

# Accountability in the Home and Community Care Sector in Ontario



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# What is accountability?

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“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)

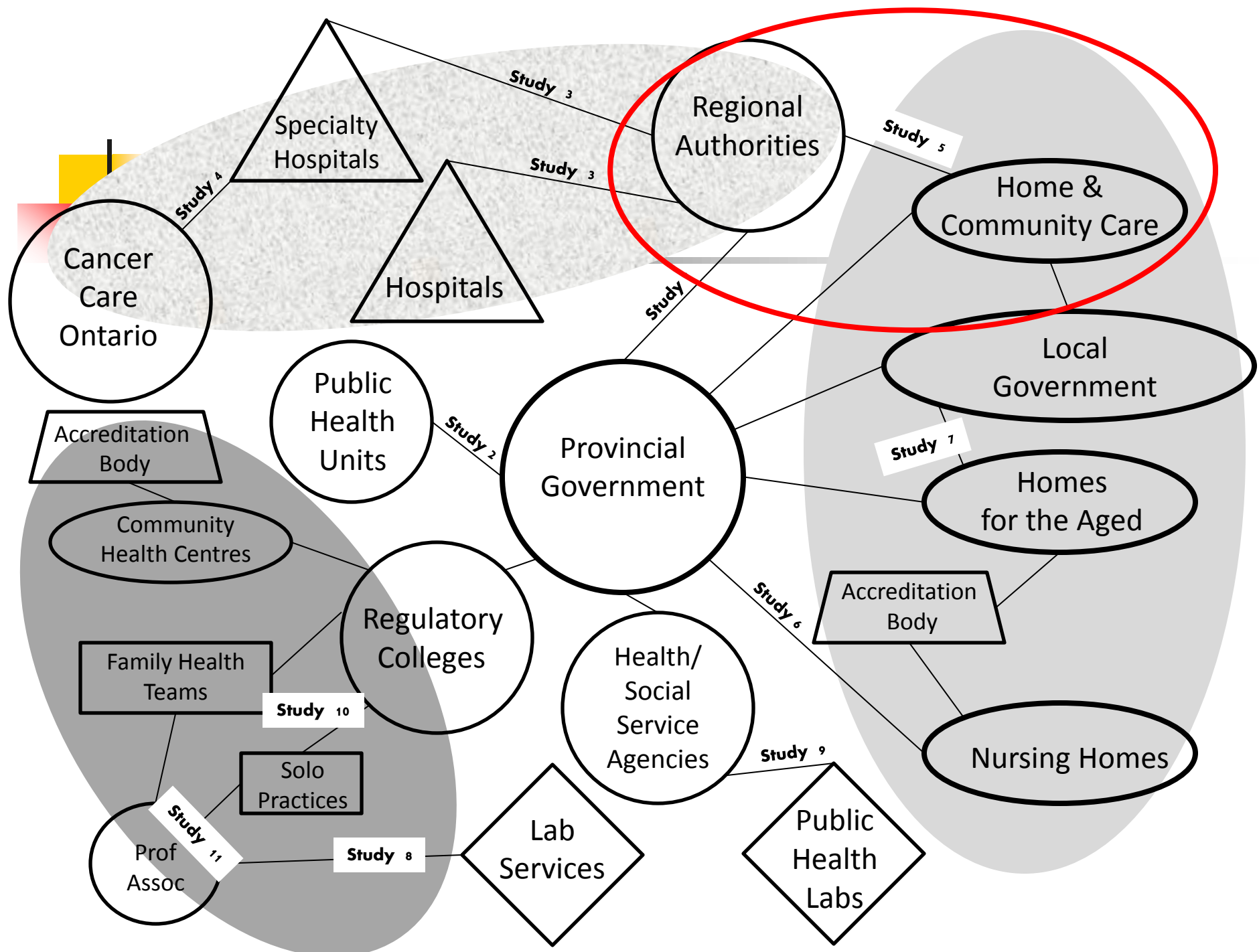
- Having to be answerable to someone, for something:
  - meeting defined objectives



# Different ways to do it

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

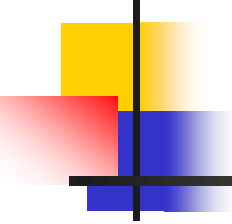




# Sub-study

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- 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)

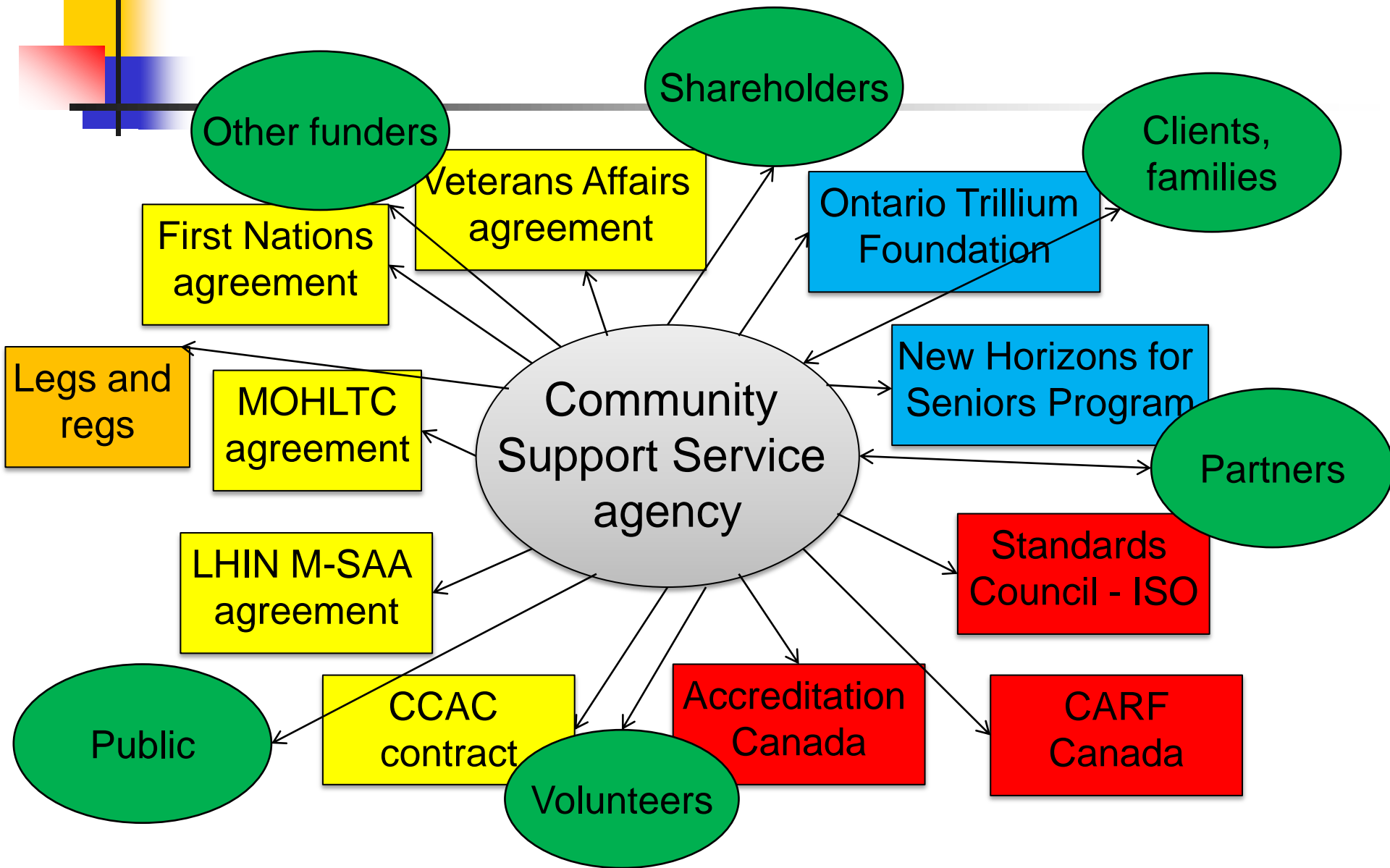


# What accountability frameworks are in place

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

# CSS agency accountabilities





# It's your turn!

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- 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

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- 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

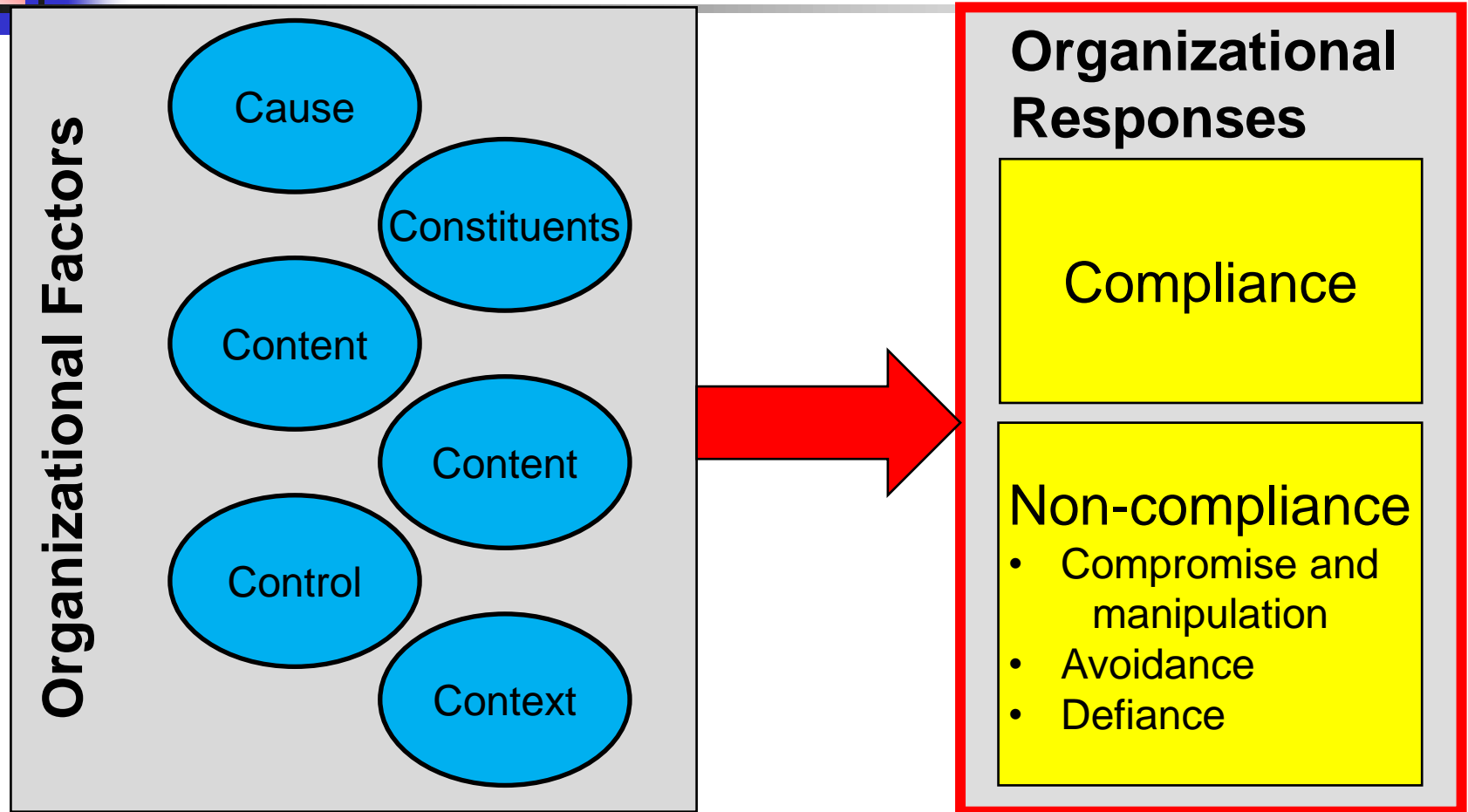


# What factors play a role and how do organizations respond

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- 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

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- 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

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- 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

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- 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

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- 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

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- 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

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- 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)

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



# What we might expect from CSSs

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- 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

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- 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

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- 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!

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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

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- 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

<b>Organizational Factor</b>	<b>Variables</b>	<b>Source(s)</b>
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

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- 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

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- 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.

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- 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

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- 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

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- 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

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- 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

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- 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

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- 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

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- 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%)



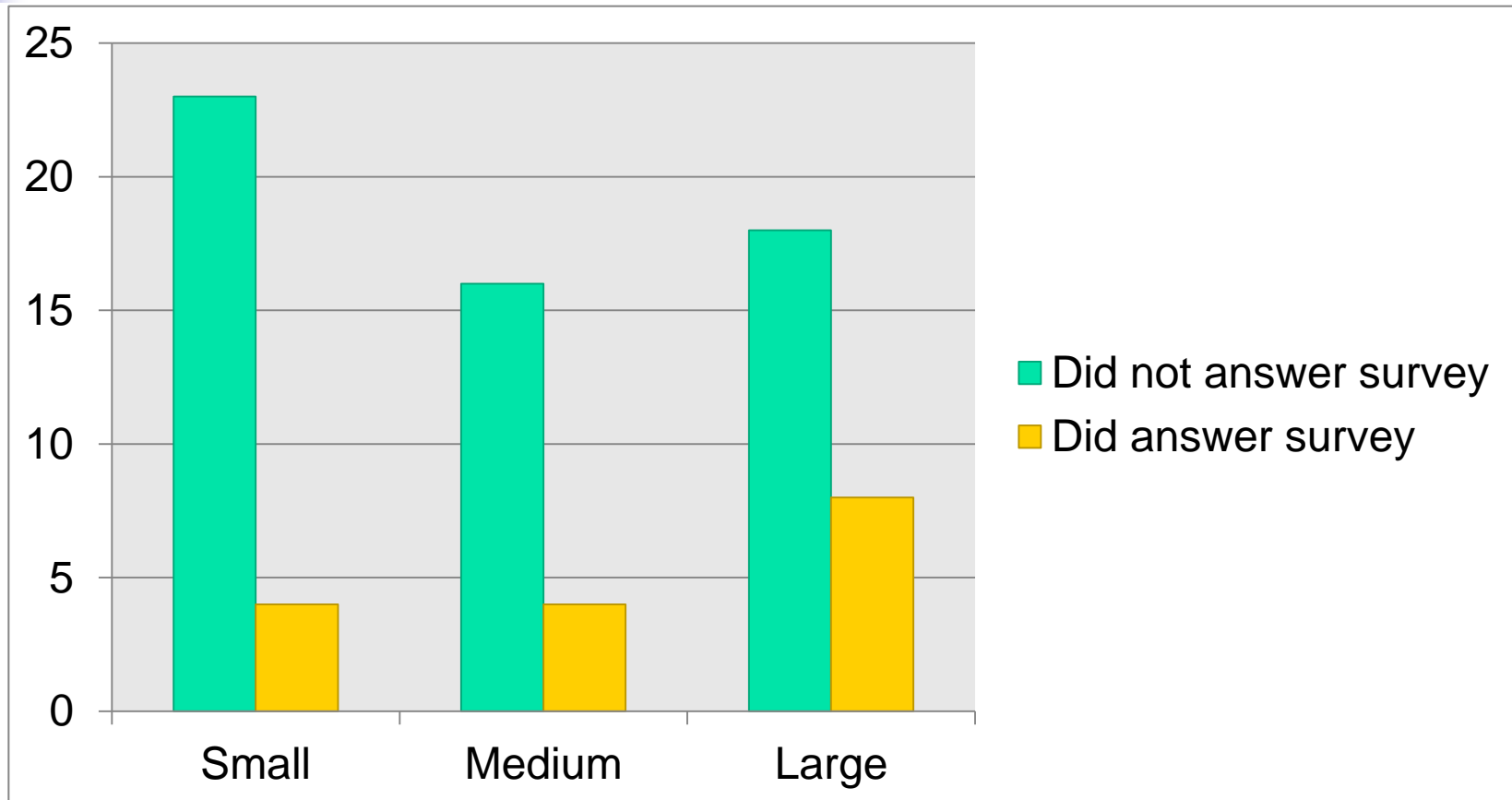
# Comparing Survey to Environmental Scan

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- 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.



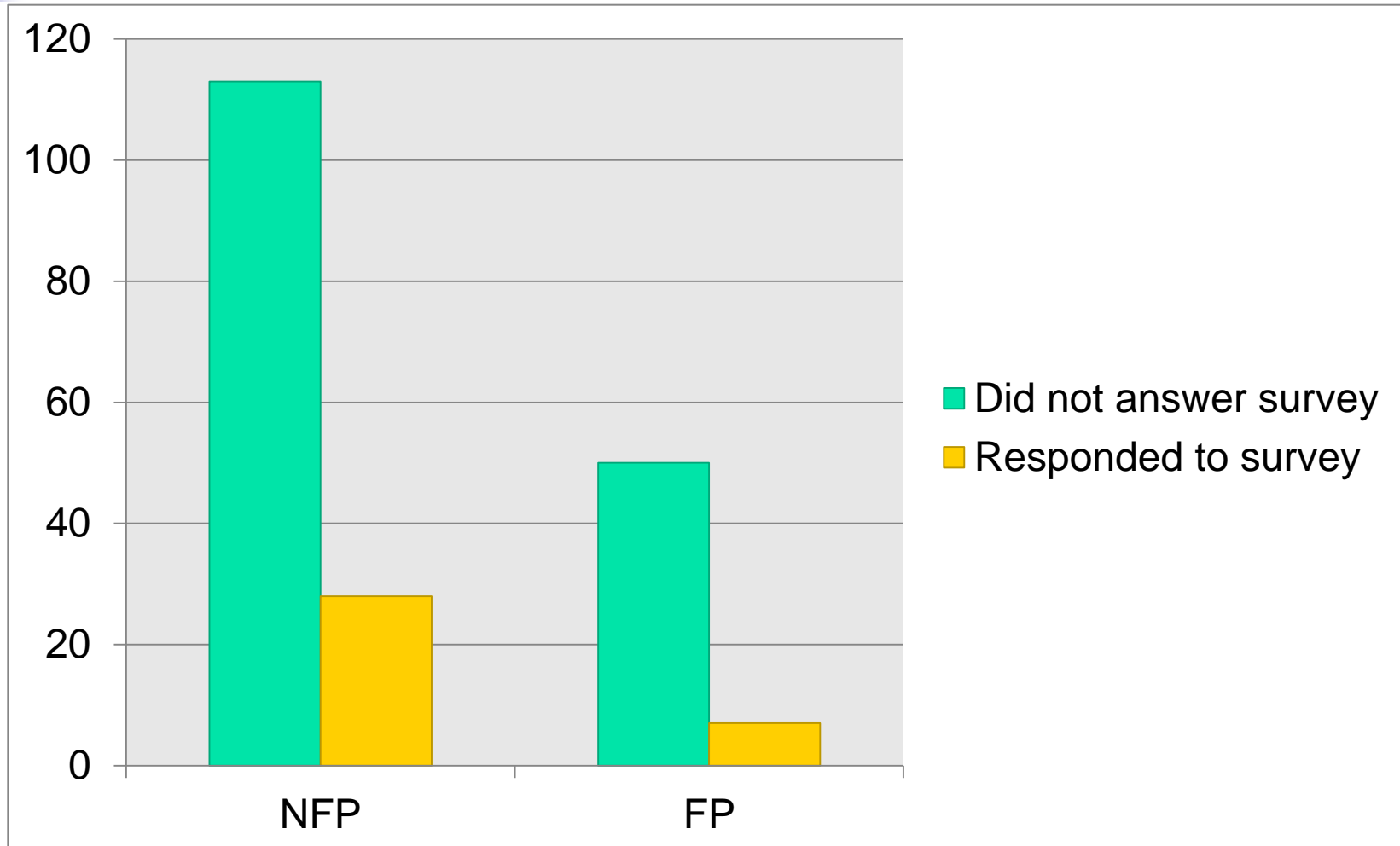


# Comparing Survey to Environmental Scan cont.

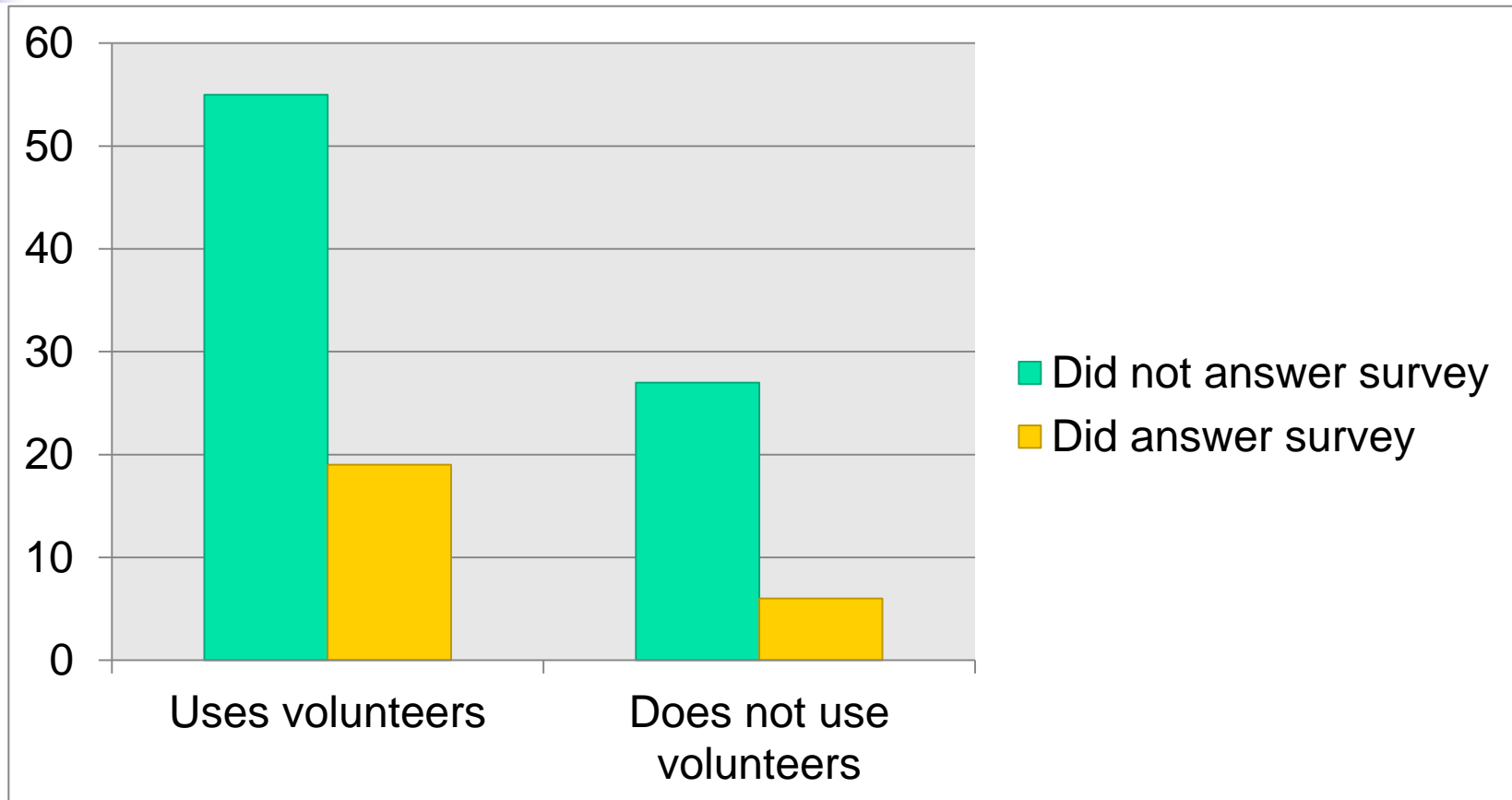
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- Service delivered
  - Organizations who answered the survey delivered more services than those who didn't
    - Exp. 50% of survey respondents provide ADP versus on 17% of non-respondents.
- Bias tends to be towards more active organizations who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

# Comparing Survey to Environmental Scan cont.



# Comparing Survey to Environmental Scan cont.





# Comparing Survey to Environmental Scan cont.

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- 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



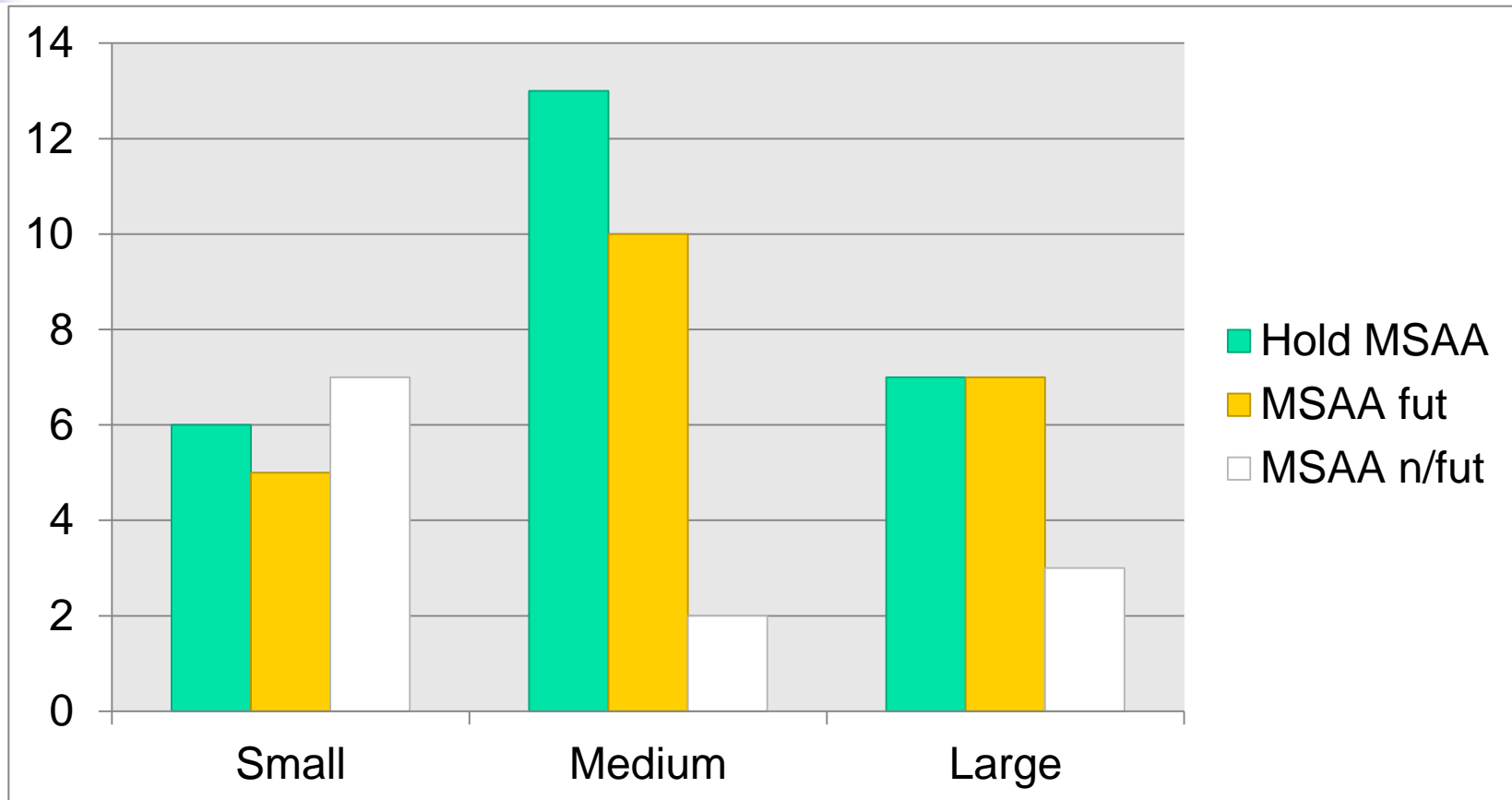
# Survey findings: testing propositions



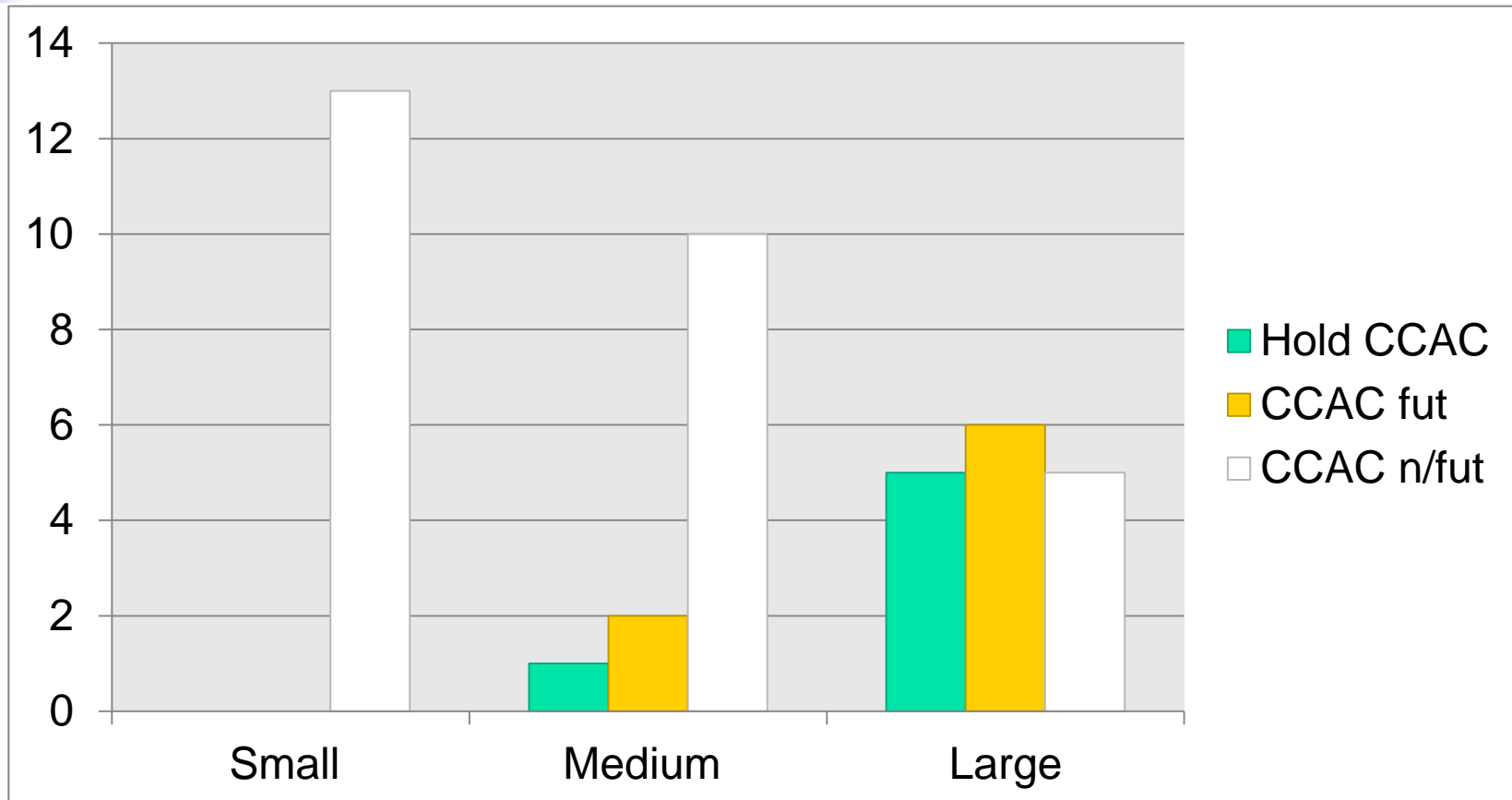
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*Proposition 1: An organizations size will be positively related to its propensity to comply with accountability requirements*

# Survey findings: testing propositions



# Survey findings: testing propositions





# Survey findings: testing propositions

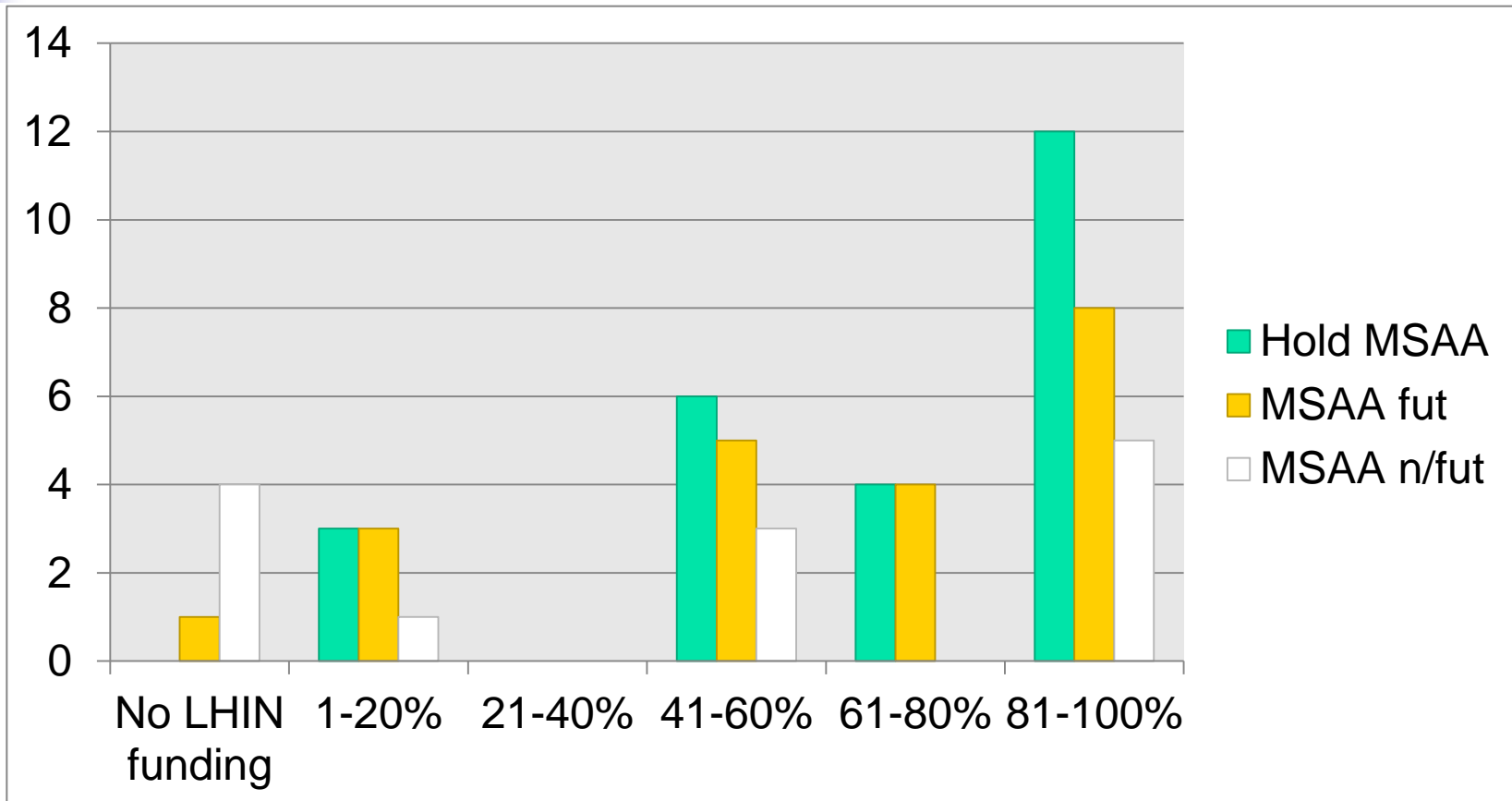
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*Proposition 2a: Organizations are more likely to acquiesce with accountability requirements from stakeholders upon whom organizations are highly dependent.*

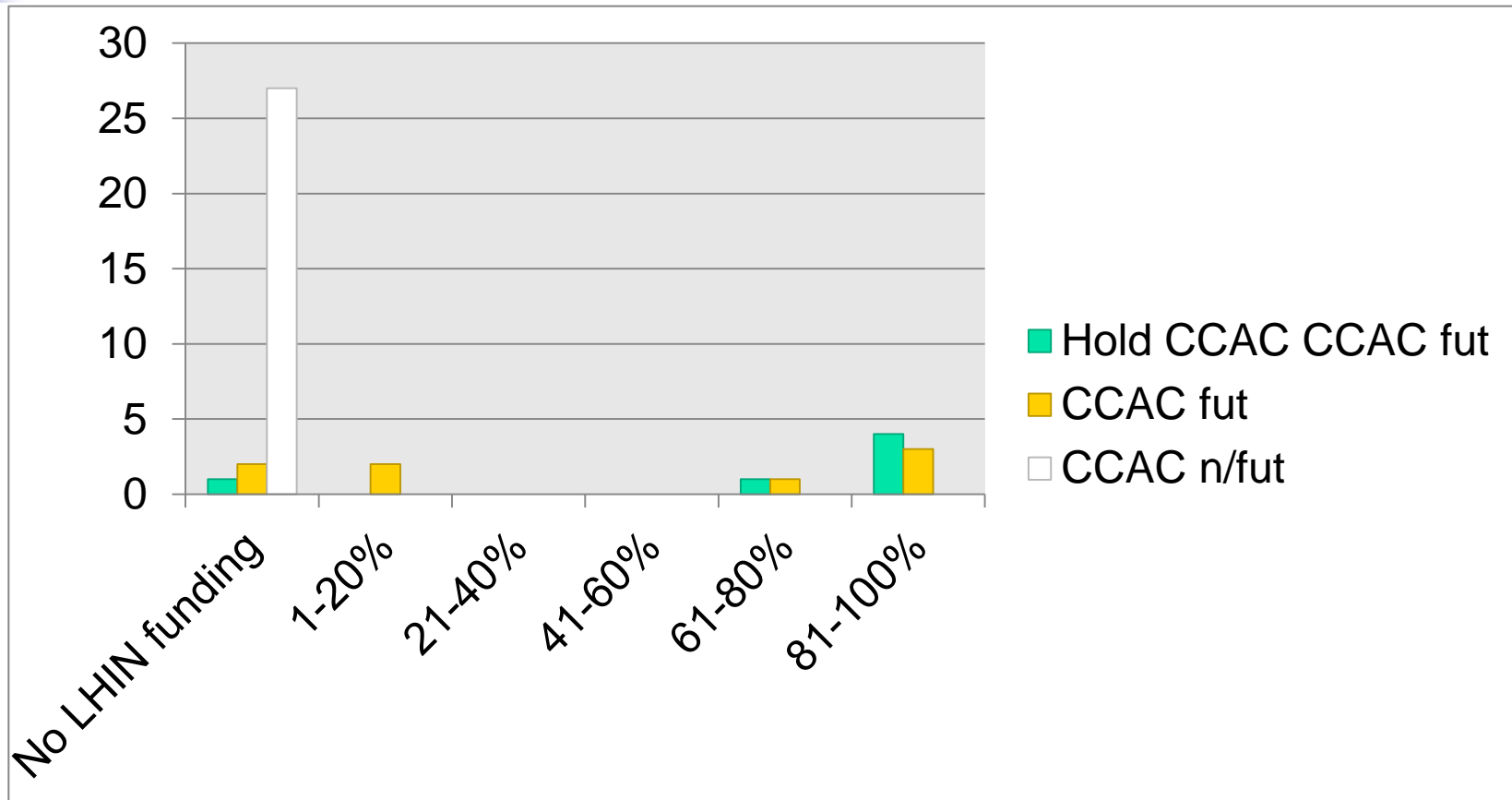
Looked at patterns for locally delivered services and services delivered across multiple regions.

- 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

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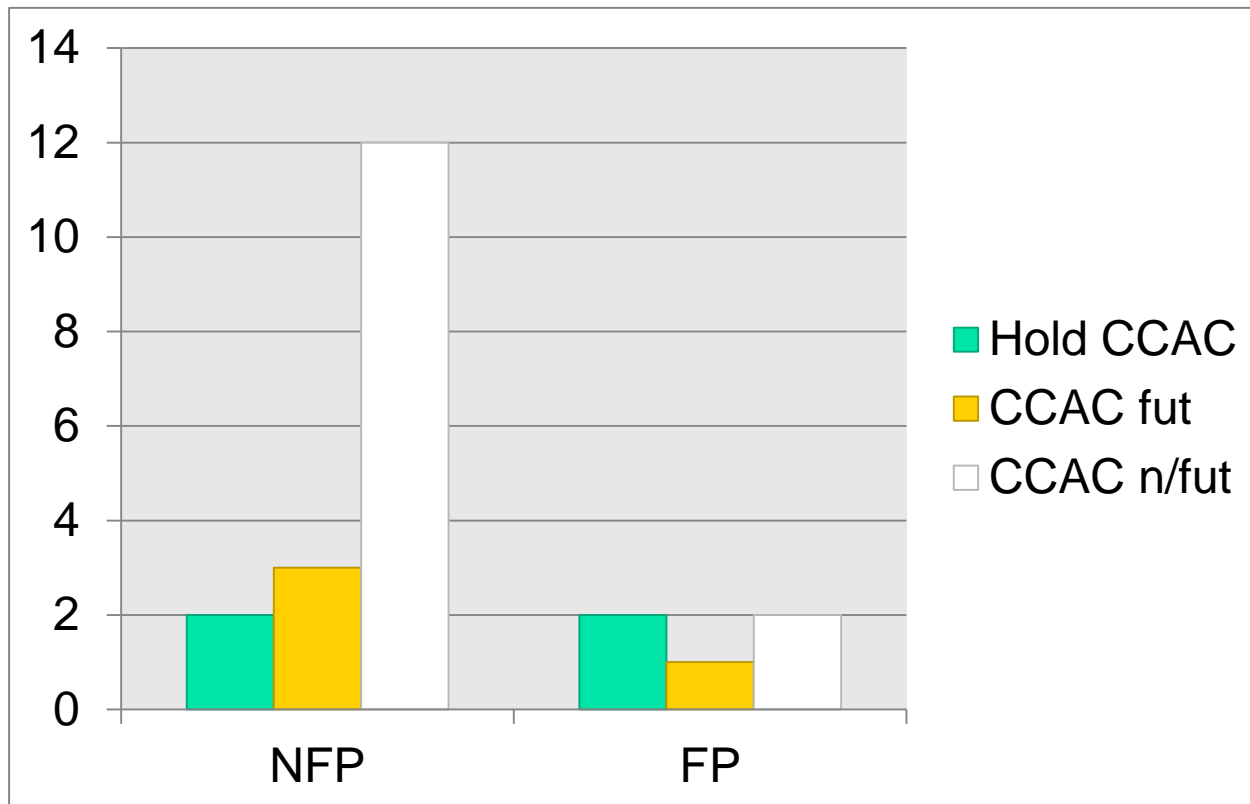
*Proposition 5a: Organizations with better access to resources will be more likely to adhere to accountability requirements*

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





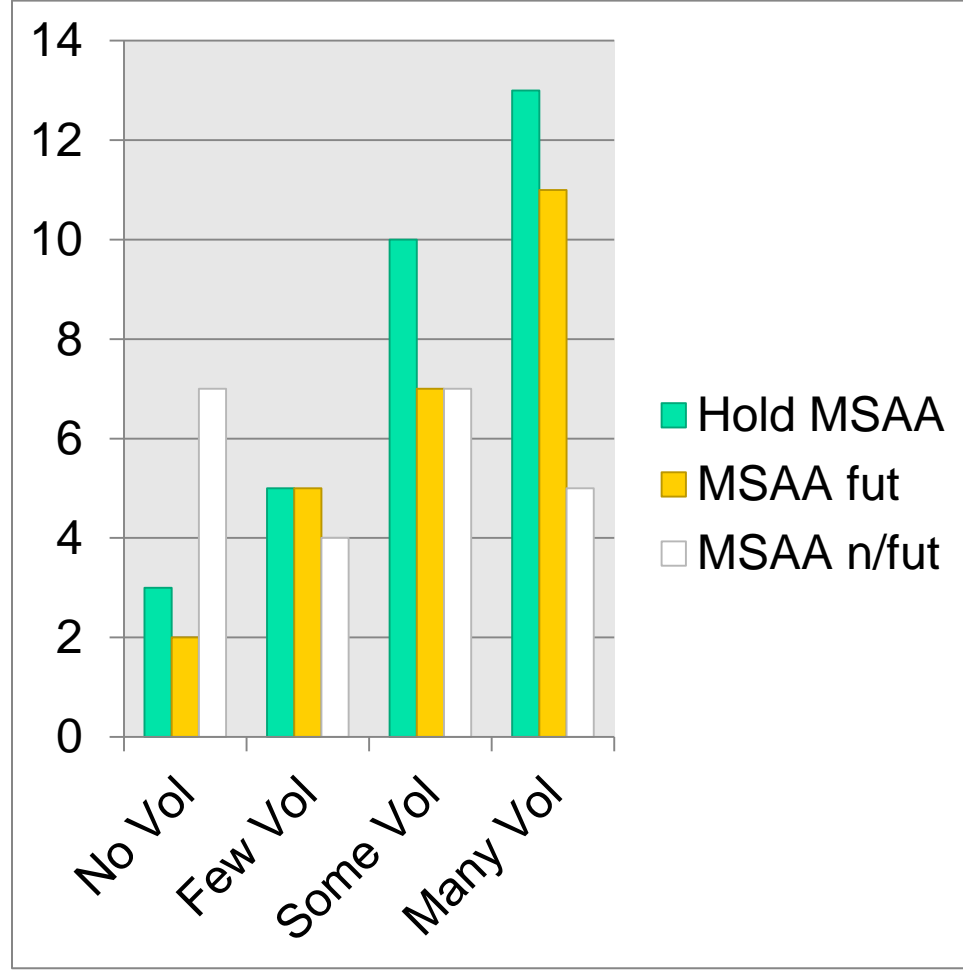
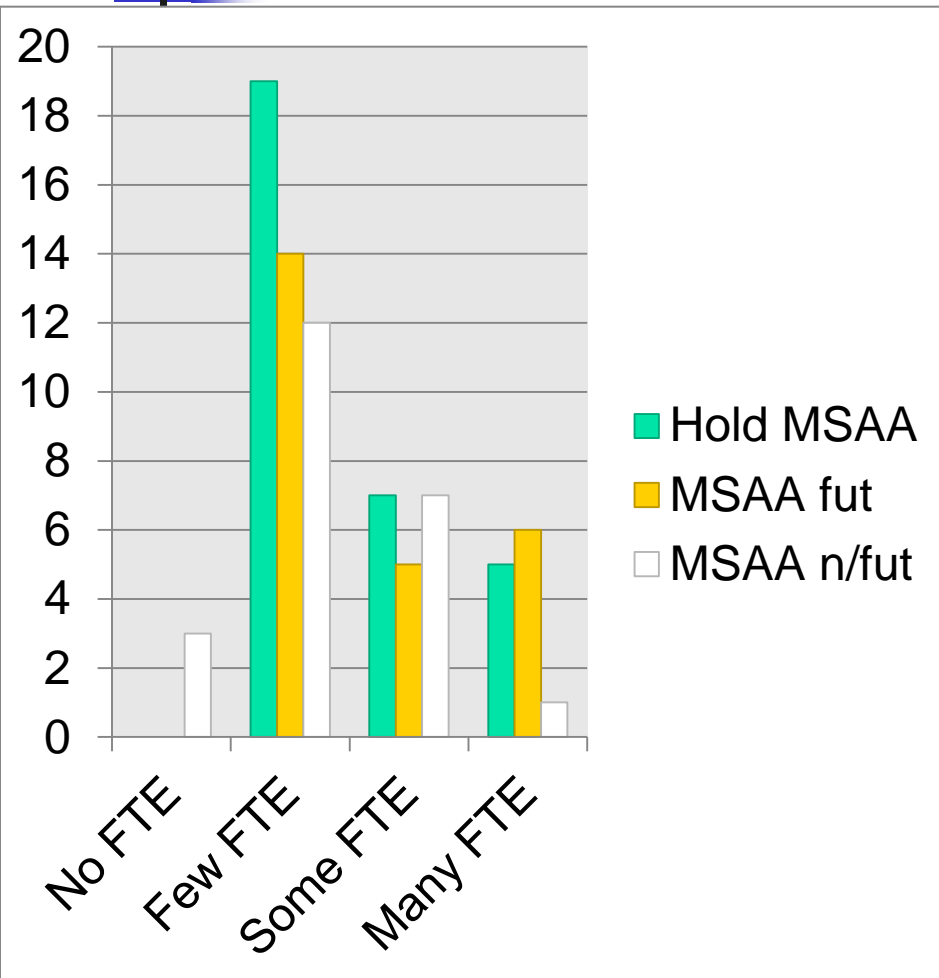


# Proposition 5a

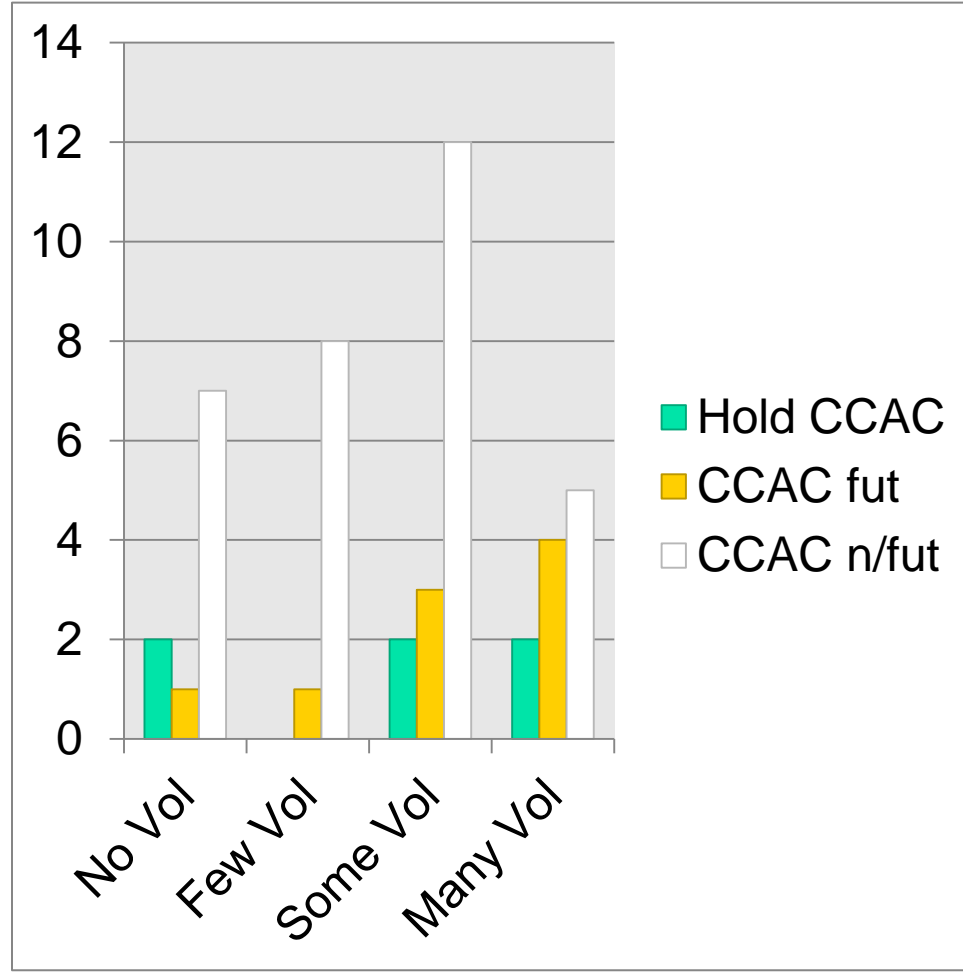
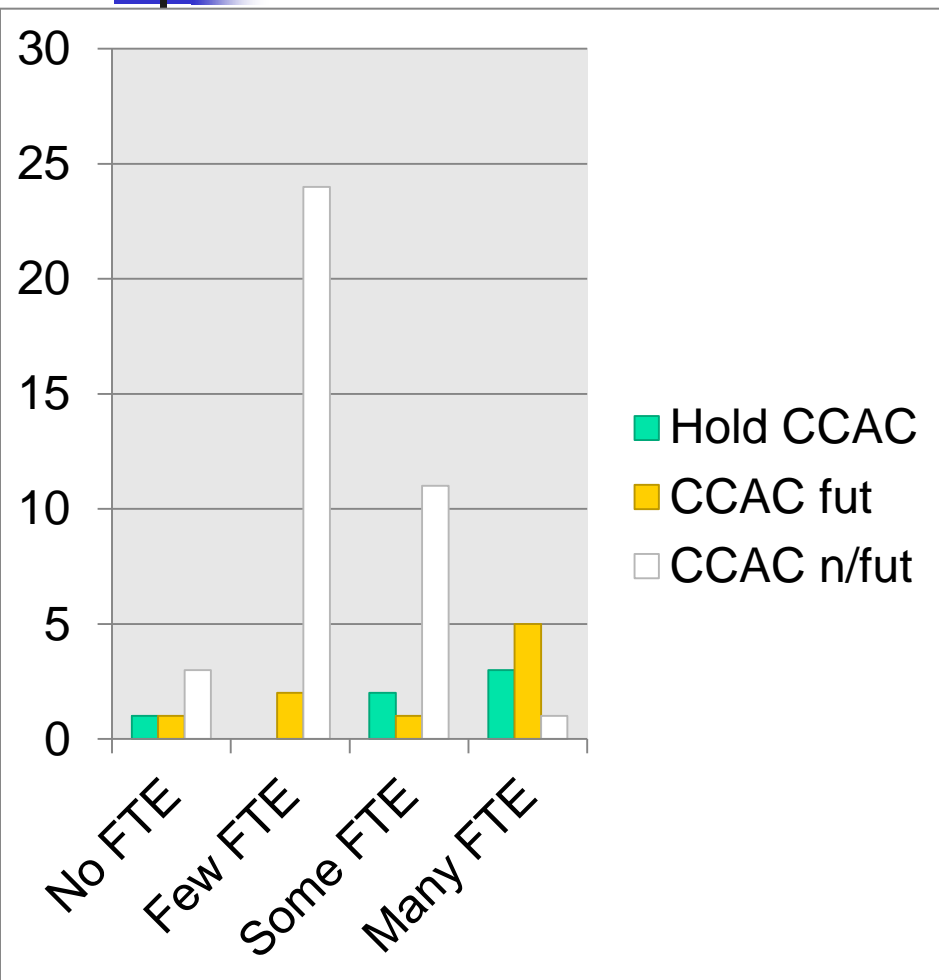
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- Looking at Human Resources
- Broken down into FTE, PTE, and Ca
- Identified distribution of staff and grouped into:
  - Few (1-10)
  - Some (11-50)
  - Many (51+)
- Volunteers, focused on service volunteers
- Identified distribution of volunteers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

# Proposition 5a



# Proposition 5a



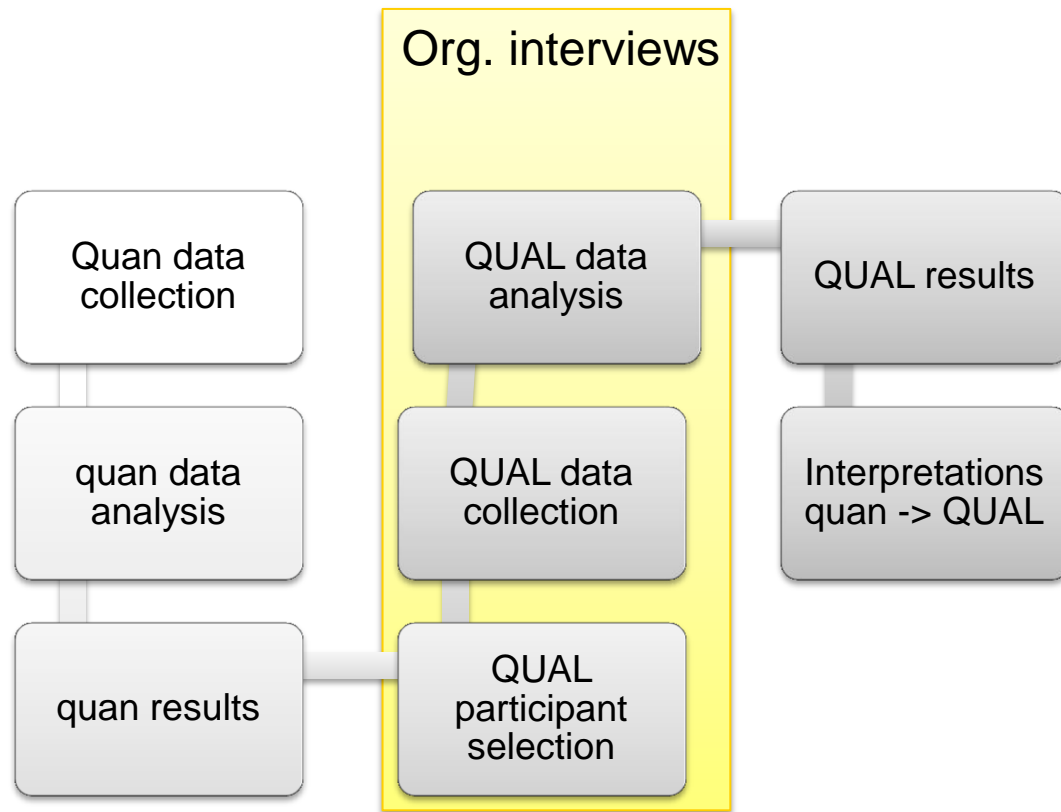


# Analysis

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- 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.**