government subsidies or privately run, must be licensed under the Ordinance of Residential Care Homes (Elderly Persons).
- n The Ordinance ensures the homes provide physical, emotional and social services to residents that are of **acceptable standards**.

- n The Licensing Office Residential Care Homes for the Elderly (**LORCHE**) was established by Social Welfare Department in April 1995 to **enforce** the said Ordinance and to **provide guidance and advice** to operators of all RCHEs to comply with the licensing requirements continuously in the relevant Ordinance, Subsidiary Regulations and Code of Practice.

(Social Welfare Department, 2009)

# LORCHE

- n LORCHE comprises of four professional inspectorate teams to conduct inspection and to ensure RCHEs can achieve the licensing standards:
  - The Fire Safety
  - Building Safety
  - Health and Care
  - Social Work

(Social Welfare Department, 2009)



- n In order to **improve** and **upgrade** the standard and **quality** of RCHEs, LORCHE also:
  - q Promotes various staff training, subsidises and approves different health worker training courses.
  - q Initiates Enhanced Bought Place Scheme (EBPS) to supply quality subsidised places and provide financial incentives for private RCHEs to raise the quality of their accommodation, staffing and health care services to a higher standard than licensing requirements require.
  - q Conducts research on the development and establishment of an accreditation system tailor-made for RCHEs in Hong Kong.



- q Disseminates information on RCHEs to the public
- q Steps up prosecution against non-compliant RCHEs
- q Promotes implementation of Service Quality Standards (SQS) in subvented RCHEs.
- q Enhances computer system on RCHEs to achieve more effective monitoring of services and
- q Conducts regular review of the Code of Practice for Residential Care Homes (Elderly Persons)

# Service Performance Monitoring System (SPMS)

- n The service performance is assessed under :
  - q Funding and Service Agreements (FSAs)
  - q Service Quality Standards (SQS)

(Social Welfare Department, 2012a;  
Social Welfare Department, 2012b)

# Service Performance Monitoring System (SPMS)

To maintain the quality of subsidised RCHEs, NGOs operating subvented services have to follow the Service Performance Monitoring System (SPMS) established by the SWD.

SPMS is aimed at providing more efficient, customer-focused, accountable and output-driven welfare services.

(Social Welfare Department, 2012a;  
Social Welfare Department, 2012b)



# Funding and Service Agreements (FSAs)

- n FSA and the Service Documents (SDs) are obligatory agreements between SWD and the service providers. Both parties are compelled to monitor the terms of the respective agreements for different services as set out in the documents.

(Social Welfare Department, 2011b)

For each service type, the service operators are required to meet the performance standards laid down in the FSA, including:

- q Output and Outcome Standard
- q Essential Service Requirements (ESR)
- q Service Quality Standards (SQSs)

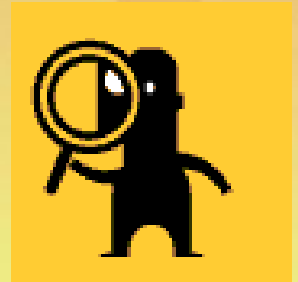


# Output Standards (OS)

Output standards are quantitative measures of key activities related to the service provision, such as the achievement rate of the individual care plans, number of organised activities, etc.

(Social Welfare Department, 2011c)

# Outcome standards (OC)



- n For some service types, a set of Outcome Standards are specified in the FSA.
- n Outcome Standards measure the effectiveness of the service, such as the improvement in support networks, enhanced ability in handling family issues, decrease in stress levels after attending programmes, etc.

(Social Welfare Department, 2011d)

# Essential Service Requirements (ESR)

- n Essential Service Requirements (ESR) in the FSA specify some basic features of the infrastructure for the service provision, such as staff qualification, availability of appropriate equipment, opening hours etc..

(Social Welfare Department, 2011a)

# Service Quality Standards (SQS)

- n Service Quality Standards (SQS) are the level of **management** and **service provision** that the service units are expected to achieve.
- n There are **four** principles which set out the **core values** of the welfare services.

(Social Welfare Department, 2010)

# The four principles of SQS

- n Clearly describes the aims and objectives of the service with transparent delivery to the public.
- n Manage resources effectively with flexibility, innovation and continuous quality improvement.
- n Identify and respond to specific service users' needs.
- n Respect the rights of service users.



- n A set of Criteria and Assessment Indicators are specifically illustrated in each of the 16 SQSs. Please visit Social Welfare Department for details:

[http://www.swd.gov.hk/doc/ngo/\\_SQSs%20and%20Criteria%20\(Dec%2001\)\(Eng\).pdf](http://www.swd.gov.hk/doc/ngo/_SQSs%20and%20Criteria%20(Dec%2001)(Eng).pdf)

# Assessment Methodology

Four types of assessment methodology:

1. Self-assessment of ESRs and SQSs
2. Statistical Reporting
3. Review Visit
4. On-site Assessment

(Social Welfare Department, 2012a)

# 1. Self-assessment of ESRs and SQSs

- n A self-assessment annual report is submitted by the service providers to the SWD yearly to report on compliance with the ESRs and SQSs, and the action plans to improve standards that fail to comply.
  
- n **Self assessment checklist for 16 SQS, please visit:**  
[http://www.swd.gov.hk/doc/ngo/Self-assessment%20Checklist%20for%20the%2016%20SQSs%20\(Dec%2001\).RTF](http://www.swd.gov.hk/doc/ngo/Self-assessment%20Checklist%20for%20the%2016%20SQSs%20(Dec%2001).RTF)
  
- n **Self assessment form for ESR, please visit:**  
[http://www.swd.gov.hk/en/index/site\\_ngo/page\\_serviceper/sub\\_serviceper/id\\_essentials/](http://www.swd.gov.hk/en/index/site_ngo/page_serviceper/sub_serviceper/id_essentials/)

## 2. Statistical Reporting

- n Statistical reporting was submitted in periodic intervals, on the achievement at Output Standards and/or Outcome Standards in a format set by SWD.



### 3. Review Visit

- n Review visit is a scheduled visit by SWD; random surprise visits are undertaken for general quality assurance purposes.
- n Under the risk management approach, a number of service units would be chosen for each service operator to receive the visit.
- n Service users' feedback will be systematically collected directly at the visits.

(Social Welfare Department, 2012a)



## 4. On-site assessment

- n Onsite assessment is a purposeful visit by SWD, usually at a short notice or even unannounced.
- n Usually it is given to new service units or those identified with, or suspected of, problem areas in service performance.

(Social Welfare Department, 2012a)

What is the role  
of the Hospital Authority?

What is the role  
of the Department of Health?

# Hospital Authority



- n The Community Geriatric Assessment Team (CGAT) was established by the Hospital Authority.
- n One of the objectives of CGAT is to provide quality healthcare to the residents in RCHEs and to improve resident's quality of life.



# Department of Health

- n The Visiting Health Team from the Department of Health is responsible to provide training to the staff in RCHEs to enhance their health knowledge and skills in caring for the older people.



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Since SPMS is only applicable to subvented RCHEs, in order to assess the quality standards of privately run residential homes, some private home managers use ISO as the assessment tool.

# International Organization for Standardization (ISO)

- n The world's largest developer and publisher of international standards.
- n Network of the national standards institutes of 157 countries, one member per country.
- n Central secretariat in Geneva

(International Organization for Standardization, 2010)



- n However, ISO is not intended to be clinically specific for residential homes care services.
- n In view of this, a tailor-made accreditation system for RCHEs in Hong Kong was set up by the Hong Kong Association of Gerontology (HKAG).

# What is “Accreditation”

- n Accreditation is defined as ‘to certify as meeting certain set standards.’

visit for details:

<http://www.accreditation.org.au/accreditation/accreditationoverview/>

- n An accreditation system may lead to improvements in quality of care, especially in specific processes and operating environment.
- n To enhance the standards of residential homes, many countries have adopted different accreditation systems.

- n In 2002, HKAG pioneered a 2-year 'Pilot Project on Accreditation System for Residential Care Services for the Elders in Hong Kong' which was recommended by the SWD and supported by Lotteries Fund Advisory Committee funding.
- n Accreditation is on a voluntary basis and is similar to the accreditation system used in Australia.



# Pilot Project on Accreditation System for Residential Care Services for the Elders in Hong Kong

- n The objectives of the Pilot Project were:
  - q to set up a system of voluntary accreditation for RCHEs in Hong Kong
  - q to promote the quality of care through the promulgation of the quality process and outcome monitoring in residential care services for the elderly
  - q to define the cost of the accreditation mechanism and the future charging mechanism of the voluntary accreditation.
  - q to serve as a service quality reference benchmark

(The Hong Kong Association of Gerontology, 2004)

# Accreditation System for Residential Care Services for the Elders in Hong Kong

- n There are 28 standards categorised under four domains in the core instrument:  
1. Governance; 2. Environment; 3. Service Flow and Care Process; 4. Information Management and Communication.
- n There are 12 standards in the supplementary instrument.



- n External audit in the form of a site visit lasts for 3 to 5 days and is done by trained assessors.
- n Accreditation status will be granted after consideration of a written report and the result of an oral presentation by the assessors.
- n RCHEs can appeal if they do not agree with the result.
- n The whole accreditation process usually takes about 6 months to complete.

# The 40 accreditation standards are :

## **Domain A: Governance**

- n Standard 1: Total quality management
- n Standard 2: Service ethics
- n Standard 3: Risk management
- n Standard 4: Purchase of service
- n Standard 5: Occupational safety and health

(The Hong Kong Association of Gerontology, 2004)

## **Domain B: Environment**

- n Standard 6: Environment and facilities
- n Standard 7: Provision of services
- n Standard 8: Food and environmental hygiene
- n Standard 9: Community partnership

(The Hong Kong Association of Gerontology, 2004)

## **Domain C: Service flow and care process**

- n Standard 10: Post-admission care
- n Standard 11: Medication management
- n Standard 12: Continence management
- n Standard 13: Skin care and bedsore prevention
- n Standard 14: Fall management
- n Standard 15: Feeding
- n Standard 16: Nutrition
- n Standard 17: Mobility assessment and management

(The Hong Kong Association of Gerontology, 2004)

- n Standard 18: Use of physical and chemical restraints
- n Standard 19: Transfer skills
- n Standard 20: Infection control
- n Standard 21: Cognitive, emotional, sensory and communication ability of residents
- n Standard 22: Pain management
- n Standard 23: Death and bereavement
- n Standard 24: Special nursing procedures
- n Standard 25: Psychological support and social care
- n Standard 26: Recreational and community activities

(The Hong Kong Association of Gerontology, 2004)

## **Domain D: Information management and communication**

- n Standard 27: Information management
- n Standard 28: Communication

(The Hong Kong Association of Gerontology, 2004)

## **Supplementary instrument**

- n Standard 29: Provision of information
- n Standard 30: Review and update policies and procedures
- n Standard 31: Records
- n Standard 32: Roles and responsibilities
- n Standard 33: Human resource management
- n Standard 34: Planning and evaluation

(The Hong Kong Association of Gerontology, 2004)

- n Standard 35: Financial management
- n Standard 36: Legal responsibilities
- n Standard 37: Safe environment
- n Standard 38: Entry and exit
- n Standard 39: Assessment of residents' needs
- n Standard 40: Protection of residents' rights

(The Hong Kong Association of Gerontology, 2004)



- n More than 50 RCHEs were awarded the certificate of accreditation by HKAG as at 31 August 2012.
- n Accreditation is still on a voluntary basis and has no connection to the Licensing Department of SWD.
- n In Australia, the introduction of the Aged Care Standards and Accreditation Agency in 1998 compelled RCHEs to obtain the accreditation in order to maintain their government funding.

(The Hong Kong Association of Gerontology, 2004)

# Another Accreditation system in Hong Kong:

The Quality Elderly Service Scheme (QESS) is organised by **Hong Kong Health Care Federation**.

- n The QESS began in 2009.
- n It is the first campaign to recognise excellent service providers in elderly related services in Hong Kong.
- n QESS offers recognition to those elderly service organisations which fulfill a prescribed assessment checklist and meet quality standards.
- n Eighteen RCHEs were accredited as at November 2012.

(Hong Kong Health Care Federation, 2012)

# What kind of elderly services will be assessed by QESS?

1. Day Care Centre for the Elderly
2. Residential Services for the Elderly
3. Elderly Home Care and Home Help Services
4. Elderly Equipment Services
5. Elderly Support Services

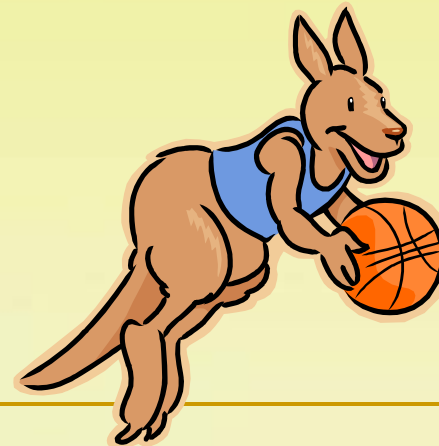
# Accreditation in Other Countries



- n The Resident Classification Scale is used as a **funding tool** in Australia to provide **an indication of care needs**, and is not concerned with assessment of the outcome and quality of care.



- n In Australia, **ALL** Commonwealth funded aged care facilities have to meet the accreditation standards. Consequently, a standard level of care and support from those aged care facilities is expected.



# Aged Care Standards and Accreditation Agency Ltd. in Australia

- n Performs the accreditation for residential homes.
- n The assessment usually takes about 2 to 3 days.
- n Accreditation is valid for up to 3 years.
- n Under the legislation, the RCHE must inform the residents and their carers when an accreditation audit is to be conducted.

(The Aged Care Standards and Accreditation Agency Ltd, 2008)

- n Government funding according to care needs and the monitoring of care by accreditation within Australian RCHEs are currently separate systems.
- n Increasing frailty of the residents may result in an increase in funding for residential care homes.
- n This will increase the difficulty of assessing the quality of care and the outcome of care in residential homes.



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There are different opinions and arguments concerning whether the accreditation system should be linked up with the assessment system for admission to residential care homes, or whether the accreditation system should be linked up with government funding.



- n In Australia, aged care providers must be accredited and meet minimum requirements in order to be licensed.
- n In Hong Kong, all RCHEs must be licensed under the Ordinance of Residential Care Homes (Elderly Persons) before operation.
- n Accreditation is on voluntary basis in Hong Kong and it may account for the great varieties of quality of care in the privately run aged homes.

- n In the United Kingdom, accreditation is also a compulsory requirement for the operation of RCHE.
- n Accreditation is actually part of the licensing procedure.
- n The Commission of Care Standards, an independent statutory body within the Social Care Policy Division of the Department of Health, performs the accreditation.

- n In the United States, accreditation is performed by the Joint Commission on Accreditation of Healthcare Organization (JCAHO).
- n It is on voluntary basis and it encourages the service providers to continuously improve on levels of safety and quality of care provided to the public.

# Conclusion

- n It is difficult to define “quality”, it is also difficult to sustain “quality”.
- n Licensing Department is the gatekeeper to maintain the minimal requirement.
- n To enhance standard and assure quality in residential homes in Hong Kong, a tailor-made quality assurance programme or accreditation system should be implemented.

- n The accreditation system should co-exist with the licensing department and serve to promote **continuous quality improvement**.
- n It should be standardised and serve both subvented homes and private homes.
- n No matter if the accreditation system is run by a government body or by a private organisation, a joint effort by both public and private sectors is important to maintain and improve the quality of the system.



- n The Hong Kong Association of Gerontology's Pilot Project on Accreditation System for Residential Care Services for Elders in Hong Kong is a starting point.



# In future

It is important to consider a more comprehensive accreditation body responsible for maintaining the quality standards of RCHEs - and most important of all, to motivate the service providers to maximise the quality of care and the quality of life for their residents through a quality assessment programme or system.





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