



Transparency and Accountability:  
Essential Elements to Achieving  
Regulatory Excellence!

Brent Knowles, Kevin McCarthy, Karen Puckrin



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## Agenda

- Introduction
- Background and Methodology
- Reports Results
- Complaints Results
- Next Steps



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## Transparency

In order for information to be helpful to the public, it must:

- Be timely, easy to find and understand
- Include context and explanation



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## Accountability

- Any information provided should enhance the public’s ability to make decisions or hold the regulator accountable. This information needs to be relevant, credible and accurate



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## Background and Methodology



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## Reports vs. Complaints

- Reports:
  - Source: Employers, nurses
  - Issues: Nursing conduct, practice and health
  - Process: Discretion with College to determine appropriate action
- Complaints:
  - Source: Public
  - Issues: Nursing conduct and practice
  - Process: No discretion; must be addressed



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### Objectives

- Obtain feedback regarding experience of individuals involved in the complaints and reports programs
- Ongoing measurement of the programs' performance and evaluation of change
- Identify areas of strength and opportunities for improvement



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### Customer Experience Surveys

- Measure a customer's experience with a company
- Provide insight into how a customer interacts with a company
- Identify areas of improvement related to customer experience
- Determine if changes had desired effect on customer experience



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### Methodology

- 4 unique anonymous online customer experience surveys
  - Reports - Nurses
  - Reports - Employers
  - Complaints - Nurses
  - Complaints - Complainants
- Monthly survey invitations sent once someone exits the process



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### Reports - Employer Topics

- Awareness and experience of reporting obligation
- Experience of filing a report
- College follow-up after report is made
- Overall satisfaction with reports process



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### Reports - Nurse Topics

- Prior awareness of reports process
- Experience of being notified of a report
- Experience of investigation process
- Experience of meeting with College Staff
- Overall satisfaction with reports process
- Changes to practice



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### Complaints - Nurse Topics

- Experience of receiving a complaint
- The investigation process
- The resolution process
- Changes to practice
- Overall satisfaction with complaints process



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### Complaints - Complainant Topics

- Experience of making a complaint
- The investigation process
- The resolution process
- Overall satisfaction with complaints process



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### Response Rate

	Responses	Response Rate
Complaints – Nurses	143	33%
Complaints – Complainants	53	25%
Reports – Nurses	158	29%
Reports – Employers	175	54%



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### The Reports Process



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### The Reports Intake Process - I

- What are reports?
- Reports by the numbers
- Report is received
- Risk and nurse history analyzed



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### The Reports Intake Process - II

- Executive Director makes final decision
- Options for remediation
- Nurse receives notice of report and information CNO assessed
- All information is retained for future reference



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### Research Findings

Employers



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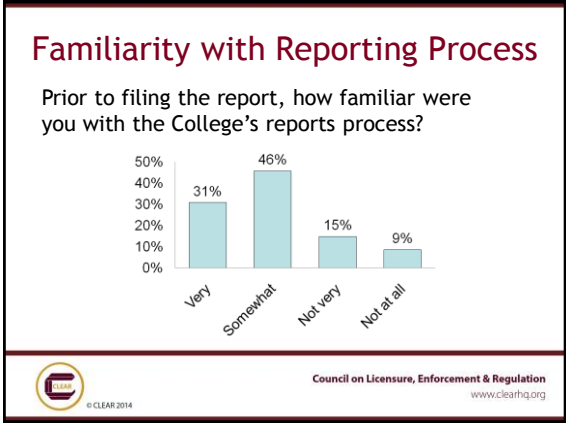
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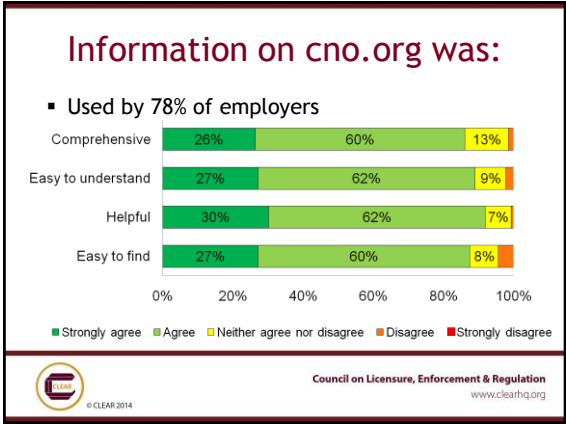
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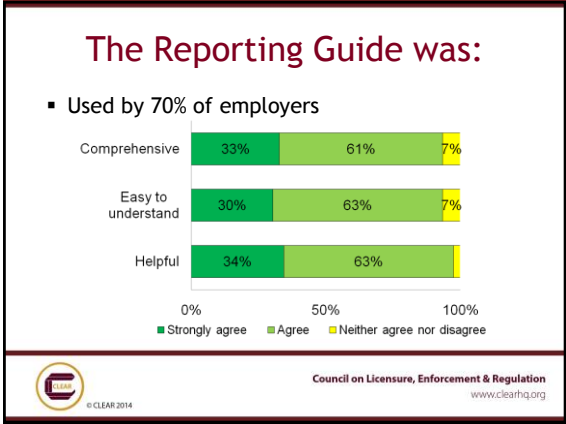
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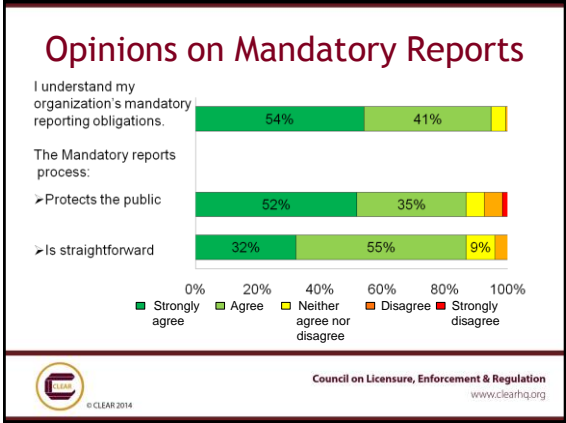
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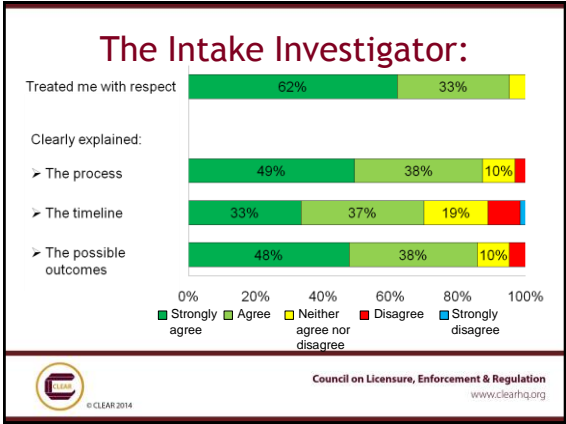
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### Summary

- Better idea of timelines
- Reporting guide
  - More examples of scenarios that require reporting
  - More information about the level of detail required



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### Research Findings

Nurses



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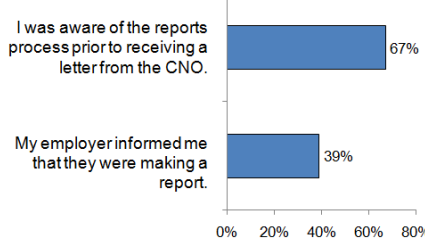
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### Awareness of Reports Process



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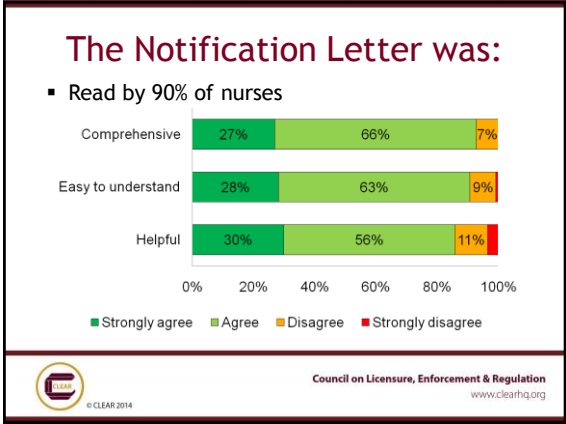
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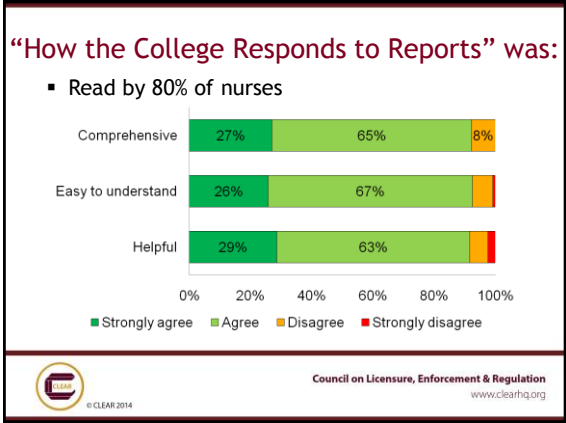
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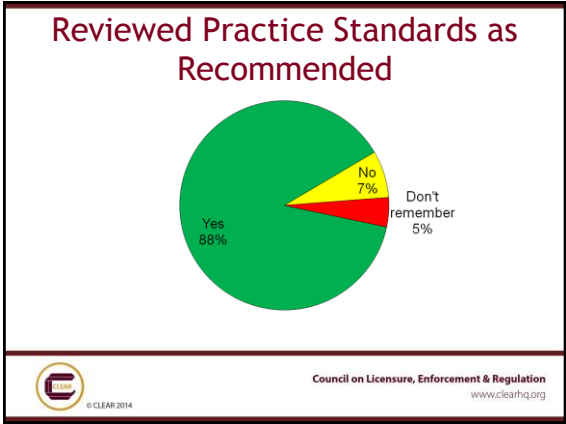
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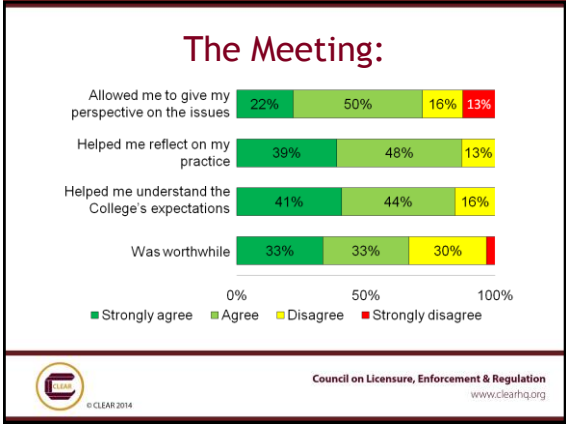
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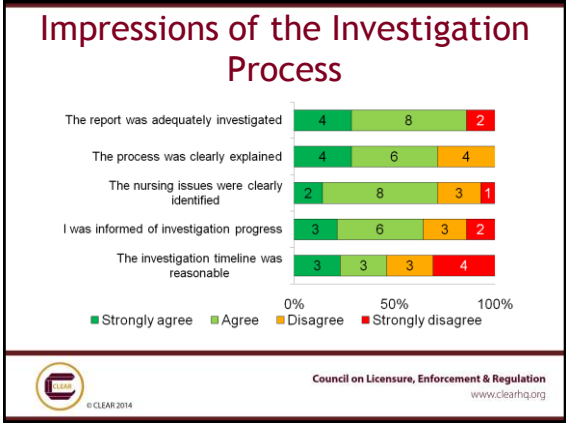
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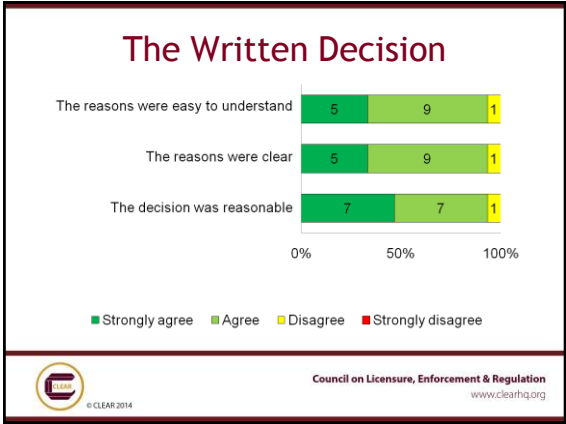
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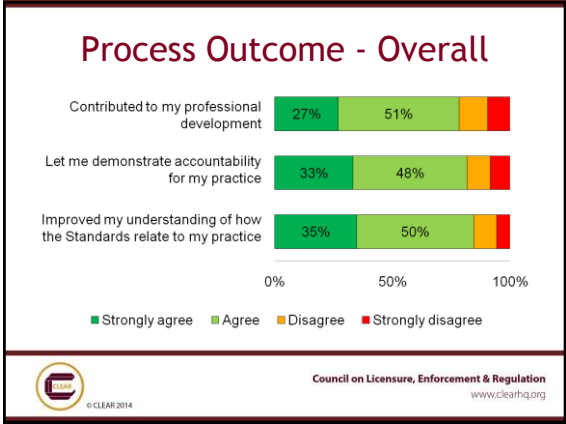
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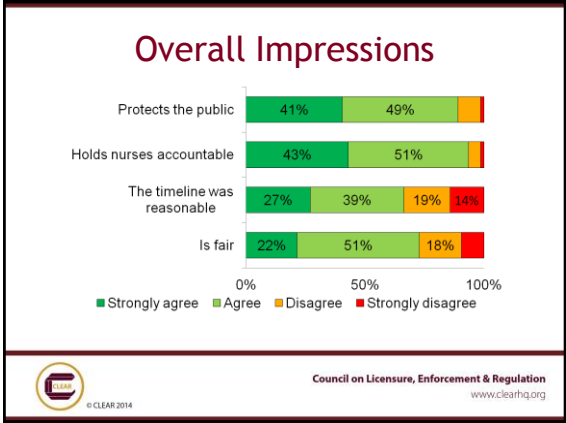
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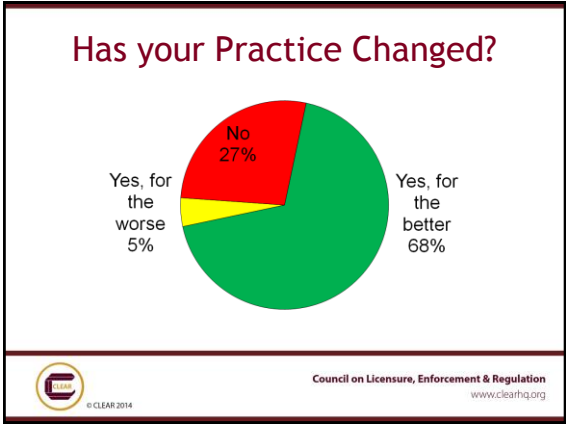
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**Summary**

- Nurses are generally satisfied with
  - The information in the notification letter
  - The Guide, “How the College Responds to Reports”
  - The materials available online
  - The impact of the process on their nursing practice
- Nurses would like a better idea of timelines for process

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**Transparency + Accountability:**  
**Top 2 Opportunities**

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**Two Opportunities - Employers**

1. Improve timelines for follow-up
2. Reporting guide
  - More examples of scenarios
  - More information about the level of detail required in report

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### Two Opportunities - Nurses

1. Shorter timelines for processes
2. Facilitate engagement in guided reflection meetings



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### Public Complaints Process



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### Complaints Program: A Primer

- Investigation
  - Less engagement
  - Longer timelines
  - Decision made by Committee
- Resolution
  - More engagement
  - Faster timelines
  - Outcome known by parties



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Research Findings  
Public Complaints Process



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Survey Results

- Results that excite:      Reflective Nurses
- Results that concern:      Dissatisfied Public
- Board's Opportunity:      Enhance accountability + transparency



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Addressing Complaints  
Early Stage



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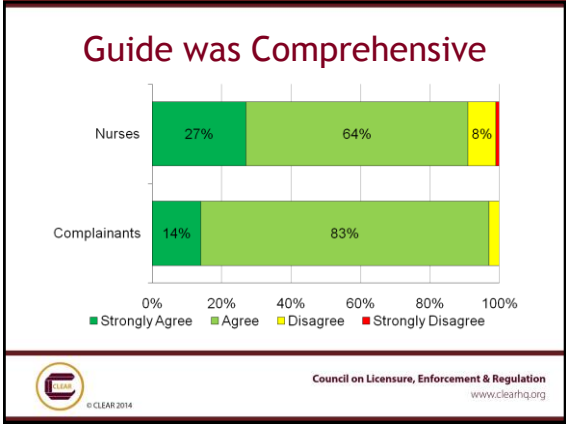
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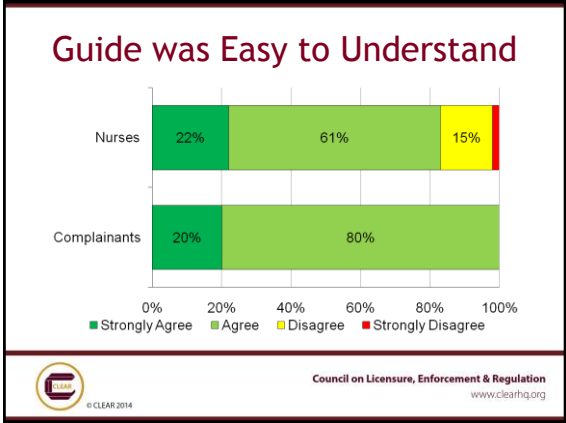
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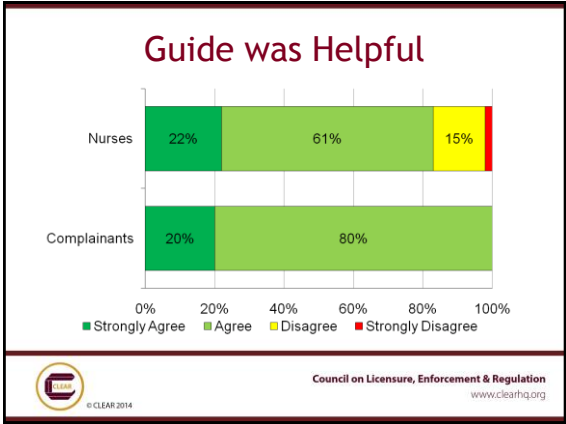
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### Complaints Info on Website



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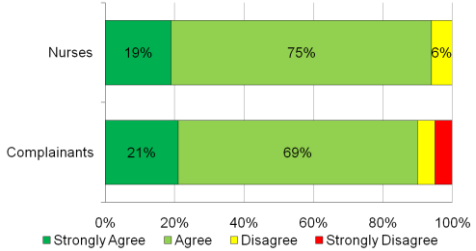
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### Web Info was Comprehensive



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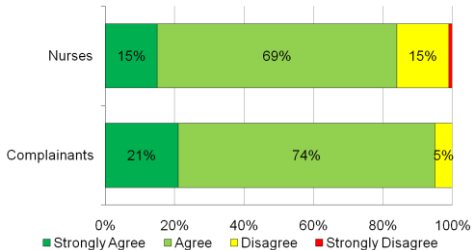
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### Web Info was Easy to Understand



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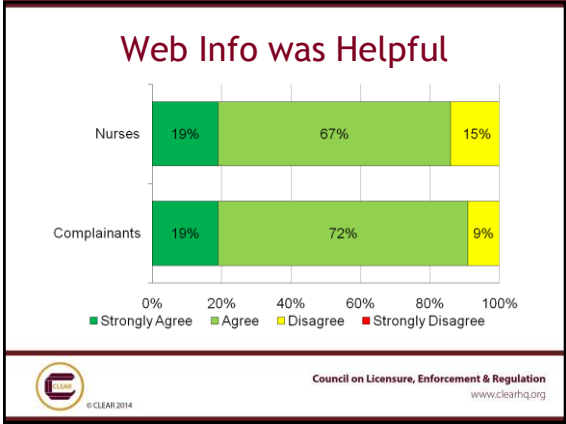
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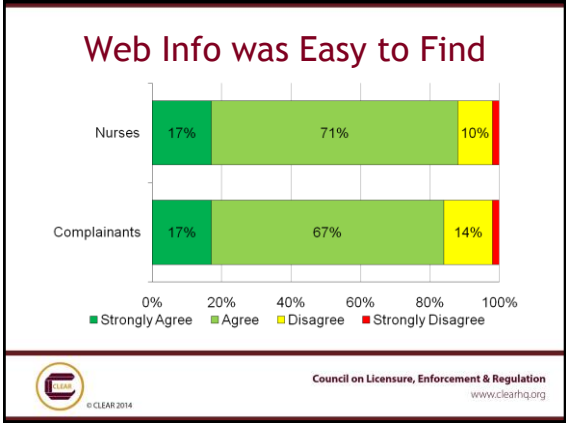
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## Making a Complaint

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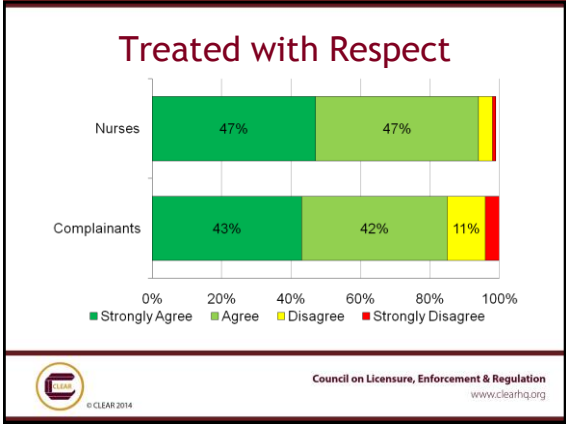
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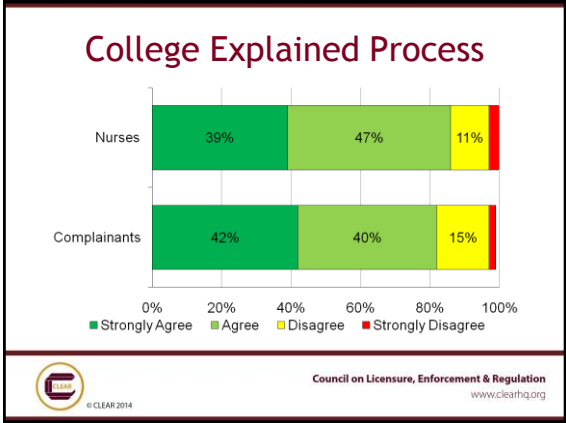
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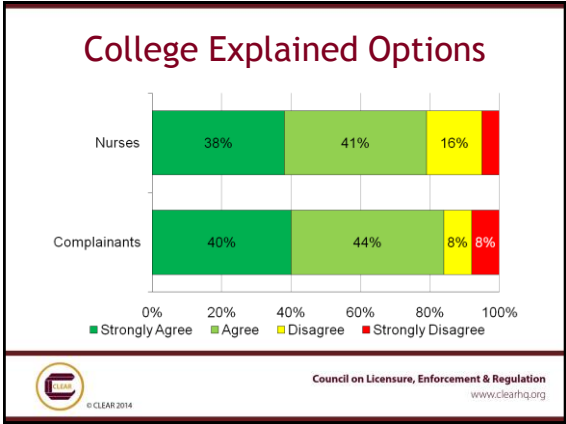
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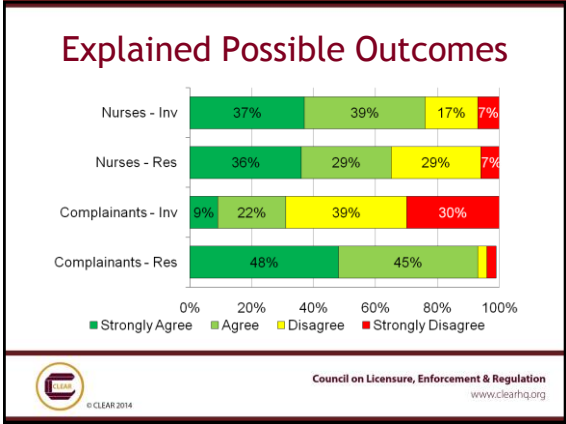
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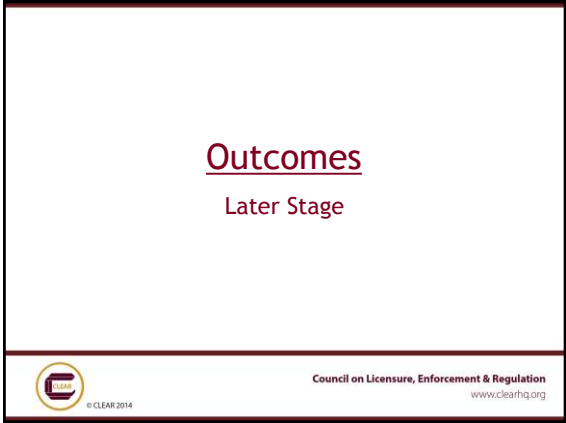
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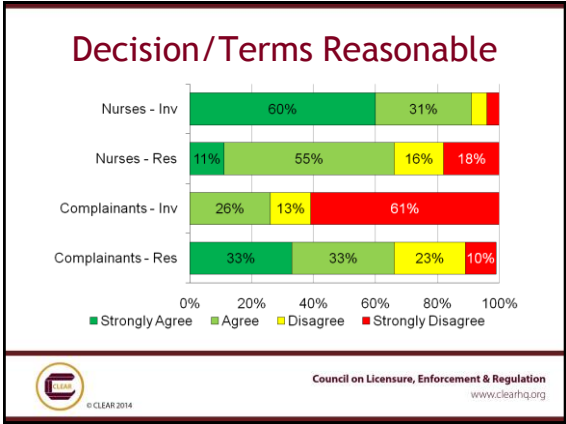
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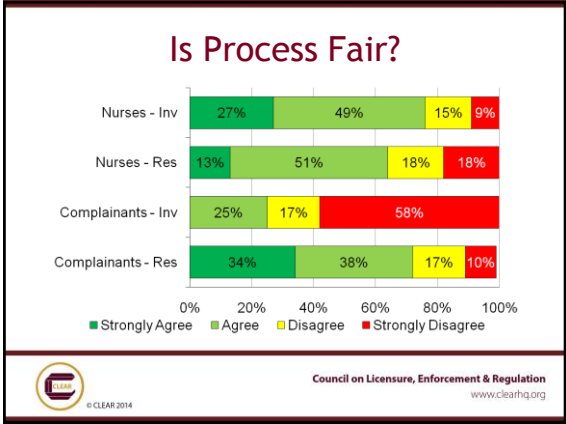
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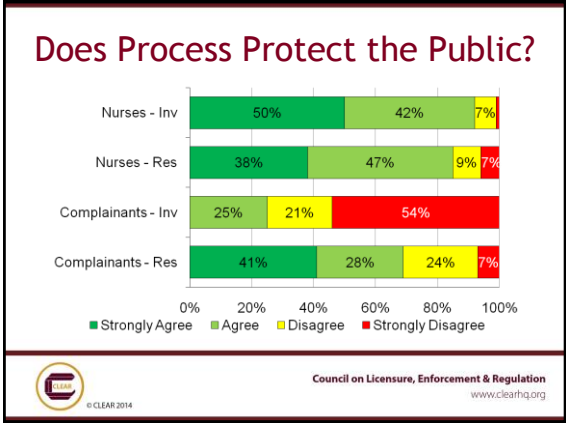
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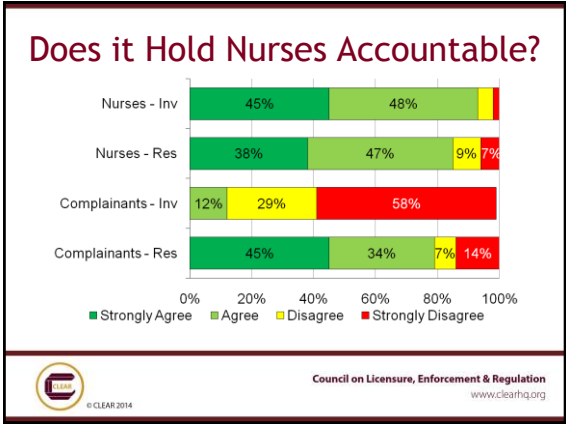
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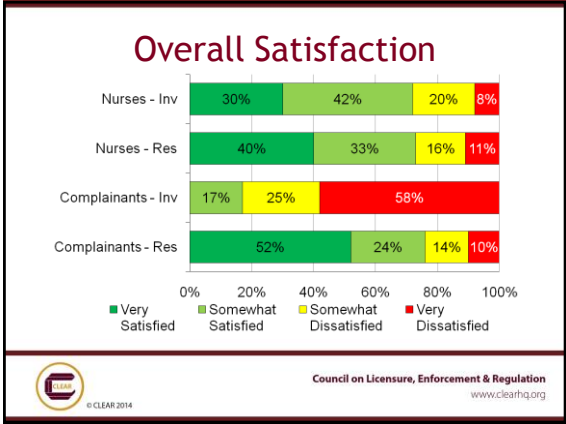
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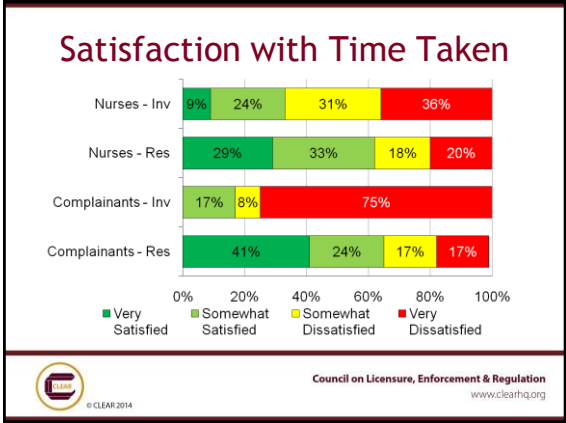
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## Changes to Nurse Behaviour

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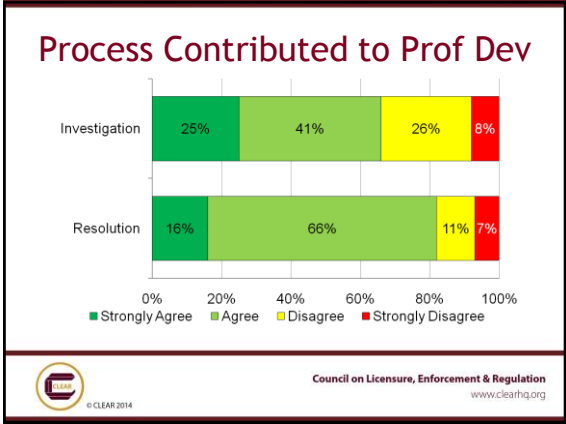
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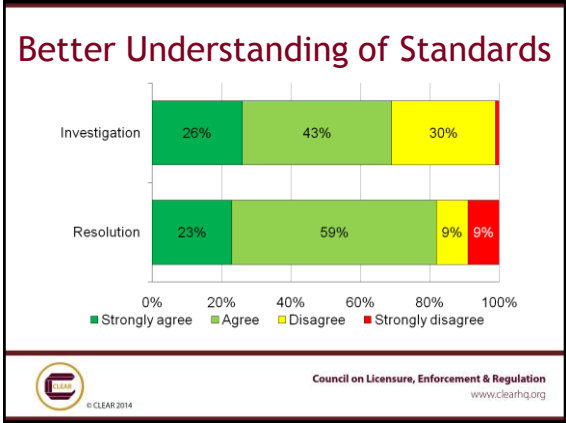
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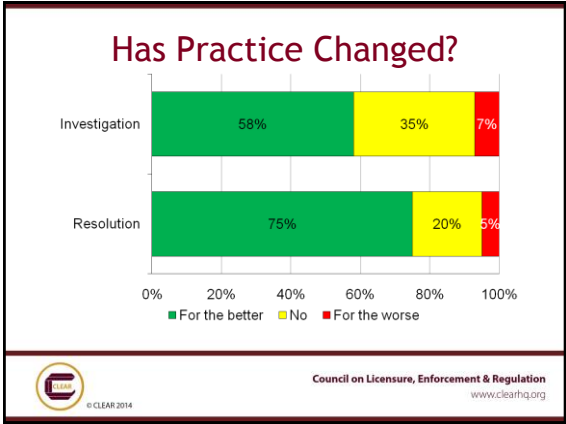
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**Transparency + Accountability:**  
Top 3 Opportunities



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**1. Improve Timelines**

- No one likes waiting - undermines confidence
- Quick win: Decision writing for Investigations
- Provide specific information on timelines



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**2. Show, Don't Tell**

- Less text
- More images
- Quotations from stakeholders
- Clear language
- REAL numbers (outcomes, percentages, timelines)



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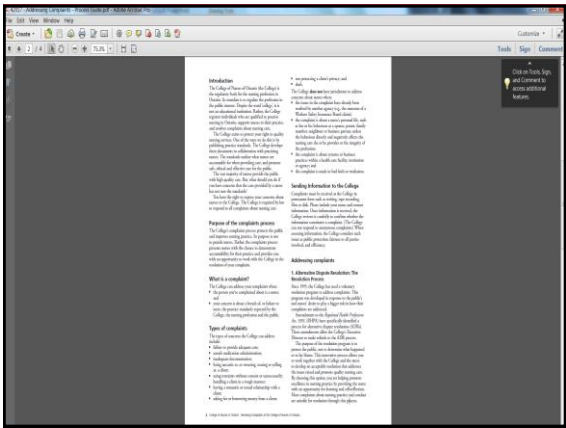
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### 3. ADR is Better

- Appropriate in most matters
- Increased Participation / Guaranteed Outcome
- Public and Registrant satisfied (engaged)
- Improves Practice
- Timelines, Timelines, Timelines
- Public Engagement + Confidence



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### Next Steps

- Refine survey questions
- Evaluate impact of changes
- Apply methodology to other College processes



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Transparency and Accountability:  
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New Orleans, Louisiana  
Sept. 11-13, 2014

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