



## Residents' Council Interview Inspection Protocol

This IP contains 6 parts. The Inspector(s) must answer the questions in all six parts: (why answer only applicable questions; I thought all the questions are applicable)

- Part A - Residents' Council
- Part B - Assistant Duties
- Part C - Residents' Council Rights
- Part D - Residents' Council Powers
- Part E - Duty to Respond
- Part F - Satisfaction Survey (*if this is an alternative setting and there are no long-term care beds, skip this section*)

### Residents' Council President/Representative Interview Guideline

1. Introduce yourself and explain the inspection process and the purpose of the interview using the following concepts. It is not necessary to use the exact wording.  
*"[Name of home] is inspected periodically by a team from the Performance Improvement and Compliance Branch of the Ministry of Health and Long-Term Care to ensure that residents receive quality care. While we are here, we make observations, review the home's records and talk to the residents and family members or friends who can help us understand what it's like to live in this home. We appreciate that you are taking the time to talk with us. We would like to know more about the Residents' Council and interactions of the group and staff."*
2. At all times, be cognizant of resident confidentiality. The Inspector should ask permission from the Residents' Council President or representative to review the Residents' Council minutes and become familiar with some of the issues that have been discussed.
3. Follow up on any concerns that are within the scope of the long-term care requirements with reference to specific legislation identified on this worksheet. Further inspection should include interviews with appropriate staff members to determine how concerns are resolved. Team meetings will provide opportunities to share concerns and focus on particular problematic areas. Any potential concerns noted during the interview should be shared with all team members.
4. Use the space provided for notes and additional information obtained to determine the exact nature of any negative responses.
5. To interview begin with some discussion of issues that have been discussed during the most recent Council meeting and how the home has responded. For example, "I read in the minutes that you had discussed noise at night during the last meeting. Has the home responded to your concern?" or "During the last meeting, several participants brought up an issue with food being cold. Has that situation been resolved to your satisfaction?" This initial discussion of current issues before the Council may prove helpful to establish a rapport with the Residents' Council President (or representative) and help make the remainder of the interview more informative.

Information Gathering

**Residents' Council President/Representative Interview Notes**

Notes

### Part A: Residents' Council

## Residents' Council Interview Inspection Protocol

No.	Yes	No	N/A	Question	Act/Reg.
1.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Is a Residents' Council established in the home?	<b>s. 56 (1)</b>
Notes					

No.	Yes	No	N/A	Question	Act/Reg.
2.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	If invited by the Residents' Council, does the licensee or the corporate representative meet with the Council?	<b>s. 63</b>
Notes					

No.	Yes	No	N/A	Question	Act/Reg.
3.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Does staff attend Residents' Council meetings only when invited?	<b>s. 64</b>
Notes					

### Part B: Assistant Duties

No.	Yes	No	N/A	Question	Act/Reg.
4.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Has an assistant been appointed by the licensee to work with the Residents' Council?	<b>s. 58 (1)</b>
Notes					

No.	Yes	No	N/A	Question	Act/Reg.
5.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Is the assistant acceptable to the Residents' Council?	<b>s. 58 (1)</b>
Notes					

No.	Yes	No	N/A	Question	Act/Reg.
6.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	In carrying out his/her duties, does the assistant take instructions from the Residents' Council?	<b>s. 58 (2)</b>
Notes					

No.	Yes	No	N/A	Question	Act/Reg.
7.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	In carrying out his/her duties, does the assistant ensure confidentiality where requested?	<b>s. 58 (2)</b>
Notes					

No.	Yes	No	N/A	Question	Act/Reg.
8.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	In carrying out his/her duties, does the assistant report to the Residents' Council?	<b>s. 58 (2)</b>

## Residents' Council Interview Inspection Protocol

<b>Notes</b>	
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No.	Yes	No	N/A	Question	Act/Reg.
9.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Does the licensee prevent the Residents' Council assistant from entering the home to carry out his/her duties or otherwise hinder, obstruct or interfere with the assistant carrying out the duties? Does the licensee ensure that staff, including the Administrator and others involved in the home's management or operation does not do so?	<b>s. 65 (c) and (d)</b>

<b>Notes</b>	
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### Part C: Residents' Council Rights

No.	Yes	No	N/A	Question	Act/Reg.
10.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Are all residents aware of their right to participate in the Residents' Council?	<b>s. 3 (1) 20</b>

<b>Notes</b>	
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No.	Yes	No	N/A	Question	Act/Reg.
11.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Is a resident allowed to raise concerns or recommendations to the Residents' Council without fear of coercion, discrimination or reprisal, whether directed to the resident or anyone else?	<b>s. 3 (1) 17</b>

<b>Notes</b>	
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No.	Yes	No	N/A	Question	Act/Reg.
12.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Does the licensee interfere with the meetings or operation of the Residents' Council? Does the licensee ensure that staff, including the Administrator and others involved in the home's management or operation, does not do so?	<b>s. 65 (a) and (d)</b>

<b>Notes</b>	
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No.	Yes	No	N/A	Question	Act/Reg.
13.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Does the licensee prevent a member of the Residents' Council from entering the home to attend a meeting of the Residents' Council or to perform their duties or otherwise hinder, obstruct or interfere with the carrying out of those duties? Does the licensee ensure that staff, including the Administrator and others involved in the home's management or operation, does not do so?	<b>s. 65 (b) and (d)</b>

<b>Notes</b>	
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### PART D: Residents' Council Powers

No.	Yes	No	N/A	Question	Act/Reg.
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## Residents' Council Interview Inspection Protocol

14.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Does staff allow you to exercise the powers given to the Council without restriction? <i>(If Yes, skip to Question 29)</i>	<b>s. 57 (1) 1</b>
Notes					

No.	Yes	No	N/A	Question	Act/Reg.
15.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Does the licensee and staff, including the Administrator and others involved in the management or operation of the home, allow the Residents' Council to attempt to resolve disputes between the licensee and residents?	<b>s. 57 (1) 3</b>
Notes					

No.	Yes	No	N/A	Question	Act/Reg.
16.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Does the licensee and staff, including the Administrator and others involved in the management or operation of the home, allow the Residents' Council to sponsor and plan resident activities?	<b>s. 57 (1) 4</b>
Notes					

No.	Yes	No	N/A	Question	Act/Reg.
17.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Does the licensee and staff, including the Administrator and others involved in the management or operation of the home, allow the Residents' Council to collaborate with community groups and volunteers on resident activities?	<b>s. 57 (1) 5</b>
Notes					

No.	Yes	No	N/A	Question	Act/Reg.
18.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Does the licensee and staff, including the Administrator and others involved in the management or operation of the home, allow the Residents' Council to advise the licensee of any concerns and recommendations about the operation of the home?	<b>s. 57 (1) 6</b>
Notes					

No.	Yes	No	N/A	Question	Act/Reg.
19.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Does the licensee and staff, including the Administrator and others involved in the management or operation of the home, allow the Residents' Council to provide advice and recommendations to the licensee regarding residents' suggestions to improve care or the quality of life in the home?	<b>s. 57 (1) 7</b>
Notes					

No.	Yes	No	N/A	Question	Act/Reg.
20.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Does the licensee and staff, including the Administrator and others	<b>s. 57 (1) 8</b>

## Residents' Council Interview Inspection Protocol

				involved in the management or operation of the home, allow the Residents' Council to report directly to the Ministry of Health and Long-Term Care [Director] any concerns and recommendations?	
Notes					

No.	Yes	No	N/A	Question	Act/Reg.
21.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Does the licensee and staff, including the Administrator and others involved in the management or operation of the home, allow the Residents' Council to review the detailed allocation by the licensee of funding provided by the Minister and LHIN and amounts paid by residents to the home?	<b>s. 57 (1) 9 ii</b>
Notes					

No.	Yes	No	N/A	Question	Act/Reg.
22.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Does the licensee and staff, including the Administrator and others involved in the management or operation of the home, allow the Residents' Council to review the home's financial statements that were filed with the Ministry or LHIN?	<b>s. 57 (1) 9 iii</b>
Notes					

No.	Yes	No	N/A	Question	Act/Reg.
23.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Does the licensee and staff, including the Administrator and others involved in the management or operation of the home, allow the Residents' Council to review the operation of the home?	<b>s. 57 (1) 9 iv</b>
Notes					

No.	Yes	No	N/A	Question	Act/Reg.
24.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Does the licensee ensure that the Residents' Council reviews the meal and snack times?	<b>r. 73 (1) 2</b>
Notes					

### Part E: Duty to Respond

No.	Yes	No	N/A	Question	Act/Reg.
25.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Does the licensee respond in writing within 10 days of receiving Residents' Council advice related to concerns or recommendations?	<b>s. 57 (2)</b>
Notes					

No.	Yes	No	N/A	Question	Act/Reg.
26.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Does the licensee consult with the Residents' Council regularly and in any case at least every three months?	<b>s. 67</b>
Notes					

## Residents' Council Interview Inspection Protocol

No.	Yes	No	N/A	Question	Act/Reg.
27.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Does the licensee ensure that improvements made through the quality improvement and utilization review system to accommodations, care, services, programs, and goods provided to the residents are communicated to the Residents' Council?	<b>r. 228 (3)</b>
Notes					

### Part F: Satisfaction Survey

No.	Yes	No	N/A	Question	Act/Reg.
28.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Does the licensee seek the Residents' Council's advice in developing and carrying out the satisfaction survey and in acting on its results?	<b>s. 85 (3)</b>
Notes					

No.	Yes	No	N/A	Question	Act/Reg.
29.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Does the licensee document and share the results of the satisfaction survey in order to seek the Residents' Council's advice about the survey?	<b>s. 85 (4) a</b>
Notes					

Based on information collected during the inspection process, the Inspector may determine the need to select and further inspect 'other' related care/services areas. When this occurs, the Inspector will document reason(s) for further inspection in Ad Hoc Notes, select and complete 'other' relevant IPs related to the resident council interview:

- Admission Process
- Critical Incident Response
- Dignity, Choice, and Privacy
- Family Council Interview
- Prevention of Abuse, and Neglect
- Quality Improvement
- Reporting and Complaints
- Retaliation
- Safe and Secure Home
- Training, and Orientation



## Reporting and Complaints Inspection Protocol

<b>Record Review</b>			
Review the following LTC home records as appropriate: <ul style="list-style-type: none"> <li>• Complaints policies and procedures to determine compliance with ministry requirements including:               <ul style="list-style-type: none"> <li>- records of complaint received</li> <li>- complaint investigation</li> <li>- action taken for resolution</li> <li>- response to complainant</li> <li>- written complaints to the Director,</li> <li>- written report documenting the response made to the complainant and timelines</li> </ul> </li> <li>• Records related to the specific complaint received and actions taken by the licensee</li> </ul>			
			Information Gathering
			<b>Record Review</b>
Notes			

<b>Staff Interviews</b>			
Interview management staff and staff who provide direct care on various shifts where appropriate: <ul style="list-style-type: none"> <li>• Interview management staff to determine whether the licensee has written complaint procedures in place and implemented, consistent with ministry reporting requirements as outlined in the ACT and regulations.</li> <li>• Determine whether the licensee has provided training with clear directions to home staff in following reporting procedures, and how reporting practices are monitored, evaluated, and analyzed for improvement.</li> <li>• Interview front line staff to determine their understanding of and practice of the home's complaint procedures, when complaints regarding the care of a resident or operation of the home have been raised.</li> </ul>			
			Information Gathering
			<b>Staff Interviews</b>
Notes			

### Part A: Complaint Procedures in the LTC Home

No.	Yes	No	N/A	Question	Act/Reg.
1.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Does the licensee have written complaint procedures in place?	<b>r. 100</b>
Notes					

## Reporting and Complaints Inspection Protocol

No.	Yes	No	N/A	Question	Act/Reg.
2.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Has the complaint been investigated, resolved where possible; and response provided within 10 business days of receipt of the complaint (whether received verbally or in writing); and If the complaint alleged harm or risk of harm to one or more residents, has the investigation commenced immediately?	<b>r. 101 (1) 1</b>
Notes					

No.	Yes	No	N/A	Question	Act/Reg.
3.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	For the complaint that cannot be investigated and resolved within 10 business days: <ul style="list-style-type: none"> <li>• has an acknowledgement been provided within 10 business days of receipt of the complaint, including the date by which the complainant can reasonably expect a resolution, and</li> <li>• was a follow-up response made to the complainant as soon as possible in the circumstances?</li> </ul>	<b>r. 101 (1) 2</b>
Notes					

### Part B: Response to Complainant

No.	Yes	No	N/A	Question	Act/Reg.
4.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Has a response been made to the person who made the complaint, including <u>what the licensee has done to resolve the complaint?</u>	<b>r. 101 (1) 3 i</b>
Notes					

No.	Yes	No	N/A	Question	Act/Reg.
5.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Has a response been made to the person who made the complaint, including whether <u>the home believes the complaint to be unfounded and the reasons for the belief?</u>	<b>r. 101 (1) 3 ii</b>
Notes					

### Part C: Record kept by home, excluding verbal complaint(s) resolved within 24 hours

No.	Yes	No	N/A	Question	Act/Reg.
6.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Is there a record kept in the home <u>including the nature of each verbal or written complaint received?</u>	<b>r. 101 (2) (a)</b>
Notes					

## Reporting and Complaints Inspection Protocol

No.	Yes	No	N/A	Question	Act/Reg.
7.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Is there a record kept in the home <u>including the date the complaint was received</u> ?	<b>r. 101 (2) (b)</b>
Notes					

No.	Yes	No	N/A	Question	Act/Reg.
8.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Is there a record kept in the home including: <ul style="list-style-type: none"> <li>• the type of action taken to resolve the complaint, including:</li> <li>• the date of the action</li> <li>• time frames for actions to be taken and</li> <li>• any follow-up action required?</li> </ul>	<b>r. 101 (2) (c)</b>
Notes					

No.	Yes	No	N/A	Question	Act/Reg.
9.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Is there a record kept in the home including <u>the final resolution, if any</u> ?	<b>r. 101 (2) (d)</b>
Notes					

No.	Yes	No	N/A	Question	Act/Reg.
10.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Is there a record kept in the home including <u>every date on which any response was provided to the complainant and a description of the response</u> ?	<b>r. 101 (2) (e)</b>
Notes					

No.	Yes	No	N/A	Question	Act/Reg.
11.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Is there a record kept in the home including <u>any response made by the complainant</u> ?	<b>r. 101 (2) (f)</b>
Notes					

### Part D: Record for CQI purpose, excluding verbal complaint(s) resolved within 24 hours

No.	Yes	No	N/A	Question	Act/Reg.
12.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Has the record kept in the home been reviewed and analyzed for trends, at least quarterly?	<b>r. 101 (3) (a)</b>
Notes					

No.	Yes	No	N/A	Question	Act/Reg.
13.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Have the results of the review and analysis been taken into account in determining that improvements are required in the home?	<b>r. 101 (3) (b)</b>

## Reporting and Complaints Inspection Protocol

<b>Notes</b>	
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No.	Yes	No	N/A	Question	Act/Reg.
14.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Is there a written record kept of each review and the improvements made in response?	<b>r. 101 (3) (c)</b>

<b>Notes</b>	
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### Part E: Copy of written complaint and report to Director

No.	Yes	No	N/A	Question	Act/Reg.
15.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Has the licensee submitted to the Director: <ul style="list-style-type: none"> <li>• a copy of the written complaint that was received relating to a matter that the licensee reports (or reported) to the Director under section 24 (mandatory report) of the Act, and</li> <li>• a corresponding written report documenting the response the licensee made to the complainant?</li> </ul>	<b>r. 103 (1)</b>

<b>Notes</b>	
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No.	Yes	No	N/A	Question	Act/Reg.
16.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Did the licensee submit to the Director what is set out in Q15 immediately upon completing the licensee's investigation into the complaint or at an earlier date if required by the Director?	<b>r. 103 (2)</b>

<b>Notes</b>	
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Based on information collected during the complaint inspection, the inspector may determine the need to select and further inspect other related care/services areas. When this occurs, the inspector will document reasons for further inspection in ad hoc notes, select and complete other relevant IP's related to reporting and complaints:

- Admission Process
- Continence Care and Bowel Management
- Critical Incident Response
- Dignity, Choice, and Privacy
- Falls Prevention
- Infection, Prevention and Control
- Medication
- Minimizing of Restraining
- Nutrition and Hydration
- Pain
- Personal Support Services

## Reporting and Complaints Inspection Protocol

- Prevention of Abuse, and Neglect
- Quality Improvement
- Responsive Behaviours
- Retaliation
- Safe and Secure Home
- Skin and Wound Care
- Sufficient Staffing
- Training, and Orientation



## Quality Improvement Inspection Protocol

### PART A: Quality Improvement

#### Record Review/Interview

During the Entrance Conference, of any type of inspection, the inspector would request the following information about the homes 'continuous quality improvement' (CQI) and utilization review system in the home:

- Name of the CQI contact person
- Names of the CQI committee members who participated in evaluations (if any)
- Dates of CQI meetings
- Written description of the homes quality improvement and utilization review system
- Records of improvements made to the accommodation, care, services, programs and goods provided to the residents
- Satisfaction Survey results

The inspector interviews the contact person and reviews the information provided relevant to the homes continuous quality improvement' (CQI) and utilization review system to determine:

- Whether the home has developed and implemented a quality improvement and utilization review system and whether there is a written description of the system that includes its goals, objectives, policies, procedures, and protocols and a process to identify initiatives for review.
- Whether the system is ongoing and with interdisciplinary involvement
- Whether improvements made to the accommodations, care, services, programs, and goods provided to the residents are communicated to the Residents' Council and Family Council, if any, and staff of the home on an ongoing basis.
- Whether the home conducted satisfaction surveys at least annually for residents/SDM and families
- Whether the home made every reasonable effort to act on the results of the surveys and improve the home and the care, services, programs and goods
- Whether the home sought the advice of the Residents' Council and the Family Council, if any, to develop and carry out the survey, and act on its results
- Whether the records setting out the results of the survey and actions taken to improve the home, etc. are made available to residents and their families
- Whether the home records identify
  - results of the satisfaction surveys,
  - actions taken to improve the home and the care, services, programs and goods based on the satisfaction survey results ,
  - improvements made to the quality of accommodation, care, services, programs and goods as a result of the CQI system,
  - the names of persons who participated in CQI evaluations and the dates improvements implemented, and
  - the communication of improvements made as a result of the CQI system to the Residents' Council, Family Council, if any, and staff.

Information Gathering

**Record Review/Interview**

Notes

#### Resident/Substitute Decision Maker Interview

## Quality Improvement Inspection Protocol

Interview Resident(s)/SDM, family members, and where available the Residents' Council president or representative to determine:

- Whether they know how to bring a concern to the attention of the Quality Improvement committee and/or representative, regarding the care and services provided to residents or the operations of the home
- Satisfaction with the care and services provided and the operations of the home, i.e. food quality, continence products, laundry service, medication administration, safe and secure home etc.
- Satisfaction with communication processes in the home
- Whether staff and volunteers treat the resident with respect and dignity during assistance with care and/or services
- Awareness of the home's annual satisfaction survey, and resident/SDM participation
- Whether the home has responded to the concerns raised through the CQI system (by the individual or the Residents' Council)
- Informed of actions taken or changes made to improve the home as a result of the satisfaction survey or CQI system

			<b>Information Gathering</b>	
			<b>Resident / SDM Interview</b>	
<b>Notes</b>				

### Staff Interviews/Observations

Interview staff of various disciplines, in various locations of the home, and on various shifts to determine

- Whether they know how to bring an issue to the attention of the Quality Improvement committee or representatives regarding the care and services provided to residents and/or operations of the home.
- Awareness of actions taken or changes made to improve the home as a result of the satisfaction survey or CQI system.
- Department managers' awareness of the home's CQI system and the actions taken or changes made to improve their department as a result of the satisfaction survey or CQI system.

Observe interaction between staff and residents to determine whether staff:

- Talk with residents for whom they are providing assistance
- Are speaking with residents politely and respectfully
- Provide encouragement and provide assistance as needed for residents with activities of daily living as needed, i.e. dressing, eating, etc.
- Respond to residents request for assistance in a timely manner and with kind approach to assistance provided.
- Observe care delivery for evidence that staff implement the improvements to accommodation, care, services programs and goods identified by the CQI system as well as the improvements to care, services, program and goods based on the satisfaction surveys, for example improvements to:
  - Food quality and food temperatures
  - Medication management and administration
  - Quality of care and quality of life activities, continence care products, etc.
  - Environmental issues, safety and security, etc.

## Quality Improvement Inspection Protocol

<b>Information Gathering</b>
<b>Staff Interviews/Observations</b>
<b>Notes</b>

### Continuous Quality Improvement

No.	Yes	No	N/A	Question	Act/Reg.
1.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Has the home developed and implemented a quality improvement and utilization review system that monitors, analyzes, evaluates and improves the quality of the accommodation, care services, programs and goods provided to residents?	<b>s. 84</b>
<b>Notes</b>					

No.	Yes	No	N/A	Question	Act/Reg.
2.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Does the home's quality improvement and utilization review system provide a written description of its, goals, objectives, policies, procedures and protocols, and a process to identify initiatives for review?	<b>r. 228 1.</b>
<b>Notes</b>					

No.	Yes	No	N/A	Question	Act/Reg.
3.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Is the home's quality improvement and utilization review system ongoing and interdisciplinary?	<b>r. 228 2.</b>
<b>Notes</b>					

No.	Yes	No	N/A	Question	Act/Reg.
4.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Does the home's quality improvement and utilization review system ensure that improvements made to the quality of the accommodation, care, services, programs and goods provided to residents are communicated to the Residents' Council, Family Council, if any, and the staff of the home on an ongoing basis?	<b>r. 228 3.</b>
<b>Notes</b>					

No.	Yes	No	N/A	Question	Act/Reg.
5.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Does the home maintain a record setting out the improvements made to the quality of the accommodation, care, services, programs and goods provided residents?	<b>r. 228 4. i.</b>
<b>Notes</b>					

No.	Yes	No	N/A	Question	Act/Reg.
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## Quality Improvement Inspection Protocol

6.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Does the home maintain a record of: <ul style="list-style-type: none"> <li>• The names of the persons who participated in evaluations, and</li> <li>• The dates improvements were implemented?</li> </ul>	<b>r. 228 4. ii.</b>
Notes					

No.	Yes	No	N/A	Question	Act/Reg.
7.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Does the home maintain a record of the communication made to the Residents' Council, Family Council, if any, and the staff of the home regarding the improvements made to the quality of the accommodation, care, services, programs and goods provided to the residents?	<b>r. 228 4. iii.</b>
Notes					

### PART B: Satisfaction Survey

No.	Yes	No	N/A	Question	Act/Reg.
8.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Is a survey taken, at least annually, of the residents and their families to measure their satisfaction with the home and the care, services programs and goods provided at the home?	<b>s. 85 (1)</b>
Notes					

#### Action

No.	Yes	No	N/A	Question	Act/Reg.
9.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Does the home make every reasonable effort to act on the results of the survey and to improve the long-term care home and the care, services, programs and goods accordingly?	<b>s. 85 (2)</b>
Notes					

#### Advice

No.	Yes	No	N/A	Question	Act/Reg.
10	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Does the home seek the advice of the Residents' Council and the Family Council, if any, in developing and carrying out the survey, and in acting on its results?	<b>s. 85 (3)</b>
Notes					

#### Documentation

No.	Yes	No	N/A	Question	Act/Reg.
11	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Does the home ensure that the results of the survey are documented and made available to the Residents' Council and the Family Council, if any, to seek their advice?	<b>s. 85 (4) (a)</b>
Notes					

No.	Yes	No	N/A	Question	Act/Reg.
12	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Does the licensee ensure that actions taken to improve the home, and the care, services, programs and goods based on the results of the survey are documented and made available to the Residents' Council	<b>s. 85 (4) (b)</b>

## Quality Improvement Inspection Protocol

				and Family Council, if any?	
Notes					

No.	Yes	No	N/A	Question	Act/Reg.
13	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Does the licensee ensure that the survey results and actions taken to improve the home, is made available to residents and their families?	<b>s. 85 (4) (c)</b>
Notes					

No.	Yes	No	N/A	Question	Act/Reg.
14	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Are documents setting out the survey results and actions taken to improve the home kept in the long-term care home and made available during an inspection?	<b>s. 85 (4) (d)</b>
Notes					

Based on information collected during the inspection process, the Inspector may determine the need to select and further inspect 'other' related care/services areas. When this occurs, the Inspector will document reason(s) for further inspection in Ad Hoc Notes, select and complete 'other' relevant IPs related to the homes quality improvement systems:

- Accommodation services- housekeeping
- Accommodation services- laundry
- Accommodation services-maintenance
- Continance Care and Bowel management
- Dignity, Choice and Privacy
- Family Council
- Food Quality
- Infection, Prevention and Control
- Medication
- Minimizing of Restraining
- Nutrition and hydration
- Pain
- Personal support services
- Prevention of Abuse, Neglect and Retaliation
- Reporting and Complaints
- Residents' Council
- Responsive Behaviours
- Safe and Secure home
- Skin and Wound care
- Sufficient Staffing
- Training and Orientation

## Critical Incident Response Inspection Protocol

Home Related - Triggered

Home Name:	Inspection Number:	<i>(hard copy use only)</i>
Resident ID:	Date:	
Inspector ID:	Title:	

### Definition / Description

Critical incident	Is an occurrence that results in harm or risk of harm, to the safety, security, welfare and/or health of a resident, a staff member, and /or to the safety and security of the LTC home.
Critical incident response	Is the action taken by the inspector when information received from anyone indicates that a CI may have occurred in the LTC home. The inspector may make inquiries, conduct an inspection or take no action depending on whether the inspector believes there is any harm or risk of harm to a resident and if any additional information is required to determine further action
Critical incident types:	<p>The licensee is required to report critical incidents to the Director including:</p> <ul style="list-style-type: none"> <li>An emergency, including loss of essential services, fire, unplanned evacuation, intake of evacuees or flooding.</li> <li>An unexpected or sudden death, including a death resulting from an accident or suicide.</li> <li>A resident who is missing for three hours or more.</li> <li>A missing resident, returns with injury or adverse change in condition, regardless of the length of time the resident was missing.</li> <li>An outbreak of a reportable disease or communicable disease as defined in the <i>Health Protection and Promotion Act</i>.</li> <li>Contamination of the drinking water supply.</li> <li>A resident missing for less than three hours; returns with no injury or adverse change in condition.</li> <li>An environment hazard, including breakdown or failure of the security system or major equipment, or system affecting the provision of care or safety, security or well-being of residents for greater than six hours.</li> <li>A missing or unaccounted for controlled substance.</li> <li>An injury for which the person is taken to hospital.</li> <li>A medication incident or adverse drug reaction for which a resident is taken to hospital</li> </ul> <p>LTCHA regulation 107 (1) and (3)</p>

## Critical Incident Response Inspection Protocol

### Use

This IP is completed when there is a concern with the licensee's critical incident reporting process.

The inspectors may also select and complete the specific care or home related IPs relevant to the critical incident response raised.

**Note:** There is a transitional regulation related to this IP. The inspector will identify any non-compliance related to the transitional regulations through Ad Hoc Note r.107 (6) 1 - 4

### Procedure

Each section within this IP contains statements that provide guidance to the inspector in the collecting of information during an inspection and may not be applicable in every situation.

The information collected will be used to determine whether a home is in compliance with the Act.

This IP contains three parts. The Inspector must answer the applicable questions in all three parts:

- Part A: critical incidents that the licensee is required to inform the Director of immediately
- Part B: critical incidents that the licensee is required to inform the Director of no later than one business day after they occur
- Part C: written report that the licensee is required to provide to the Director for all critical incidents

The inspector(s) must complete all applicable questions in Part A. The Inspector may skip a Part A questions if it is not applicable to the specific situation.

### Record Review

Review the following LTC home records as appropriate:

- To determine compliance with ministry reporting requirements for critical incidents as outlined in the LTCHA.
- Critical incident report records related to the specific incident of concern reported to the Director, and actions taken by the licensee.

			<b>Information Gathering</b>
			<b>Record Review</b>
<b>Notes</b>			

### Staff Interviews

## Critical Incident Response Inspection Protocol

Interview management staff and staff who provide direct care on various shifts where appropriate:

- Interview front line staff to determine his/her understanding and practice related to the home's reporting procedures where knowledge of an occurrence resulted in harm or risk of harm to safety, security, welfare and/or health of a resident, a staff member, and /or to the safety and security of the LTC home.

### Information Gathering

#### Staff Interviews

Notes

### Part A: Licensee informs the Director immediately following CI occurrence in the home

No.	Yes	No	N/A	Question	Act/Reg.
1.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Has the licensee informed the Director of an emergency, including loss of essential services, fire, an unplanned evacuation, and intake of evacuees or flooding?	<b>r. 107 (1) 1</b>
Notes					

No.	Yes	No	N/A	Question	Act/Reg.
2.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Has the licensee informed the Director of an unexpected or sudden death, including a death resulting from an accident or suicide?	<b>r. 107 (1) 2</b>
Notes					

No.	Yes	No	N/A	Question	Act/Reg.
3.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Has the licensee informed the Director of a resident who is missing for three hours or more?	<b>r. 107 (1) 3</b>
Notes					

No.	Yes	No	N/A	Question	Act/Reg.
4.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Has the licensee informed the Director of any missing resident who returns to the home with an injury or any adverse change in their condition regardless of the length of time the resident was missing?	<b>r. 107 (1) 4</b>
Notes					

No.	Yes	No	N/A	Question	Act/Reg.
5.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Has the licensee informed the Director of an outbreak of a reportable disease or communicable disease as defined in the <i>Health Protection and Promotion Act</i> ?	<b>r. 107 (1) 5</b>
Notes					

## Critical Incident Response Inspection Protocol

No.	Yes	No	N/A	Question	Act/Reg.
6.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Has the licensee informed the Director of contamination of the drinking water supply?	<b>r. 107 (1) 6</b>
Notes					

No.	Yes	No	N/A	Question	Act/Reg.
7.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Where a licensee is required to make a report immediately following an incident, and it is after normal business hours, has the home made the report using the Ministry's method for after hour emergency contact?	<b>r. 107 (2)</b>
Notes					

### Part B: Licensee informs Director no later than one business day of CI occurrence in home

No.	Yes	No	N/A	Question	Act/Reg.
8.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Has the licensee informed the Director and followed by a report of a resident who is missing for less than three hours and who returns to the home with no injury or adverse change in condition?	<b>r. 107 (3) 1</b>
Notes					

No.	Yes	No	N/A	Question	Act/Reg.
9.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Has the licensee informed the Director and followed by a report of an environmental hazard, including <ul style="list-style-type: none"> <li>• a breakdown or failure of the security system or</li> <li>• a breakdown of major equipment or a system in the home that affects the provision of care or safety, security or well-being of residents for a period greater than six hours?</li> </ul>	<b>r. 107 (3) 2</b>
Notes					

No.	Yes	No	N/A	Question	Act/Reg.
10.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Has the licensee informed the Director and followed by a report of a <ul style="list-style-type: none"> <li>• missing controlled substance or</li> <li>• unaccounted for controlled substance?</li> </ul>	<b>r. 107 (3) 3</b>
Notes					

No.	Yes	No	N/A	Question	Act/Reg.
11.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Has the licensee informed the Director and followed by a report of an injury resulting in a person taken to hospital?	<b>r. 107 (3) 4</b>
Notes					

## Critical Incident Response Inspection Protocol

No.	Yes	No	N/A	Question	Act/Reg.
12.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Has the licensee informed the Director and followed by a report of a <ul style="list-style-type: none"> <li>• medication incident or adverse drug reaction resulting in a person taken to hospital?</li> </ul>	<b>r. 107 (3) 5</b>
Notes					

### Part C: Licensee's written report to Director within 10 days of CI, or sooner if Director request

No.	Yes	No	N/A	Question	Act/Reg.
13.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Does the written report include: <ul style="list-style-type: none"> <li>• a description of the incident</li> <li>• the type of incident</li> <li>• the area or location of the incident</li> <li>• the date and time of the incident, and</li> <li>• the events leading up to the incident?</li> </ul>	<b>r. 107 (4) 1</b>
Notes					

No.	Yes	No	N/A	Question	Act/Reg.
14.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Does the written report include the names of any residents involved in the incident?	<b>r. 107 (4) 2 i</b>
Notes					

No.	Yes	No	N/A	Question	Act/Reg.
15.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Does the written report include the names of any staff members or other persons who were present at or discovered the incident?	<b>r. 107 (4) 2 ii</b>
Notes					

No.	Yes	No	N/A	Question	Act/Reg.
16.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Does the written report include the names of staff members who responded or are responding to the incident?	<b>r. 107 (4) 2 iii</b>
Notes					

No.	Yes	No	N/A	Question	Act/Reg.
17.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Does the written report include what care was given or action taken as a result of the incident, and by whom?	<b>r. 107 (4) 3 i</b>
Notes					

No.	Yes	No	N/A	Question	Act/Reg.
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## Critical Incident Response Inspection Protocol

18.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Does the written report include whether a physician or registered nurse in the extended class was contacted?	<b>r. 107 (4) 3 ii</b>
Notes					

No.	Yes	No	N/A	Question	Act/Reg.
19.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Does the written report include other authorities that were contacted about the incident?	<b>r. 107 (4) 3 iii</b>
Notes					

No.	Yes	No	N/A	Question	Act/Reg.
20.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Does the written report include, for incidents involving a resident, whether a family member, person of importance or a SDM of the resident was contacted including the name of such person(s)?	<b>r. 107 (4) 3 iv</b>
Notes					

No.	Yes	No	N/A	Question	Act/Reg.
21.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Does the written report include the outcome or current status of the individual or individuals who were involved in the incident?	<b>r. 107 (4) 3 v</b>
Notes					

No.	Yes	No	N/A	Question	Act/Reg.
22.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Does the written report include analysis and follow-up action including, the immediate action taken to prevent recurrence?	<b>r. 107 (4) 4 i</b>
Notes					

No.	Yes	No	N/A	Question	Act/Reg.
23.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Does the written report include analysis and follow-up action including, the long-term actions planned to correct the situation and prevent recurrence? <i>(If answer is NO, the inspector will complete (3) additional critical incident response IP's. Select the additional resident samples from the previous 6 months home CIS report)</i>	<b>r. 107 (4) 4 ii</b>
Notes					

No.	Yes	No	N/A	Question	Act/Reg.
24.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Does the written report include: <ul style="list-style-type: none"> <li>• the name and title of the person who made the initial report to the Director</li> <li>• the date of the report</li> <li>• whether an Inspector has been contacted and, if so,</li> </ul>	<b>r. 107 (4) 5</b>

## Critical Incident Response Inspection Protocol

				<ul style="list-style-type: none"> <li>• the date of the contact and the name of the Inspector?</li> </ul>	
Notes					

No.	Yes	No	N/A	Question	Act/Reg.
25.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Has the licensee promptly notified: <ul style="list-style-type: none"> <li>• the resident's substitute decision-maker or any person designated by the SDM; and</li> <li>• Any other person designated by the resident</li> </ul> of a serious injury or serious illness of the resident, in accordance with any instructions provided by the persons to be notified?	<b>r. 107 (5)</b>
Notes					

Based on information collected during the inspection process, the Inspector may determine the need to select and further inspect 'other' related care/services areas. When this occurs, the Inspector will document reason(s) for further inspection in Ad Hoc Notes, select and complete 'other' relevant IPs related to critical incident response:

- Admission Process
- Falls
- Infection, Prevention and Control
- Medication
- Minimizing of Restraining
- Personal Support Services
- Prevention of Abuse, Neglect
- Quality Improvement
- Reporting and Complaints
- Retaliation
- Safe and Secure Home
- Training, and Orientation