

# BASIC ASSURANCES® WEBINAR SERIES

## Factor 6: Safe Environments



Elizabeth Sites | Quality Enhancement Specialist



# CQL | THE COUNCIL ON QUALITY AND LEADERSHIP ABOUT US

## *Vision*

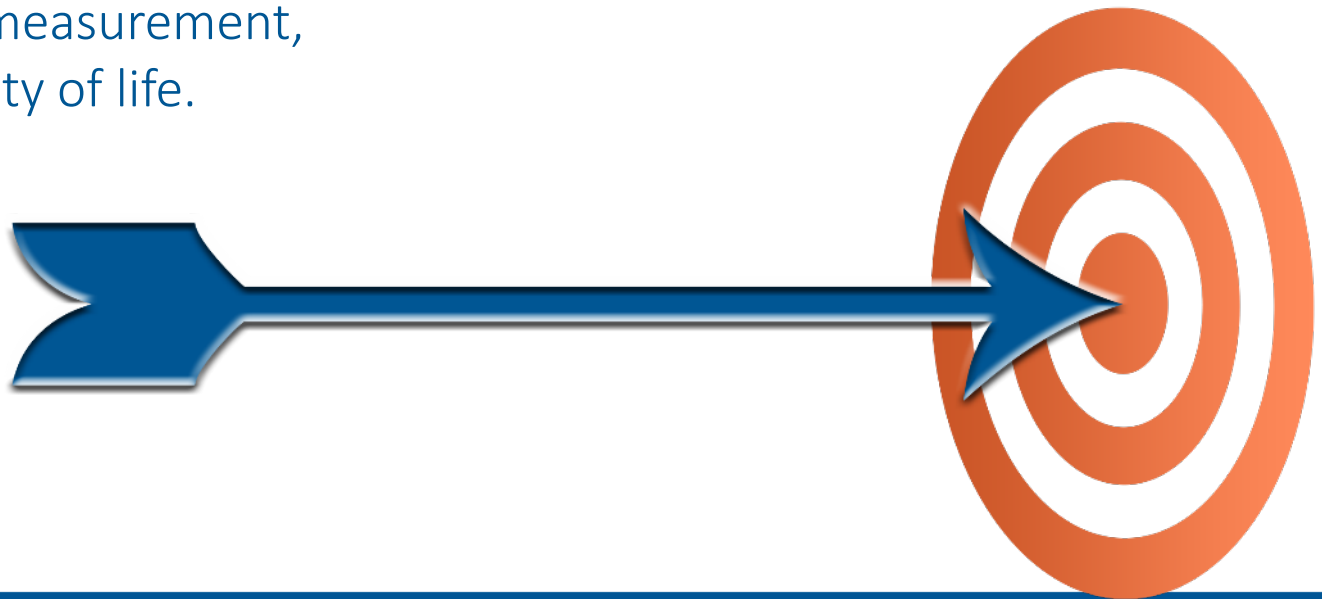
---

A world of dignity, opportunity, and community for **all** people.

## *Mission*

---

CQL is dedicated to the definition, measurement, and improvement of **personal** quality of life.





CQL | THE COUNCIL ON QUALITY AND LEADERSHIP  
ABOUT US

Change *Inspires* us.

“Quality is a continuous journey,  
it’s not a destination.”

*- Jeff Pederson, CHI Friendship*



# CQL | THE COUNCIL ON QUALITY AND LEADERSHIP

## CQL PARTNERSHIP

- An *appreciative* approach to quality enhancement
- Opportunities not deficiencies
- Continuous quality improvement





# CQL | THE COUNCIL ON QUALITY AND LEADERSHIP

## WEBINAR OVERVIEW

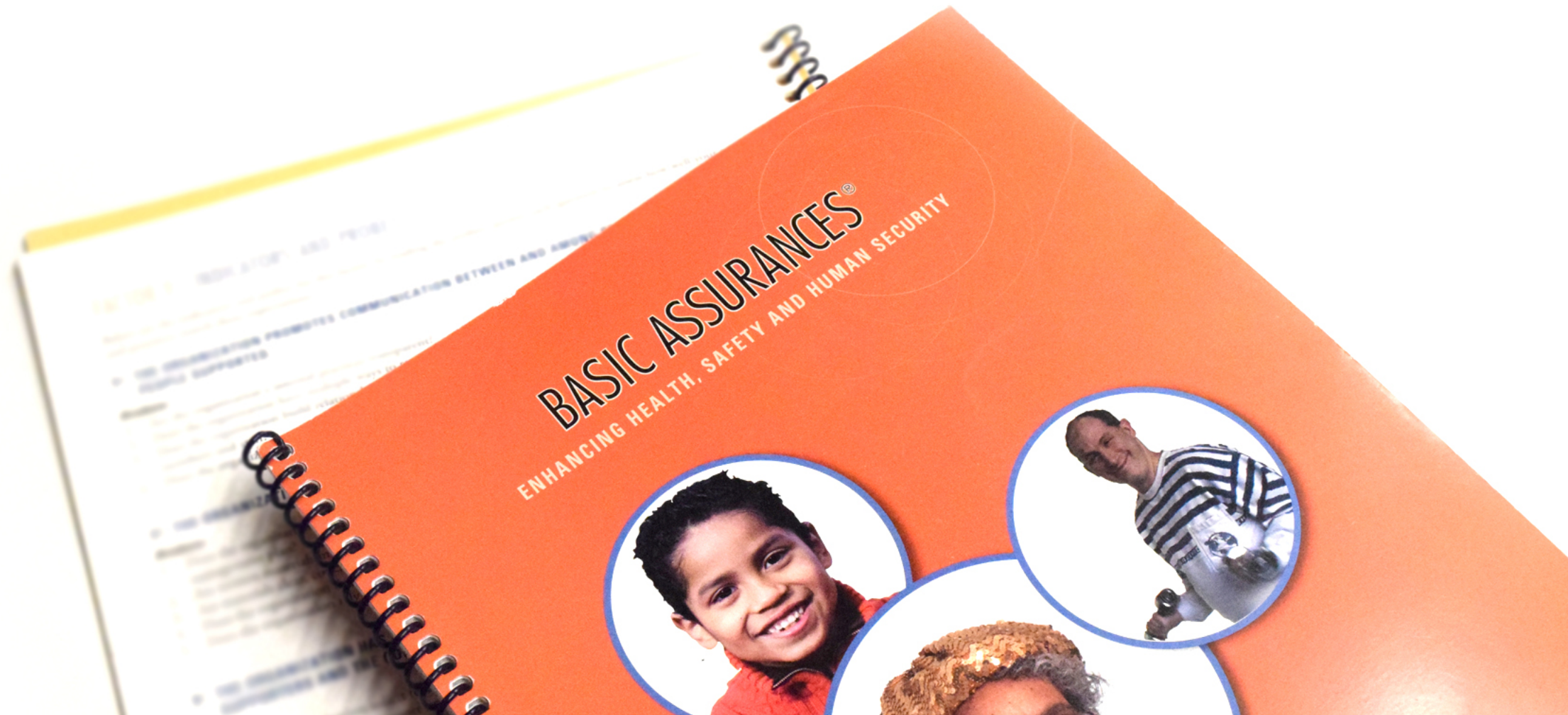
- Introduction to the Basic Assurances®
- Process and evidence collection
- Indicator A: The organization provides individualized safety supports.
- Indicator B: The physical environment promotes people's health, safety and independence.
- Indicator C: The organization has individualized emergency plans.
- Indicator D: Routine inspections ensure that environments are sanitary and hazard free.
- Red Flags
- Factor Six Data
- Questions





# BASIC ASSURANCES®

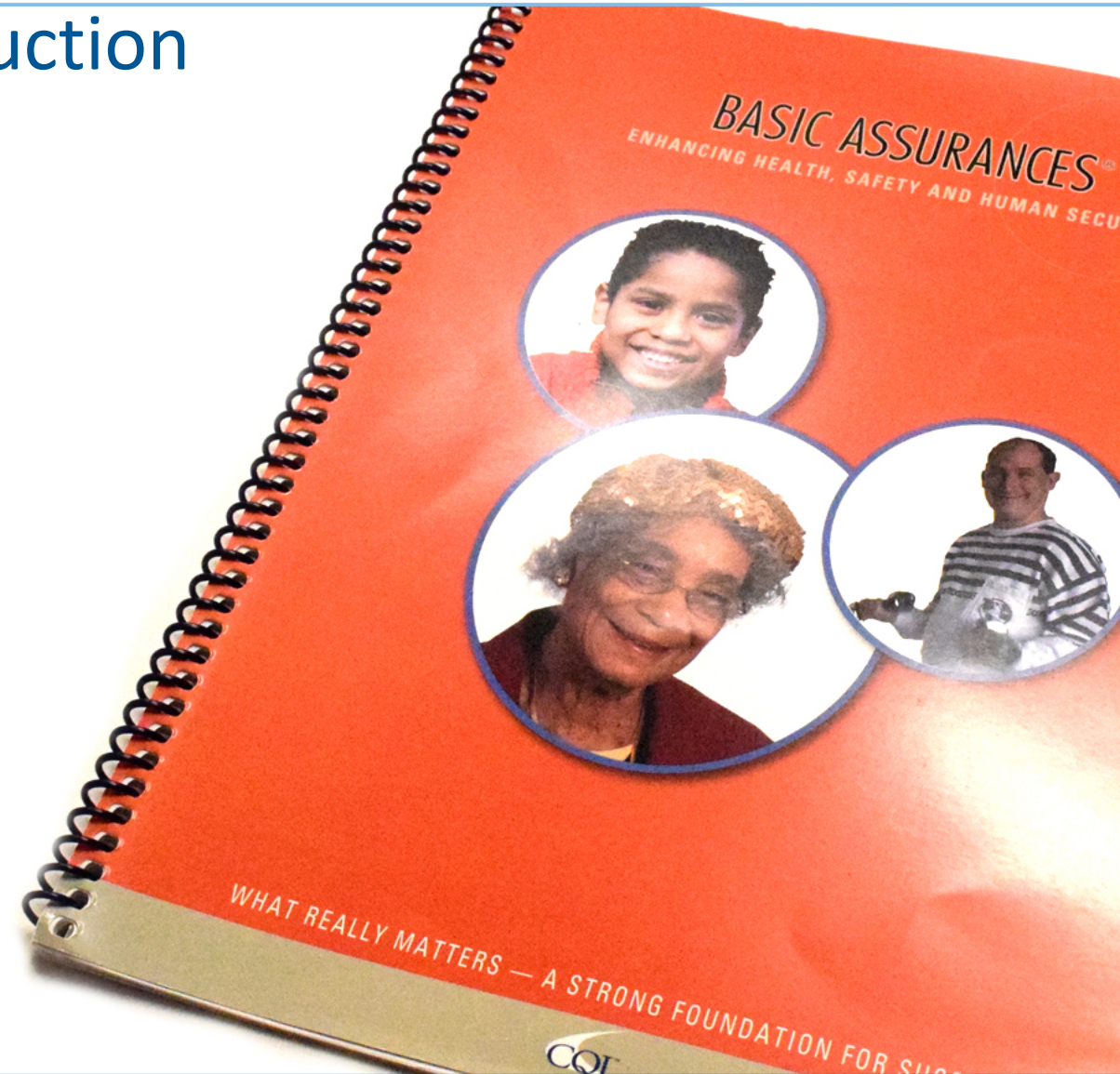
## An Introduction



# BASIC ASSURANCES<sup>®</sup>

## An Introduction

1. Rights Protection and Promotion
2. Dignity and Respect
3. Natural Support Networks
4. Protection from Abuse, Neglect, Mistreatment, and Exploitation
5. Best Possible Health
6. Safe Environments
7. Staff Resources and Supports
8. Positive Services and Supports
9. Continuity and Personal Security
10. Basic Assurances<sup>®</sup> System







# BASIC ASSURANCES®

## An Introduction

### Key Concepts

The Basic Assurances® focus on essential, fundamental, and non-negotiable requirements for all service and support providers

- Organizations are encouraged to implement consensus best practices in relation to each measure
- The Basic Assurances® require more than compliance with licensing and certification standards. We use this tool to understand the effectiveness of practice through the perspective of each person.





# BASIC ASSURANCES®

## Structure

### Factor:

Safe Environments (Topic Area)

### Indicator: (Sub-Topic)

6d Routine Inspections Ensure That Environments Are Sanitary And Hazard Free

### Probes: (Questions to support validation of the indicator)

1. Does the organization maintain records and reports of corrective actions taken? Of fire, safety, sanitation and environmental inspections required by all applicable laws and regulations?
2. Does the organization conduct its own inspections?
3. Is there a system for reporting and responding to environmental hazards?
4. Are sanitation problems and safety concerns corrected in a timely and appropriate manner?
5. Are people's living and work environments sanitary and free of safety hazards?



# BASIC ASSURANCES® System and Practice

## Structure

Two components are evaluated: System and Practice

- Systems are those organizational supports that provide the structure for organizational practices. This may include policies, procedures, staff training or other types of systems
- Organizational practice is what is observed in daily operations. This demonstrates how an organization's systems are put into action



## BASIC ASSURANCES® Safe Environments

# Process and Evidence



# SAFE ENVIRONMENTS

## Process and Evidence

- Document Review
- Observation and Visits
- Conversations with people
- Focus Groups
- Factor Review
- Personal Outcome Measures



# SAFE ENVIRONMENTS

## Process and Evidence

### Document Review

- Policies and procedures
- Committee meeting minutes
- Inspection records – internal/external
- Completed assessments
- Emergency drill information
- Staff training records
- People's records (with permission)
- Support plans





# SAFE ENVIRONMENTS

## Process and Evidence

### Observation and Visits

- Health and safety supports in place
- Safety hazards
- Adaptive equipment & home modifications
- Emergency equipment

# SAFE ENVIRONMENTS

## Process and Evidence

### Focus Groups

- Focus groups may be conducted with people supported, staff, families and others depending on the types of services and accreditation
- Focus groups allow us to better understand systems and practices from the perspective of those that are affected by them
- Sample Questions:
  - What do you do in an emergency (typically more specific) (people supported)
  - What types of things are in place to help people stay safe? (staff)
  - Do you have any safety concerns for your loved one? (family)



# SAFE ENVIRONMENTS

## Process and Evidence

### Factor Review

- Each factor is reviewed with organizational members that have a role in the implementation of systems and practice pertaining to that factor
- This is an opportunity for the organization to provide examples of what each area looks like in practice
- It is also an opportunity to ask questions and share best practices





# SAFE ENVIRONMENTS

## Process and Evidence

### Personal Outcome Measures®

Personal Outcome Measures® allow us to better understand quality through the perspective of the person

- The person's experience helps us to understand the effectiveness of systems and practices implemented by the organization
- Interviewees are often selected from categories such as people with a restriction in place, people with extensive health supports, or people that have experienced abuse and neglect



## BASIC ASSURANCES® Safe Environments

**Indicator A:**  
The organization provides  
individualized safety supports.





# SAFE ENVIRONMENTS

## Probes

### **Indicator A:** The Organization Provides Individualized Safety Supports.

1. Are people's abilities to be safe in their environments assessed?
2. **Does the assessment include, but not limit itself to, safety in the kitchen? The ability to adjust hot water, evacuate in the event of fire or severe weather, call for help and use cleaning supplies? Other safety concerns specific to the person or the particular living environment?**
3. Are people provided needed safety supports?
4. **Are people provided supports only to the extent needed?**
5. Are assessment results, including supports needed to be safe at home and at work, documented in people's plans?
6. Are individualized safety assessments completed on an ongoing basis and reviewed at least annually?



# BASIC ASSURANCES®

## Safe Environments

### Indicator B:

The physical environment promotes people's health, safety and independence.







# SAFE ENVIRONMENTS

## Probes

### Indicator B: The Physical Environment Promotes People's Health, Safety And Independence.

1. Do all buildings comply with applicable fire and safety codes?
2. Do physical spaces and places where people live and work comply with applicable environmental codes (for example, are they free of lead paint, radon, mercury and asbestos)?
3. Are sanitary practices implemented to avoid sources and transmission of infections?
- 4. Have design modifications been made to facilitate accessibility and safety based on people's needs?**
5. Do environments have proper ventilation so that the air quality is safe?
6. Do heating and cooling systems maintain temperature and humidity in a comfortable range?
7. Do supports provided to maintain the appearance of the home, inside and out, keep its appearance consistent with that of other homes in the neighborhood?

### Indicator C:

The organization has individualized emergency plans.



# SAFE ENVIRONMENTS

## Probes

### **Indicator C: The Organization Has Individualized Emergency Plans.**

- 1. Do emergency plans address missing persons, fire and severe weather?**
2. Are alarms and visual signals, and other modifications as needed, used for people who require those supports?
3. Are people who receive support and staff trained in emergency plans? Are safety drills conducted based on person specific assessment of type, frequency and level of support needed?
- 4. Is data from safety drills reviewed to assess effectiveness and plans for follow-up implemented?**
5. Are emergency numbers readily available?

### Indicator D:

Routine inspections ensure that environments are sanitary and hazard free.





# SAFE ENVIRONMENTS

## Probes

### **Indicator D: Routine Inspections Ensure That Environments Are Sanitary And Hazard Free.**

1. Does the organization maintain records and reports of corrective actions taken? Of fire, safety, sanitation and environmental inspections required by all applicable laws and regulations?
- 2. Does the organization conduct its own inspections?**
- 3. Is there a system for reporting and responding to environmental hazards?**
4. Are sanitation problems and safety concerns corrected in a timely and appropriate manner?
5. Are people's living and work environments sanitary and free of safety hazards?



# SAFE ENVIRONMENTS

## Resources

### **Resources related to safe environments:**

<https://www.dhs.gov/publication/active-shooter-how-to-respond>

### **Quality in Practice Guides:**

<https://c-q-l.org/resource-library/publications/cql-publications-for-free/quality-in-practice-guides/safety>

<https://c-q-l.org/resource-library/publications/cql-publications-for-free/quality-in-practice-guides/understanding-risk>



## BASIC ASSURANCES® Safe Environments



# Validation and Decision-Making

# SAFE ENVIRONMENTS

## Validation and Decision-Making

- Each probe is validated present or not present based on evidence obtained during the review
- Each indicator is validated at the systems and practice level
- Indicators are validated based on a preponderance of evidence related to an indicator, not based on a given number of probes found to be present or not present
- During an accreditation, when an **indicator** is found to be not present in systems and/or practice, an action plan is required
- The title of the indicator is not always a complete description of all the elements contained within an indicator



# SAFE ENVIRONMENTS

## Validation and Decision-Making

### **Example:**

Indicator 6C: The organization has individualized emergency plans.

### **There are several probes that address individualized supports:**

2. Are alarms and visual signals, and other modifications as needed, used for people who require those supports?
3. Are people who receive support and staff trained in emergency plans? Are safety drills conducted based on person specific assessment of type, frequency and level of support needed?

**Of key significance, probe 1 addresses needed supports in this area. These areas are considered fundamental and would have an outsized impact in validation:**

1. Do emergency plans address missing persons, fire and severe weather?



## Red Flags

When red flags are noted, it may bear further investigation and inquiry. We will determine whether the situation is isolated or if there is a systemic pattern. Some red flags may jeopardize accreditation or require additional monitoring to maintain accreditation.

### **Red Flags Around Safe Environments:**

- Physical environment is unsafe or extremely unsanitary
- People are not provided with adequate safety supports
- Safety concerns of staff, family or people supported have not been addressed
- People and/or support staff have no training in handling emergency situations

## Factor 6 Measurables:

- Review of Safety Committee minutes
- Review of policies/procedures on disaster preparedness and internal inspections
- Training for staff and people supported
- Data on emergency drills, external/internal inspections
- POM Interviews: People are Safe, People Use Their Environments



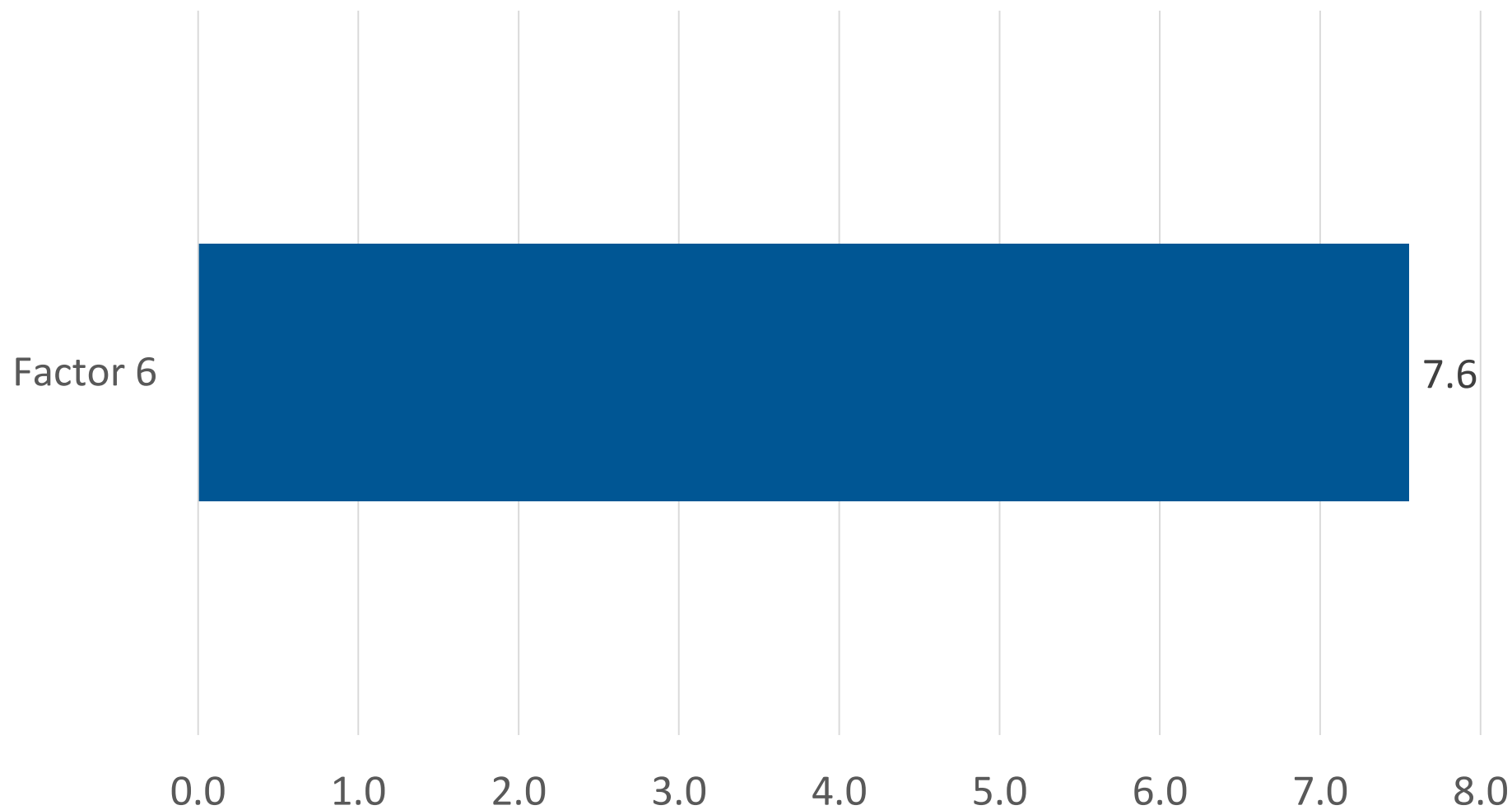
# BASIC ASSURANCES® Safe Environments



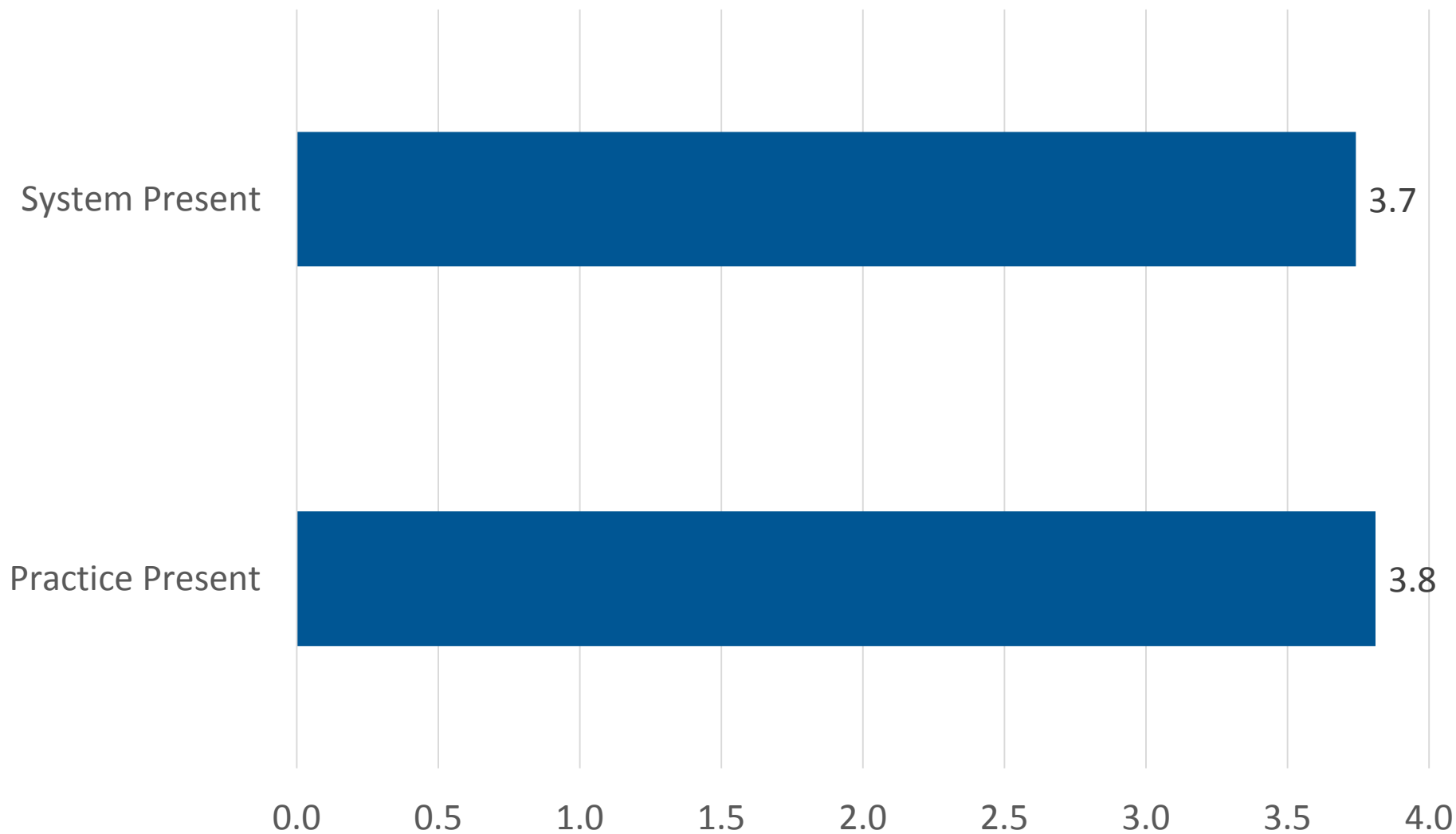
## Factor 6 Data

## FACTOR 6

### TOTAL INDICATORS PRESENT

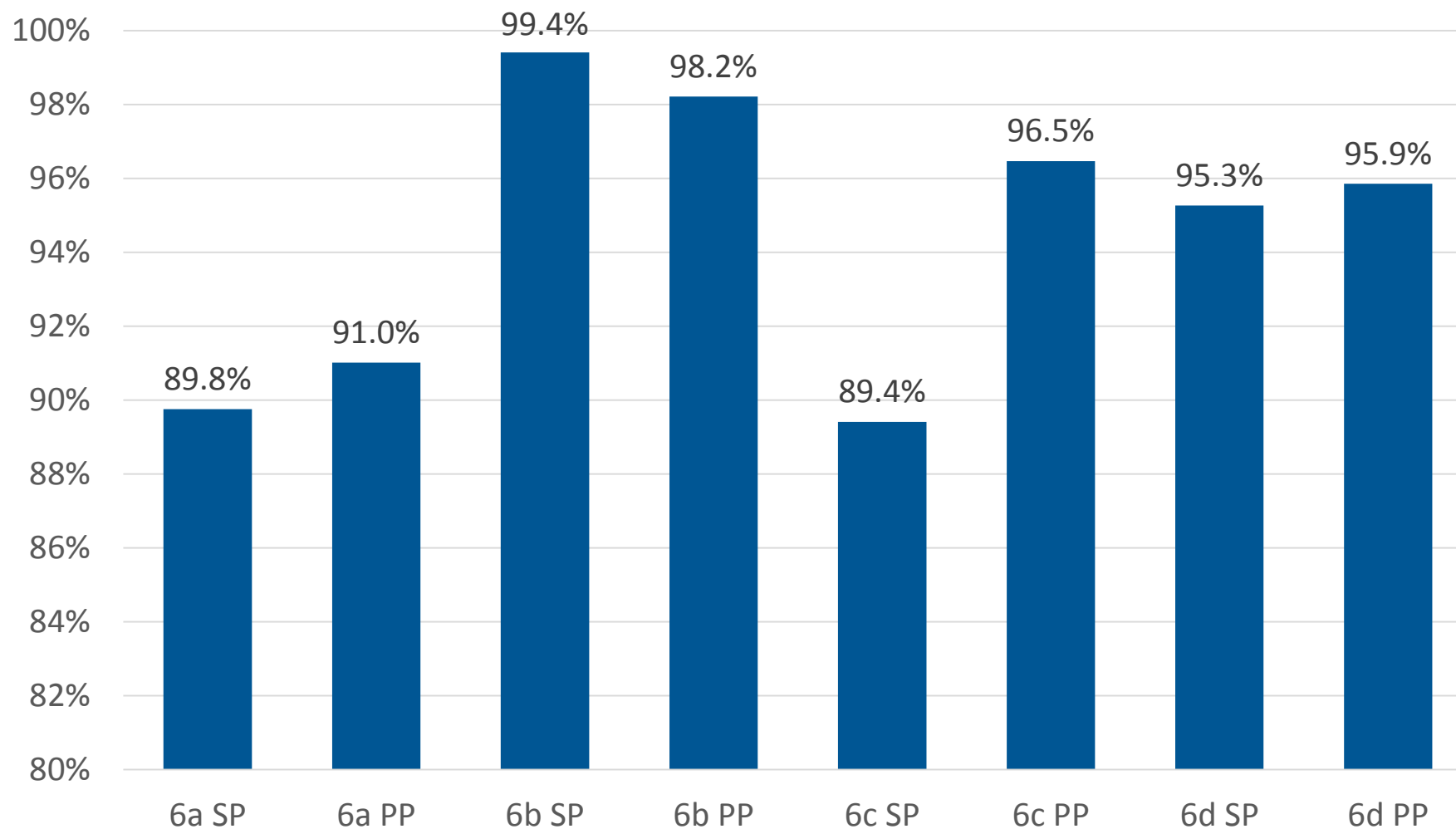


## FACTOR 5



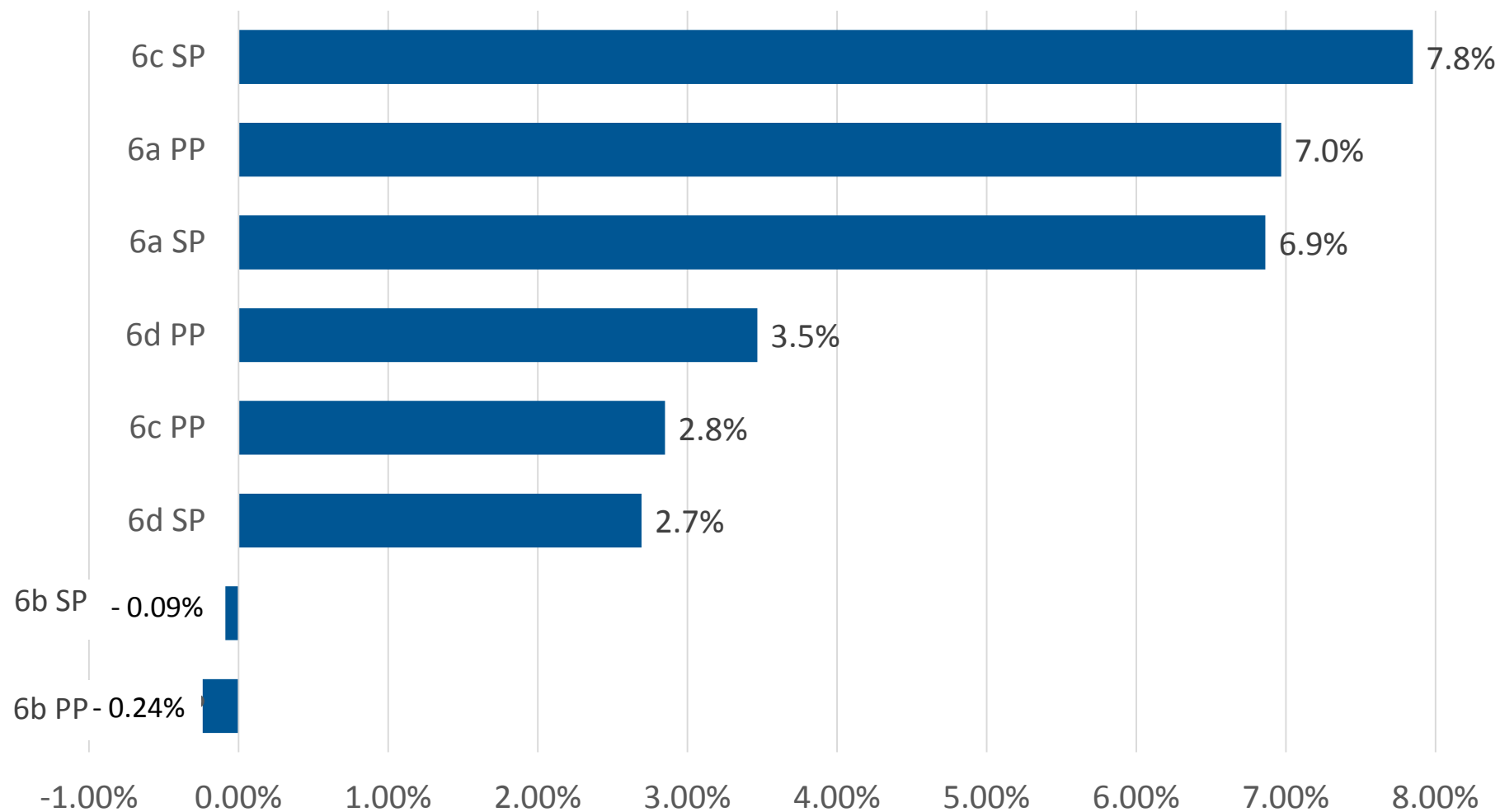


## FACTOR 5: PRESENCE OF INDICATORS

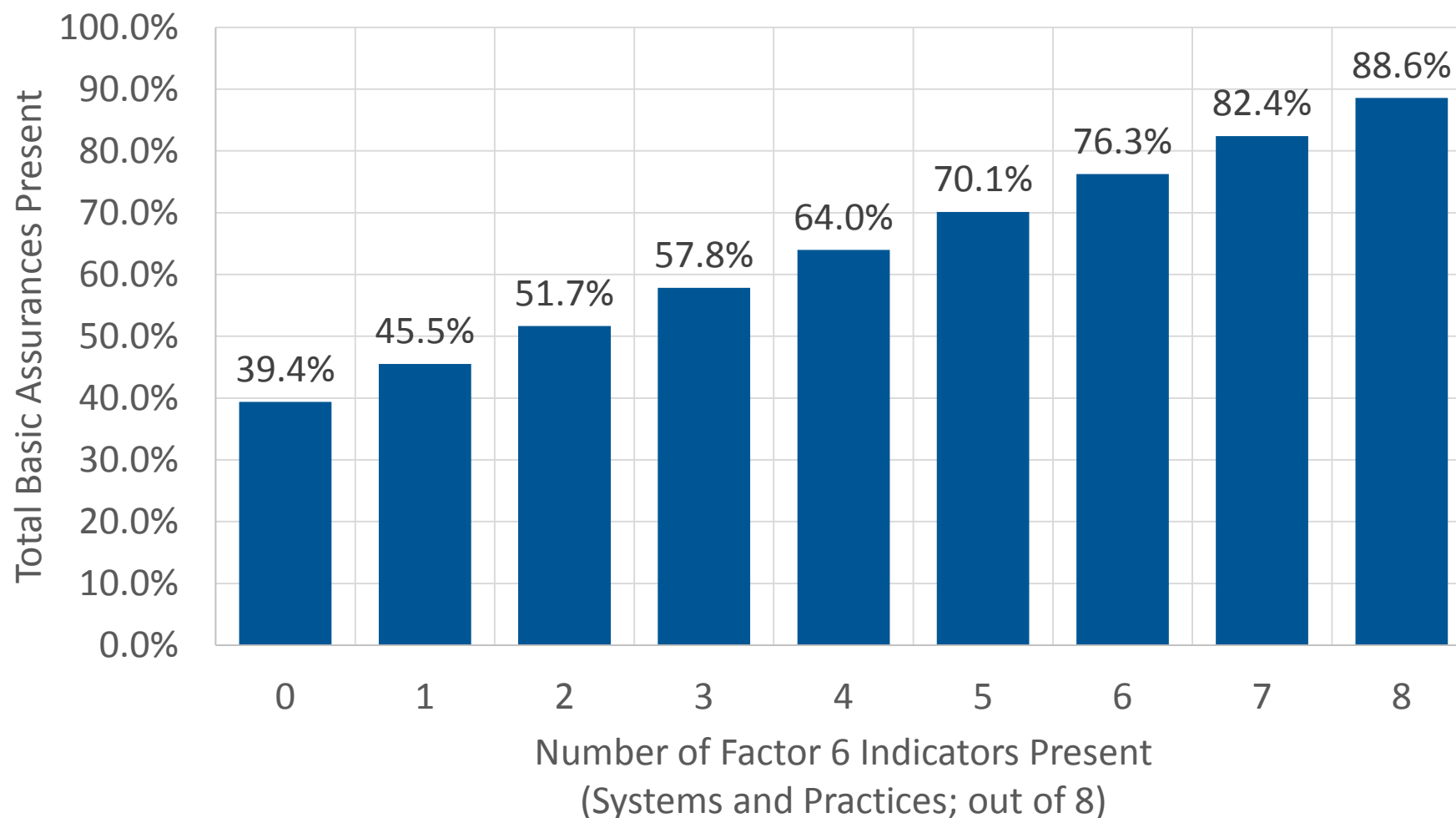




## DISCREPANCIES BETWEEN ORG SELF-ASSESSMENTS & CQL REVIEW



## IMPACT OF FACTOR 6 ON TOTAL BASIC ASSURANCES®





## MOST IMPACTFUL PROBES

6b1 Do all buildings comply with applicable fire and safety codes?	.564
--	------

---

6d2 Does the organization conduct its own inspections?	.517
--	------

---

6a5 Are assessment results, including supports needed to be safe at home and at work, documented in people's plans?	.437
---	------

---

6a3 Are people provided needed safety supports?	.435
---	------

---

6d3 Is there a system for reporting and responding to environmental hazards?	.430
--	------



[www.c-q-l.org](http://www.c-q-l.org)

**Elizabeth Sites**

Quality Enhancement Specialist  
[esites@thecouncil.org](mailto:esites@thecouncil.org)