

Accountability in the Home and Community Care Sector in Ontario



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What is accountability?

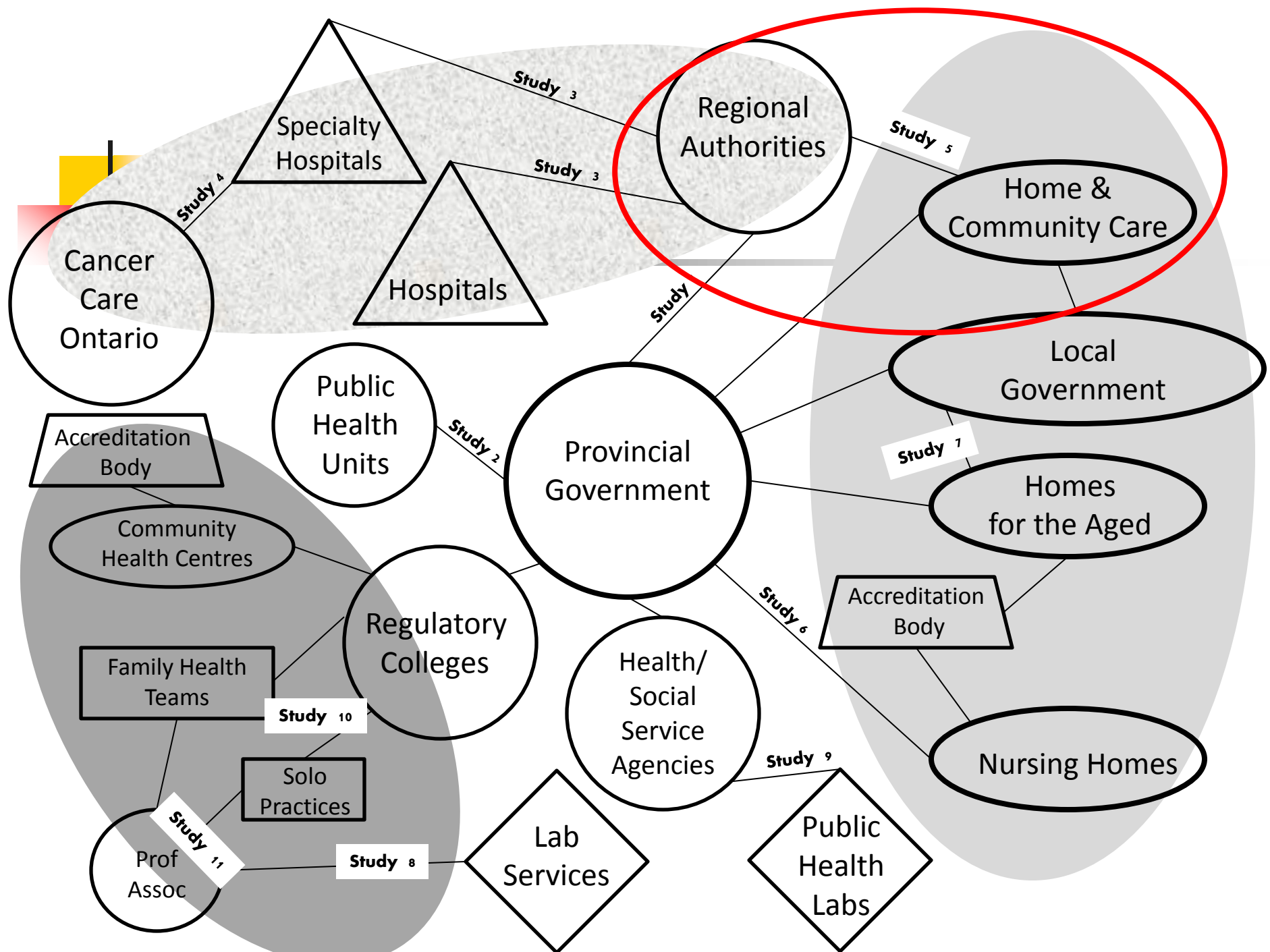
“the relationship that exists when one accepts responsibility that has been conferred and the duty to report back to the person or body that conferred it” (CHA, 2001, p.3)

- Having to be answerable to someone, for something:
 - meeting defined objectives



Different ways to do it

- For what
 - Dimensions: financial, performance, political/ democratic
- For whom
 - Who is involved
- How
 - Approaches (policy instruments)
 - Enforcement
 - Timing





Sub-study

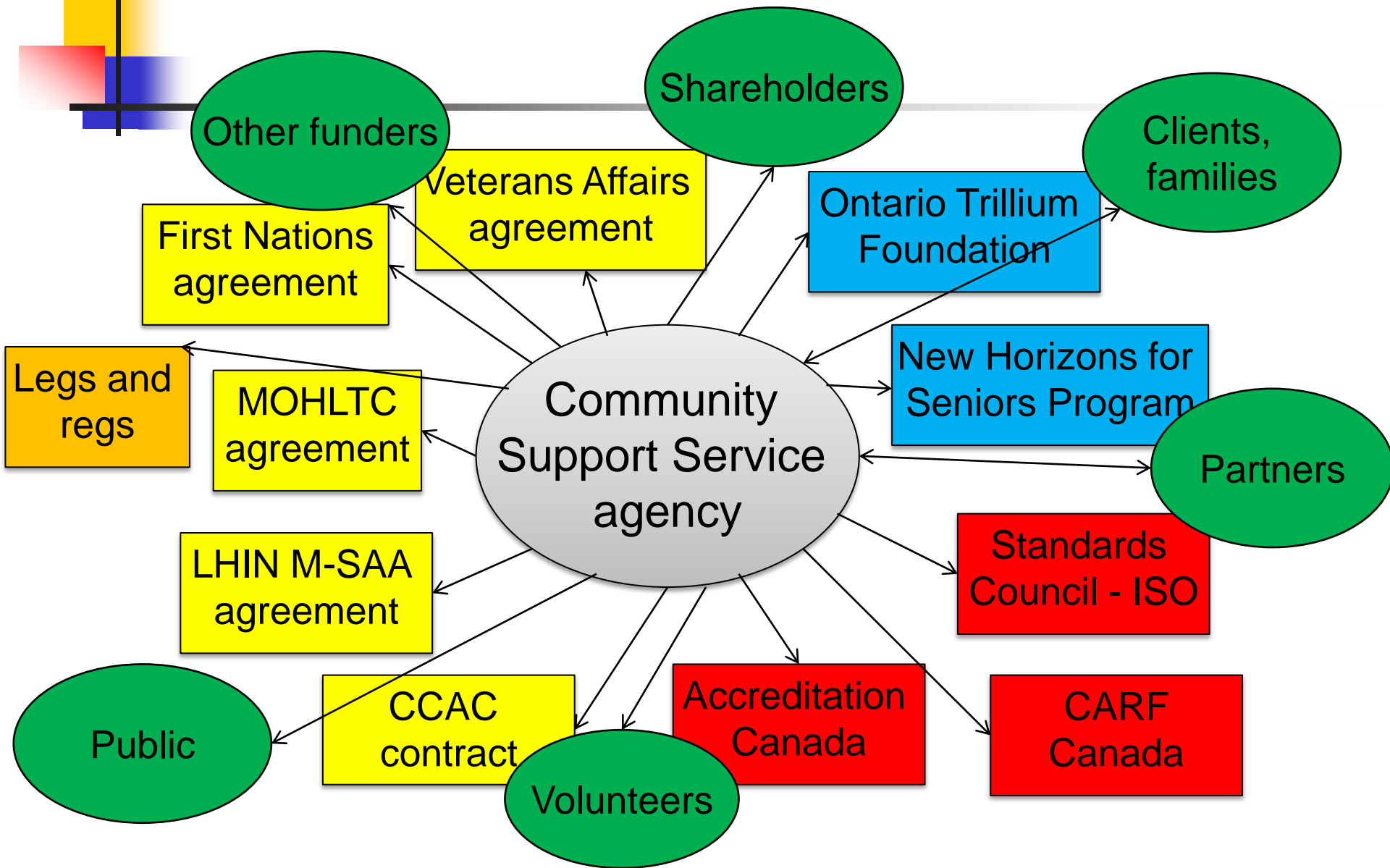
- Home and Community Care
- Partners:
 - Leads: Janet Lum (Ryerson); Paul Williams & Raisa Deber (U of T)
 - Decision making partners: Anne Wojtak (TC CCAC), Nadine Henningsen (Canadian Home Care Association), Judith Shamian (Victorian Order of Nurses), Susan Thorning (Ontario Community Support Association)



What accountability frameworks are in place

- In what ways are community support service agencies held to account in Ontario?

CSS agency accountabilities





It's your turn!

- Which of these relationships are you involved in?
- How well does it work?
- Which are the most important to you?
Discuss top two.



Organizational behaviour in relation to accountability

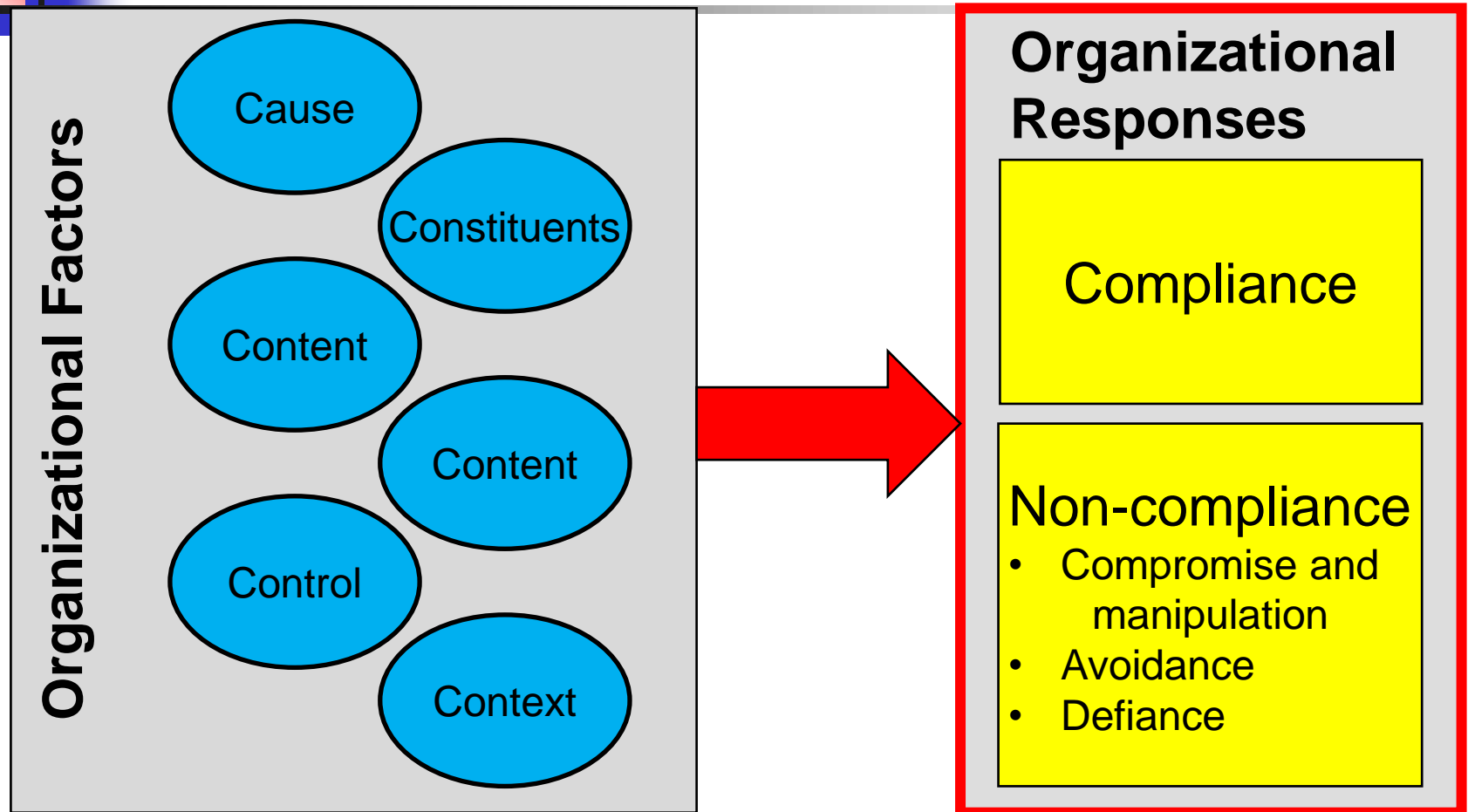
- Expect that organizational characteristics plays a role in “what works”
 - Understanding how and why organizations respond to accountability can impact on development and implementation of accountability frameworks
 - Shift policy to benefit both accountor and accountee



What factors play a role and how do organizations respond

- Turn to the organizational behaviour literature
 - Oliver's (1991) framework helps us identify important org factors

What factors play a role and how do organizations respond



Oliver, C. (1991). Strategic Responses to Institutional Processes. *Academy of Management Review*, 16(1):145-179.



Cause

- Then accountability demand must be considered useful
 - Will complying be beneficial to my organization?
 - Does it improve fit with other similar organizations? [social fitness]
 - Does it help ensure economic stability? [economic fitness]



Constituents

- Organizations will have multiple stakeholders with potentially differing demands
 - How easily can these demands be met?
 - What are the advantages and disadvantages of these demands?



Content

- Do the goals of the accountability requirement match my organizations goals?
 - Are the performance indicators in the agreement important to my organization?
 - Does the requirement infringe too much on how we run our organization? And is that important?



Control

- How heavily enforced are accountability agreements?
 - Policy instruments
 - Contracts vs. agreements vs. legislation
 - Differing levels of sanctions for non-compliance
 - Strong sanctions are reinforced by interactions and professionalism which create behavioural norms



Context

- Organization's environment will influence responsiveness
 - Do we have the resources to comply with accountability demand?
 - Does it reflect our organizations culture?
 - Responsibility: collectivist vs. individualist
 - What is important to our organization?



Possible organizational responses

- Organizations that vary across cause, constituents, content, control and context will not respond the same way
- Literature suggests an array of potential organizational responses to external demands (like accountability)



Possible organizational responses (Oliver, 1991)

- Compliance
- Non-compliance (varying levels)
 - Compromise and manipulation
 - Avoidance
 - Defiance



What we might expect from CSSs

- Possible responses
 - Winning contracts/grants/agreements
 - Avoiding contracts/grants/agreements
 - Mergers and/or partnerships
 - Changes in reporting structures/methods
 - Changes in how services are delivered
 - Others?



Positive outcomes of accountability

- Promote transparency
- Improve efficiency
 - Ensure money is being spent as it should be
- Improve effectiveness
 - Support and encourage best practices
- Promote learning between and within organizations



Negative outcomes of accountability

- Increased cost
- Biased reporting
- Do not assign responsibility
- Increasingly inconsequential
- Incenting strategic behaviour
- Veiling actual performance
- Dis-incenting professionalism
- Ossification of practice and decreased flexibility



It's your turn!

Think about one or two accountability requirements imposed on your organization:

- How has your organization responded to accountability requirements?
- What were some of the positive outcomes?
- What were some of the negative outcomes?



Survey and Environmental Scan

- We conducted an environmental scan and survey to test the framework
 - Testing propositions regarding the relationships between organizational variables and organizational responses
 - Survey conducted of Ontario broadly
 - Environmental Scan of Toronto Central and South East regions



Organizational Variables

Organizational Factor	Variables	Source(s)
Cause	Org size (total revenue) Sm. (>\$500k); Md. (\$500k-\$2M); Lg. \$2M+	Env. scan & survey
Constituents	# orgs delivering services in one area # identified partners and stakeholders	Env. scan & survey
Content	NFP/FP status Org goals alignment; autonomy; perceived inevitability	Env. scan Doc review and interview
Control	Perceived as strict; consistent interaction; reliance on professional norms	Doc review and interview
Context	NFP/FP status; org size; HR distribution Cultural context alignment	Env. scan & survey Doc review



Organizational Responses

- Gathered entirely from survey
- Responses to CCAC and MSAs
 - Hold contract/agreement
 - Previously held contract/agreement
 - Unsuccessful application
 - Never applied to contract/agreement
 - Plan to/ do not plan to apply in future
 - Sub-contracted to other orgs under contract/agreement
 - Subcontracted for a contract/agreement
 - Partnered for a contract/agreement




Methods

- Environmental scan (Toronto Central and South East regions)
 - 310CCAC
 - Websites (for networks, associations, government sites and organizations)
 - FIM database (for financial data) – MOHLTC health data branch
 - Access through research partners
 - Most data publicly available

Methods cont.

- Survey

- Piloted with 5 organizations
- Online survey  askitonline
- Sent via OCSA list-serve (three rounds)
- Sent via env scan contact list (email and phone calls; three rounds)



Survey Findings: Responses

- N = 118 (total sample size 611)
 - Overall response rate: **19.3%**
- OCSA sample: 498, N=106; RR = 21.3%
- TC database sample: 91, N=12; RR = 13.2%
 - Phone calls: 10, N=2; RR = 20%)
- SE database sample: 20, N=1; RR = 5%
 - Phone calls: 0 sample (could not get through)
- Missing data
 - Between 16 and 86 depending on question



A note on response rates

- Typically we look for response rates of over 60%-75% for surveys geared to individuals
- Surveys for organizations will experience much lower response rates
 - Often **15%** is considered acceptable (Hager et al, 2003)



Survey Findings: Descriptive

- Representation from all regions
 - Toronto Central most represented (N=25)
- More community service agencies than home care agencies
 - Meals on Wheels, Transportation, Homemaking, Adult Day Programs
 - Also many delivering Personal Care



Survey Findings: Descriptive

- Human resources
 - More organizations rely on PSWs than other health care workers (FTE, PTE and casual)
 - Many organizations rely on volunteers to deliver services directly to clients



Survey Findings: Descriptive

- Organizational size
- More small organizations than large (based on total revenue)
 - 17 small
 - 13 medium
 - 13 large
 - 75 missing!

Survey Findings: Descriptive

Funding Source	0%	1-20%	21-40%	41-60%	61-80%	81-100%	Did not answer
User fees	10	19	7	3	0	2	77
Co-pay	31	7	2	0	0	0	78
CCAC	34	2	0	0	1	4	77
LHIN	9	4	0	8	6	14	77
L 1-time	31	9	0	0	0	1	77
Province	37	4	0	0	0	0	77
Federal	36	5	0	0	0	0	77
Onetime	33	8	0	0	0	0	77
Donations	20	20	0	0	0	0	78
Fundraise	30	10	1	0	0	0	77
UW	36	5	0	0	0	0	77
Municipal	38	3	0	0	0	0	77
Other	27	12	1	1	0	0	77



Survey Finding: Descriptive

- Most organizations who responded produce an annual report (66.13%) and in most cases they include financial reports (64.52%) (N=62, missing = 56)
- Few organizations in sample are accredited
 - Most with Accreditation Canada (19.35%)

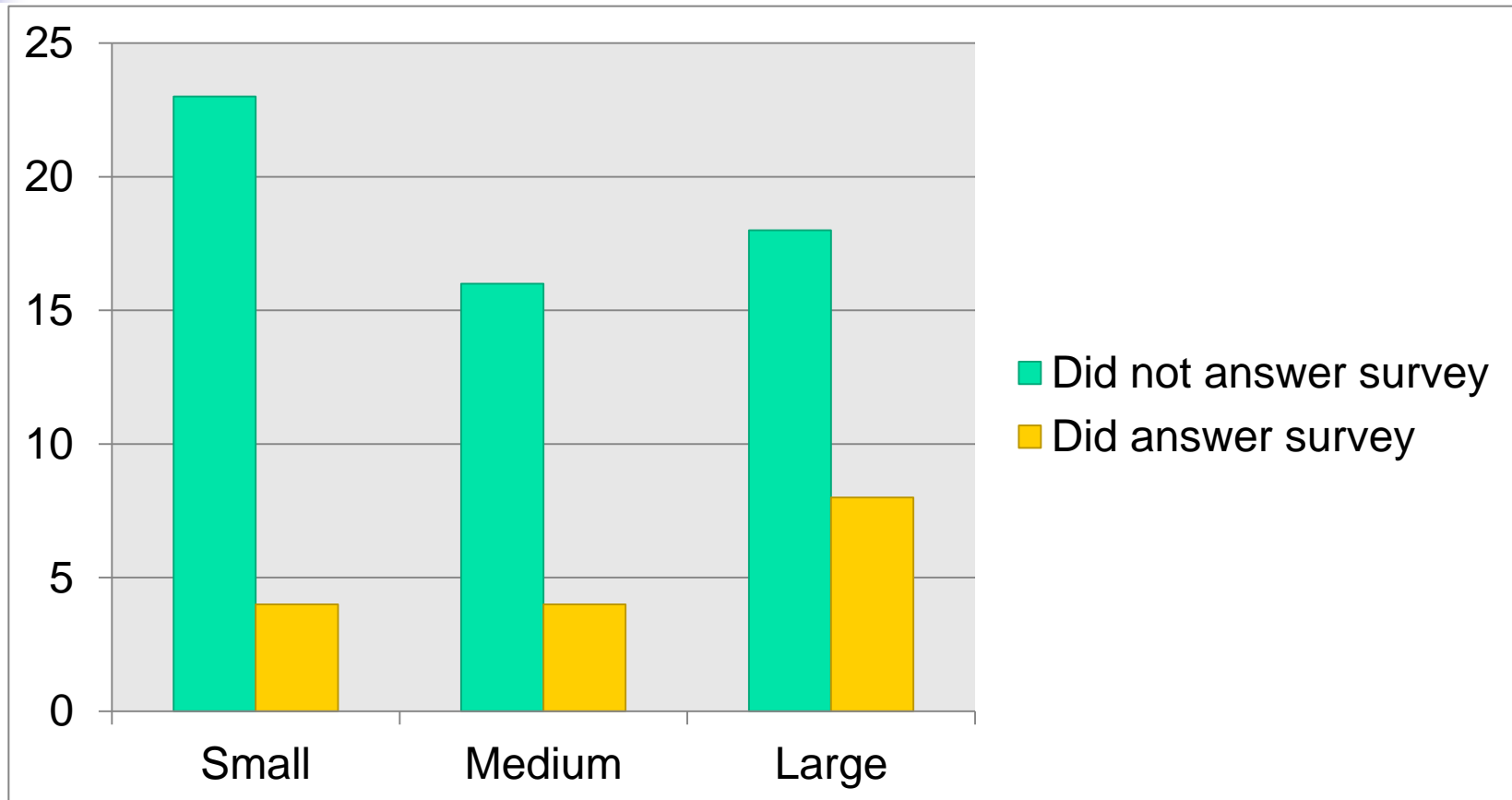


Comparing Survey to Environmental Scan

- One way to determine where biases lie in the survey (due to low RR) is to run comparisons with environmental scan data for Toronto Central and South East respondents
- Looked at variables of interest to study

Note: due to missing data, the survey was underpowered to run t-tests and determine significance. Thus had to rely on cross-tabs.

Comparing Survey to Environmental Scan cont.

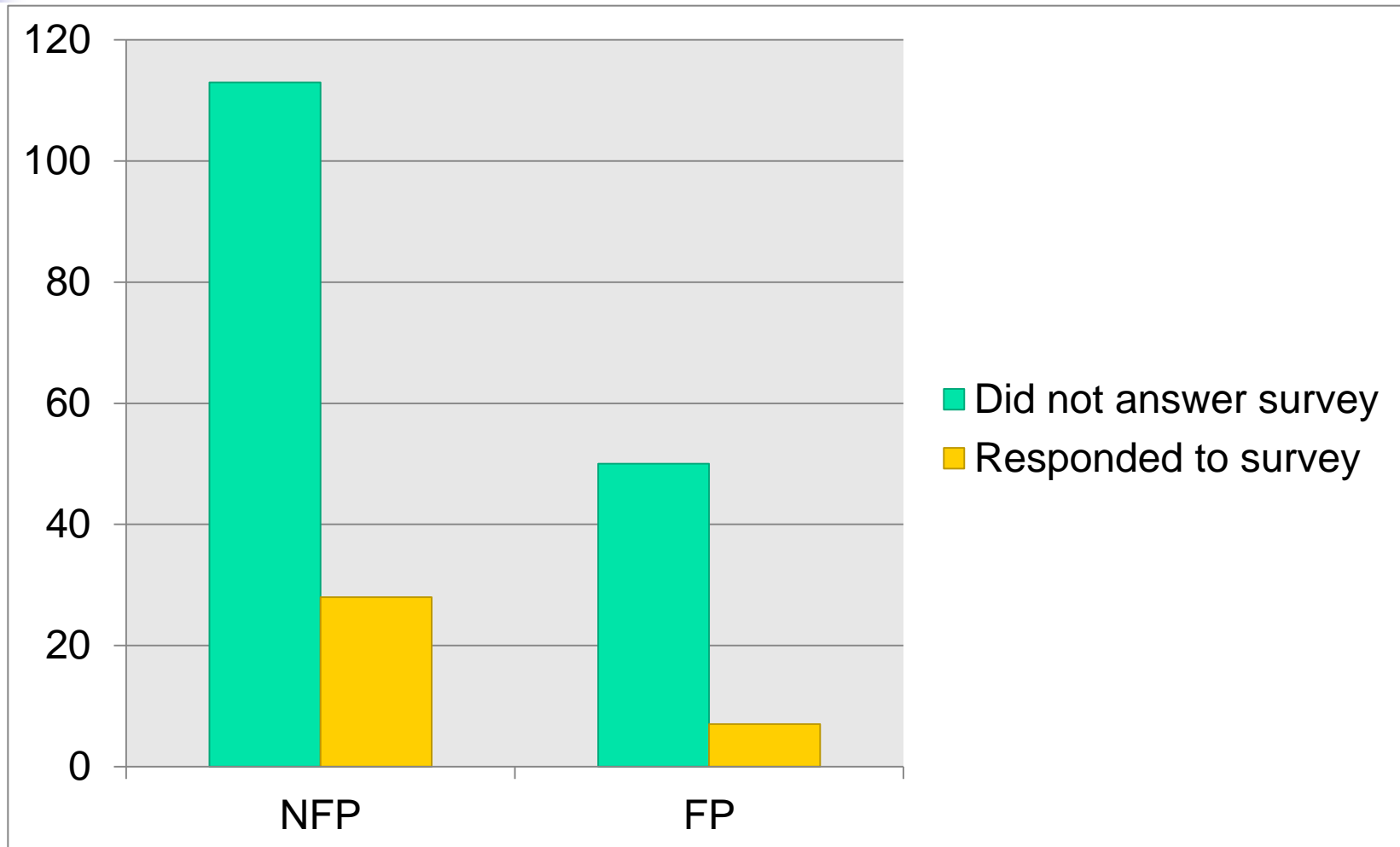




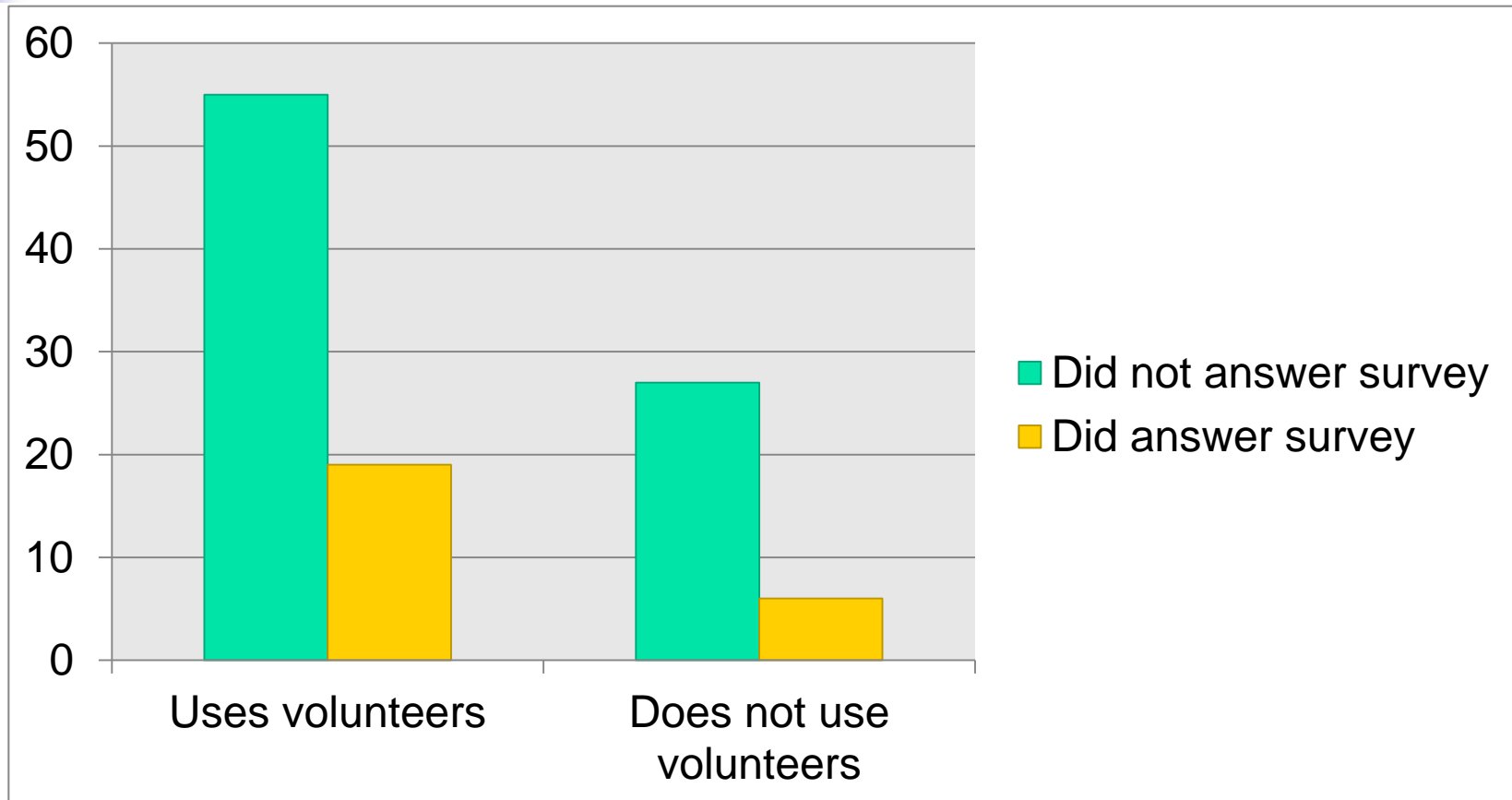
Comparing Survey to Environmental Scan cont.

- Service delivered
 - Organizations who answered the survey delivered more services than those who didn't
 - Exp. 50% of survey respondents provide ADP versus on 17% of non-respondents.
- Bias tends to be towards more active organizations who responded to survey

Comparing Survey to Environmental Scan cont.



Comparing Survey to Environmental Scan cont.





Comparing Survey to Environmental Scan cont.

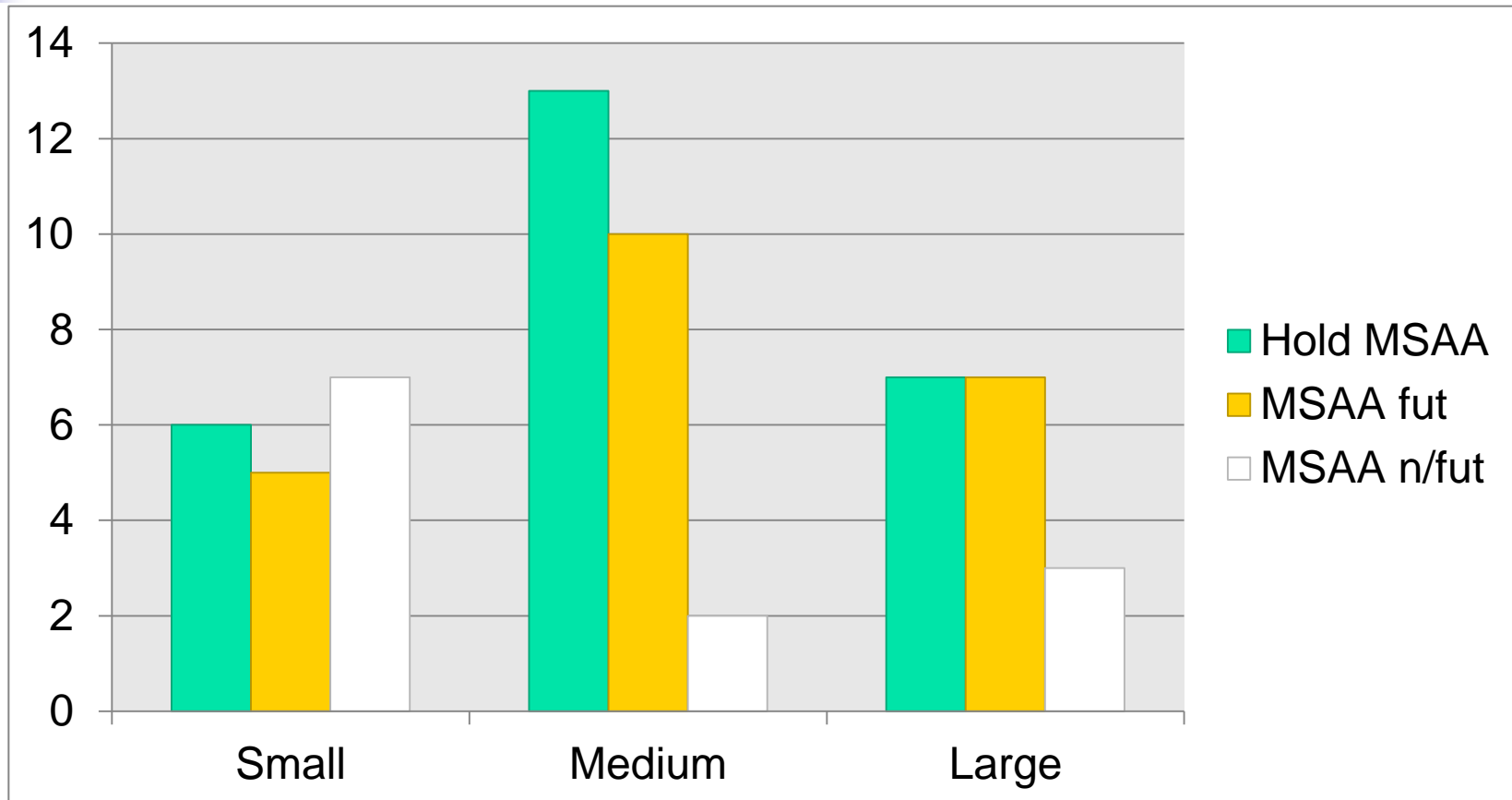
- In general
 - There is a bias towards larger organizations
 - There is a bias towards more active organizations
- Could be that larger more active organizations have better access to resources required to answer survey

Survey findings: testing propositions

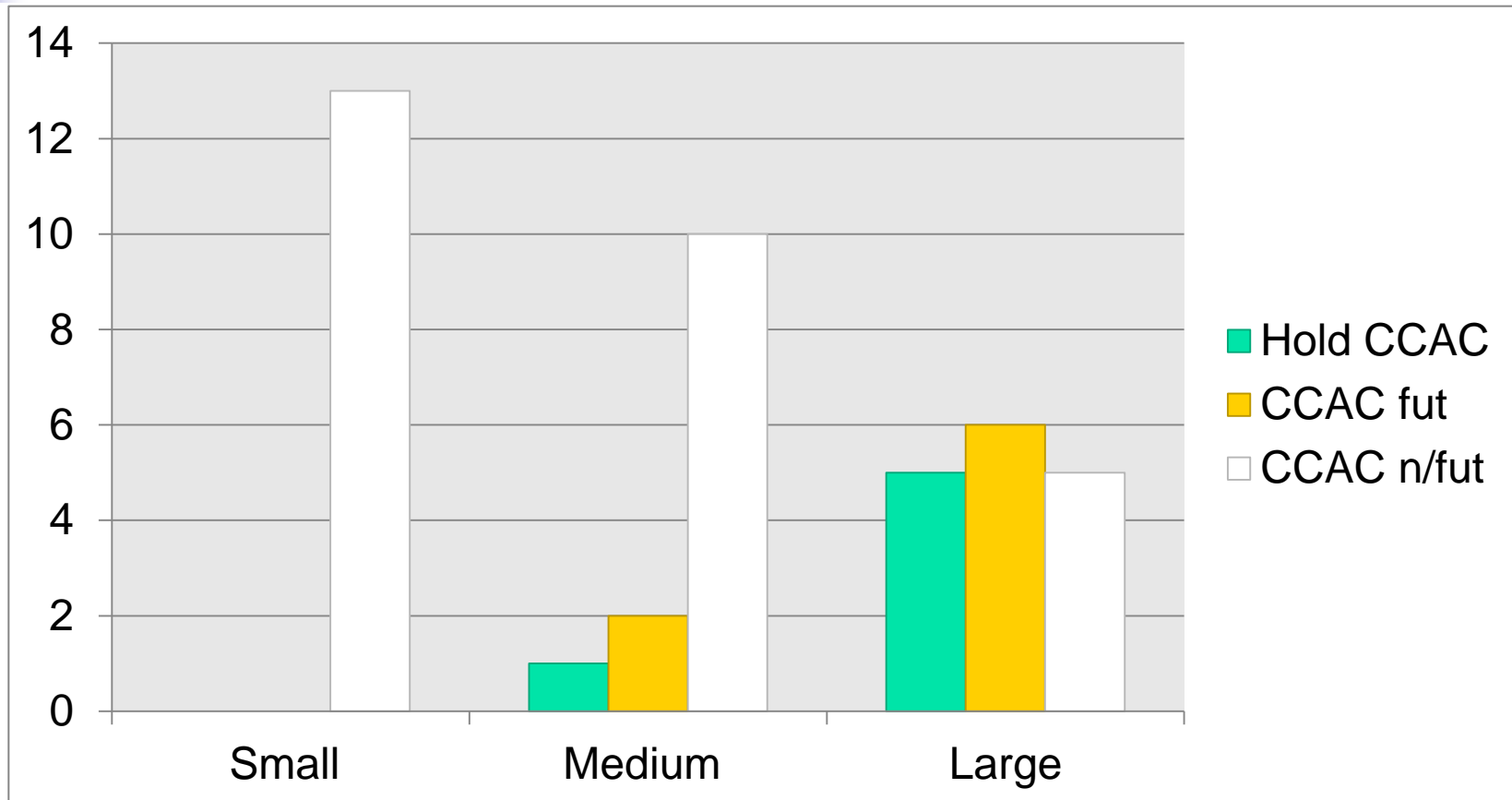


Proposition 1: An organizations size will be positively related to its propensity to comply with accountability requirements

Survey findings: testing propositions



Survey findings: testing propositions





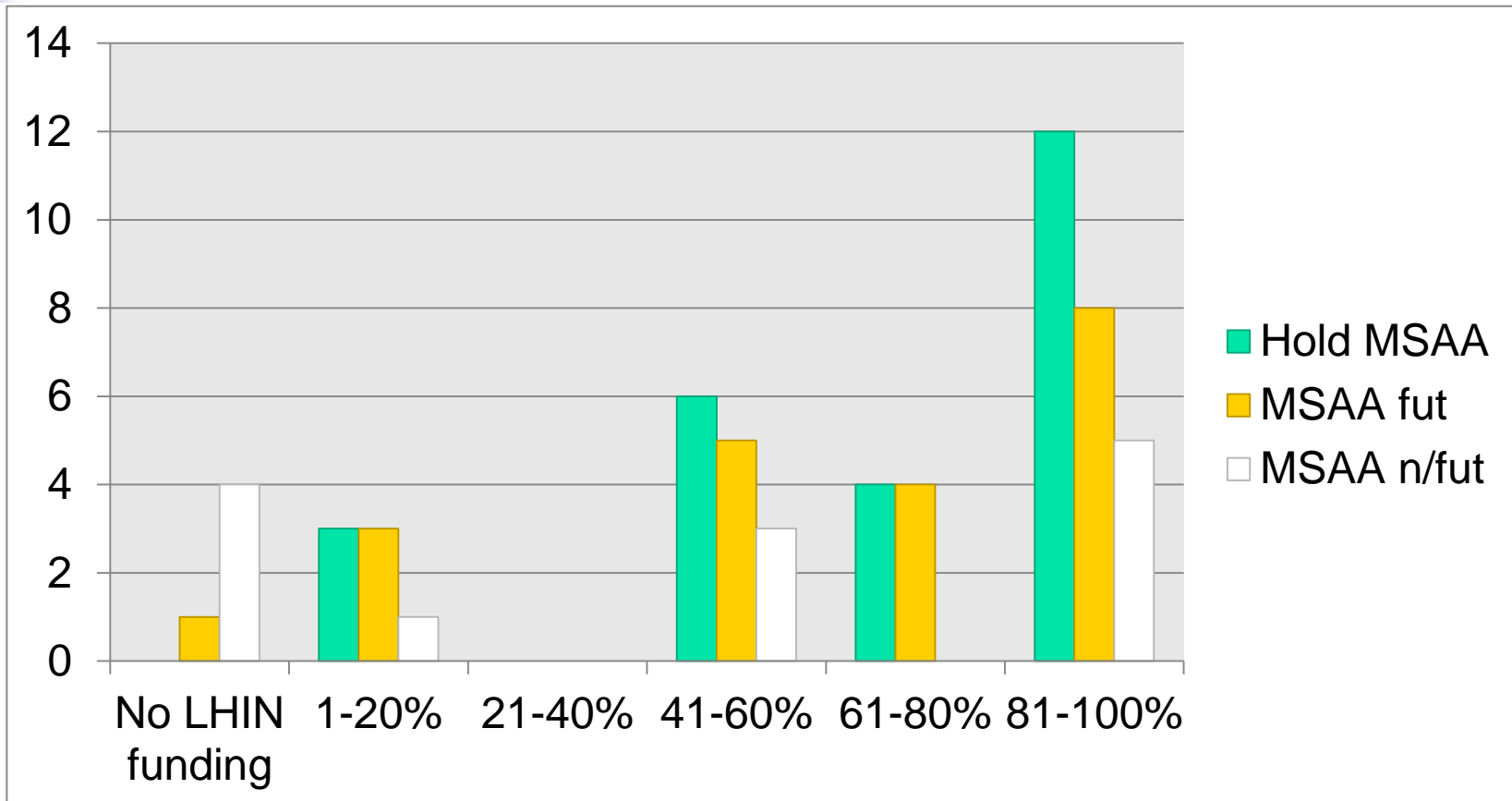
Survey findings: testing propositions

Proposition 2a: Organizations are more likely to acquiesce with accountability requirements from stakeholders upon whom organizations are highly dependent.

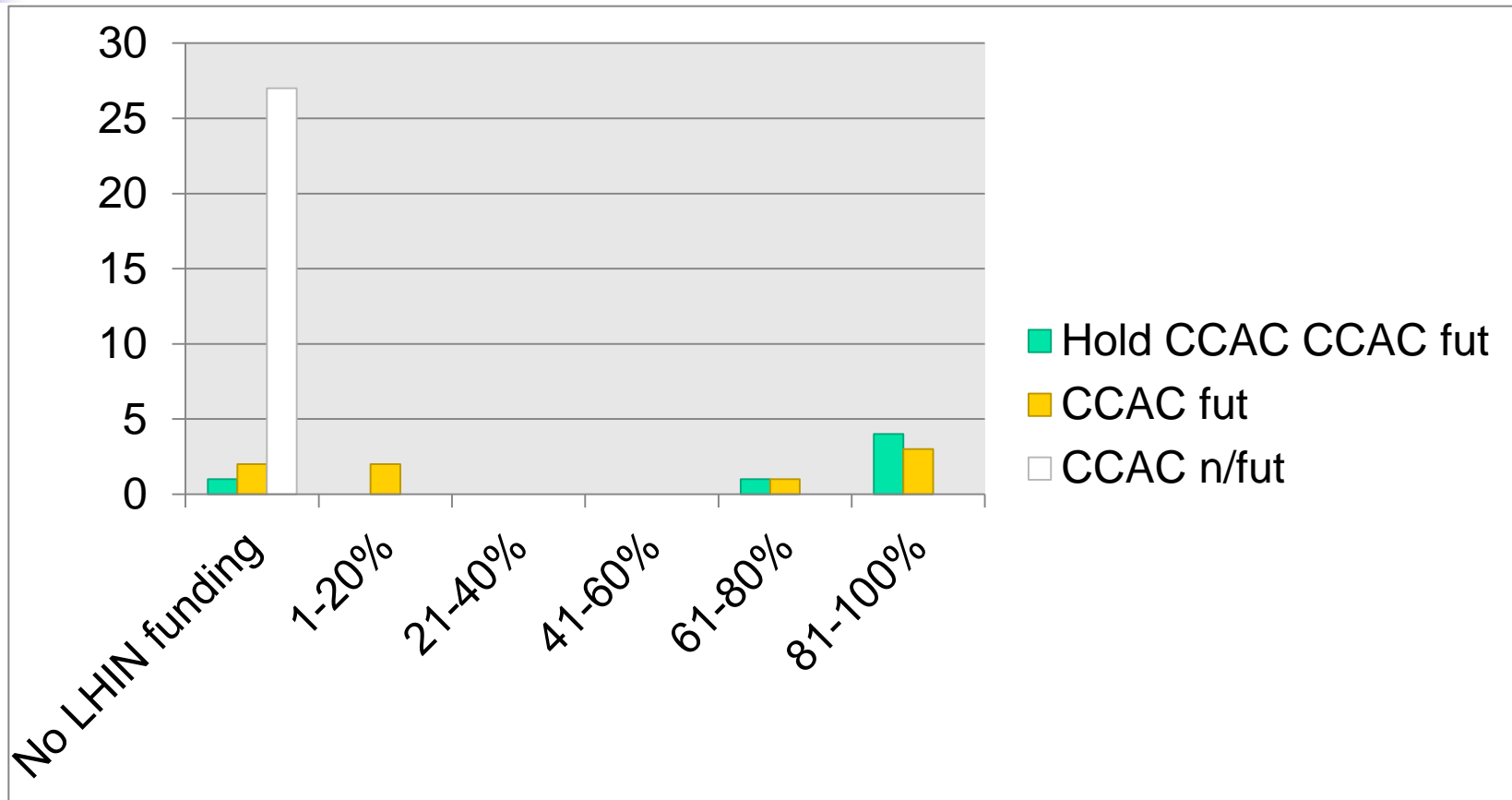
Looked at patterns for locally delivered services and services delivered across multiple regions.

- Tend to see more organizations with locally delivered services holding MSAs and more organizations delivering services to multiple regions holding CCAC contracts
- Pattern persisted for those planning on applying to each (a bit weaker for MSAs)

Proposition 2a



Proposition 2a





Survey findings: testing propositions

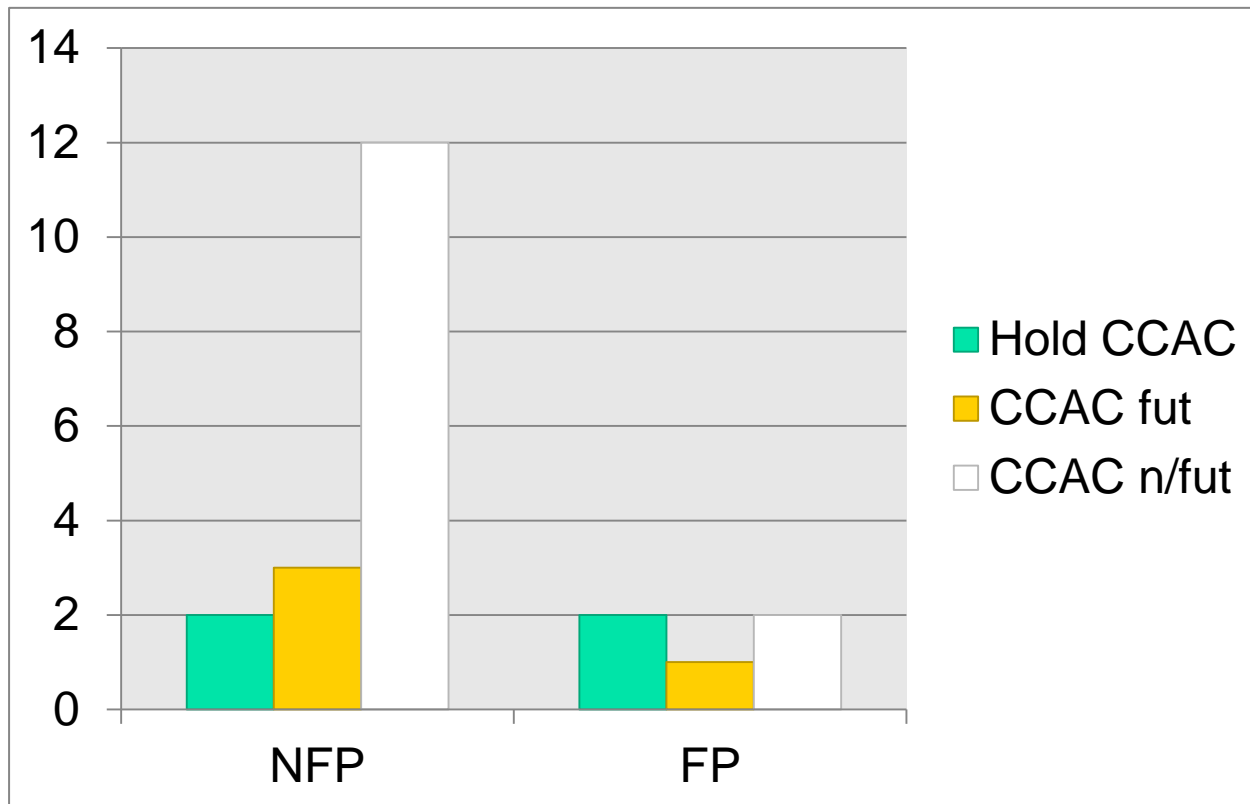
Proposition 5a: Organizations with better access to resources will be more likely to adhere to accountability requirements

Access to resources operationalized as: NFP/FP status, organizational size, and human resources.

Looked at patterns across these three areas

Proposition 5a

- Looking at NFP/FP status

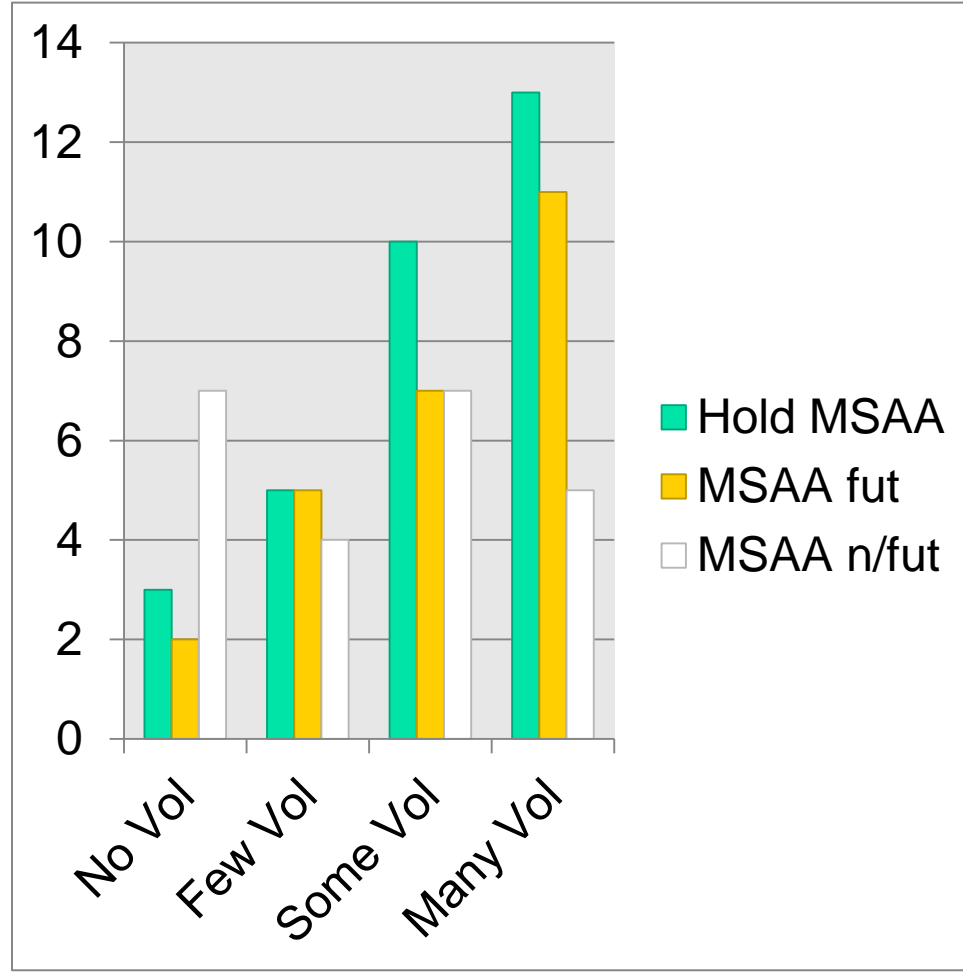
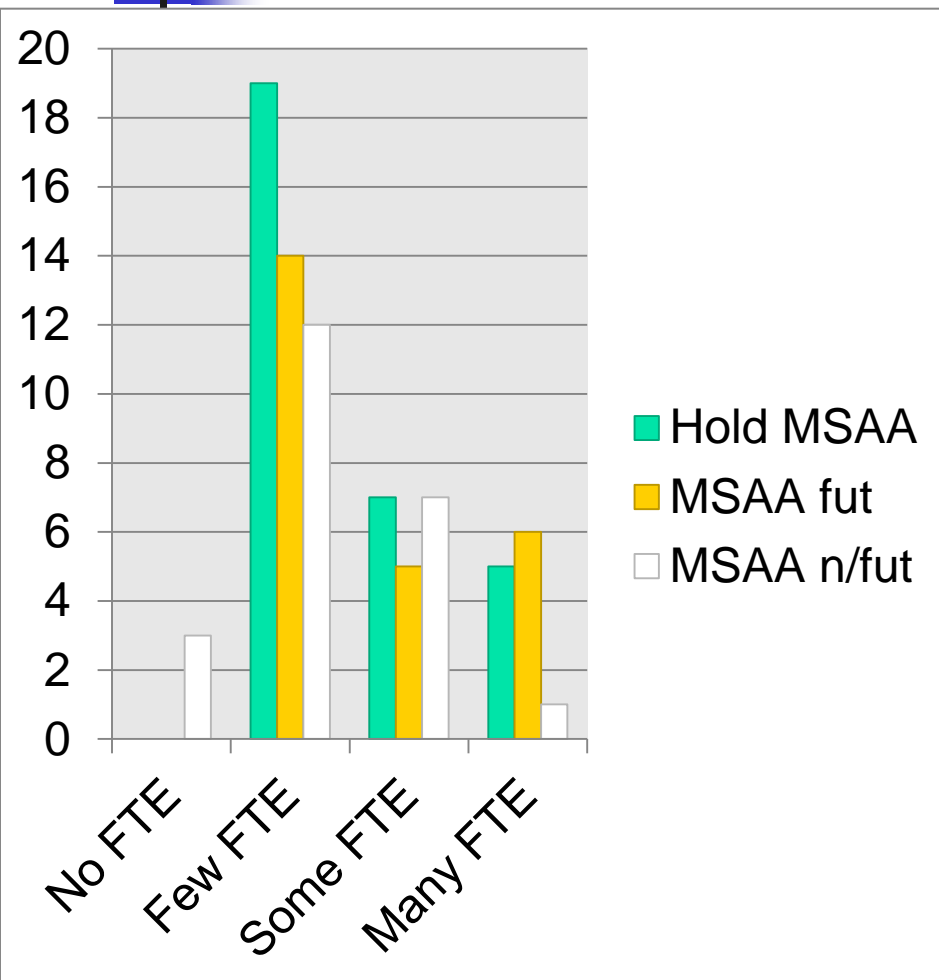




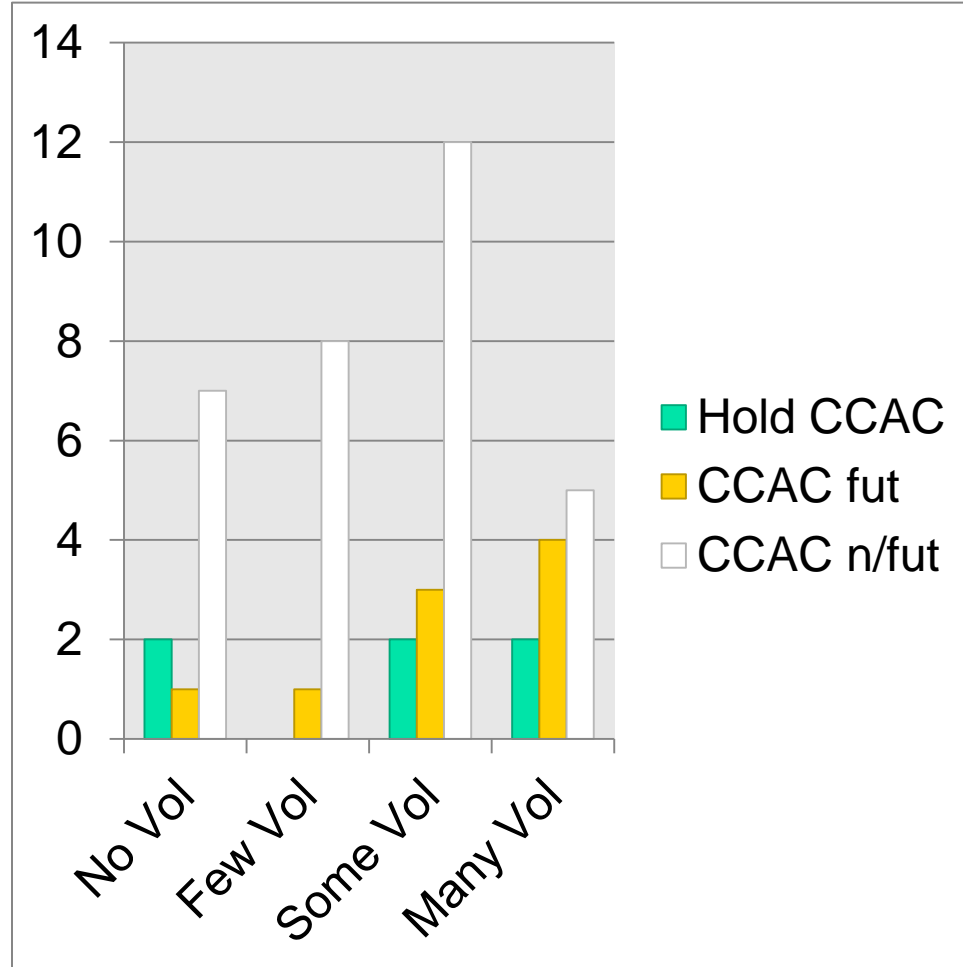
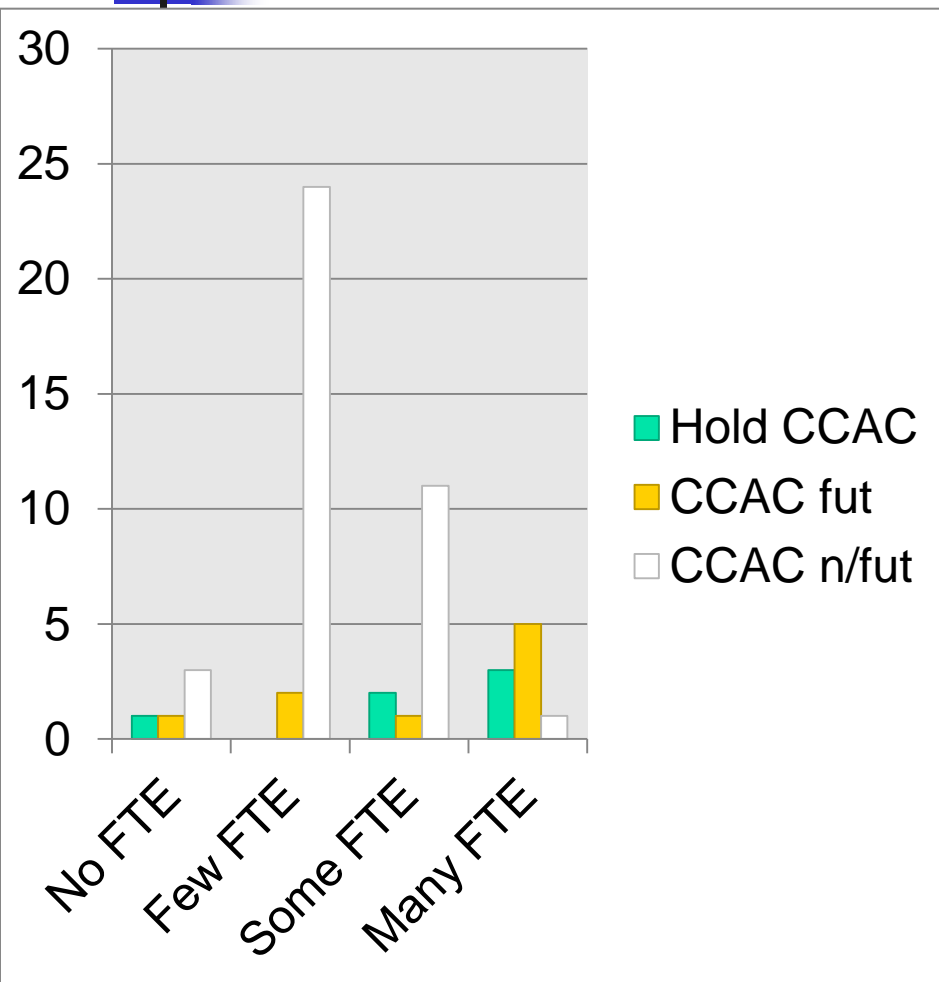
Proposition 5a

- Looking at Human Resources
- Broken down into FTE, PTE, and Ca
- Identified distribution of staff and grouped into:
 - Few (1-10)
 - Some (11-50)
 - Many (51+)
- Volunteers, focused on service volunteers
- Identified distribution of volunteers and grouped into:
 - Few (1-25)
 - Some (26-125)
 - Many (126+)

Proposition 5a



Proposition 5a

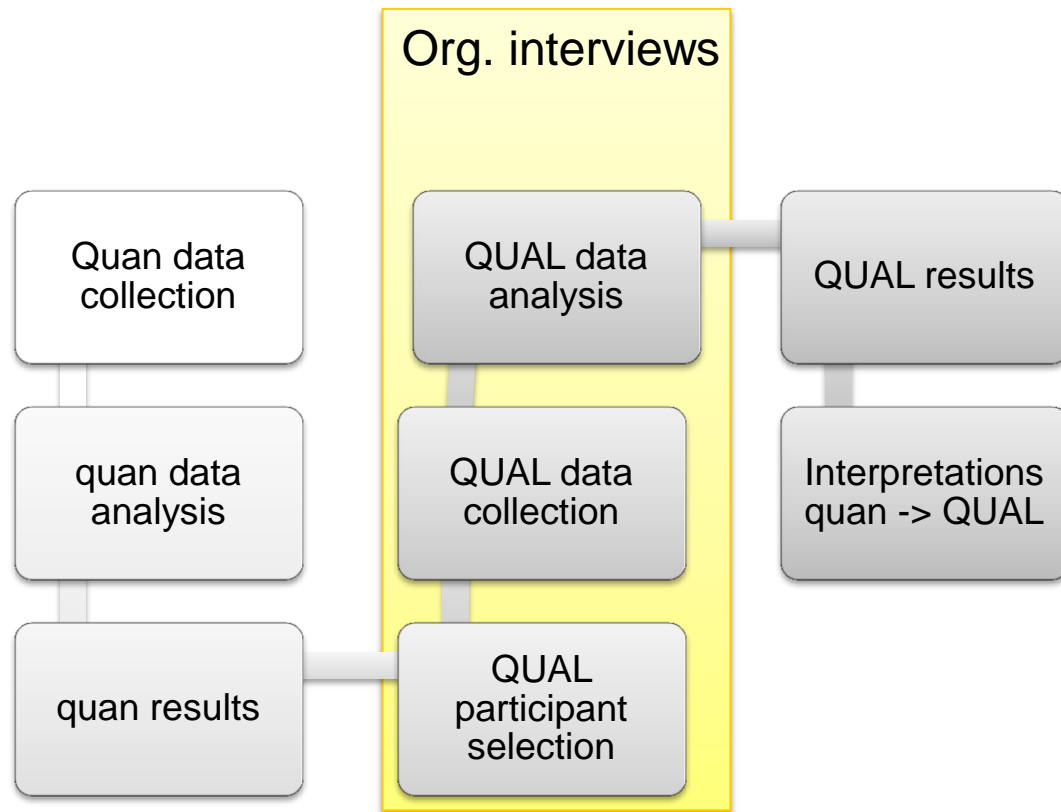




Analysis

- Most interesting analysis comes from the comparison of those who answered survey vs. those who didn't
 - In general we saw larger organizations with more access to resources more likely to answer the survey
- In terms of the survey we are seeing some patterns that align with the propositions
 - More interesting, is that the patterns differ between MSAA and CCAC
- In general, it shows that it is easier for larger organizations to adhere to multiple forms of accountability (contracts, agreements, surveys)
- Bottom line, we need to talk with organizations to find out what's really going on.

Next steps: Interviews with organizations





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THANK YOU.