

Welcome to the waiting room!

Thank you for joining us for today's webinar presentation. We will begin shortly. If you need assistance before we start, you can communicate with us using the question window.



BASIC ASSURANCES® WEBINAR SERIES

Factor 7: Staff Resources and Supports



Betsy Burns | Quality Enhancement Specialist



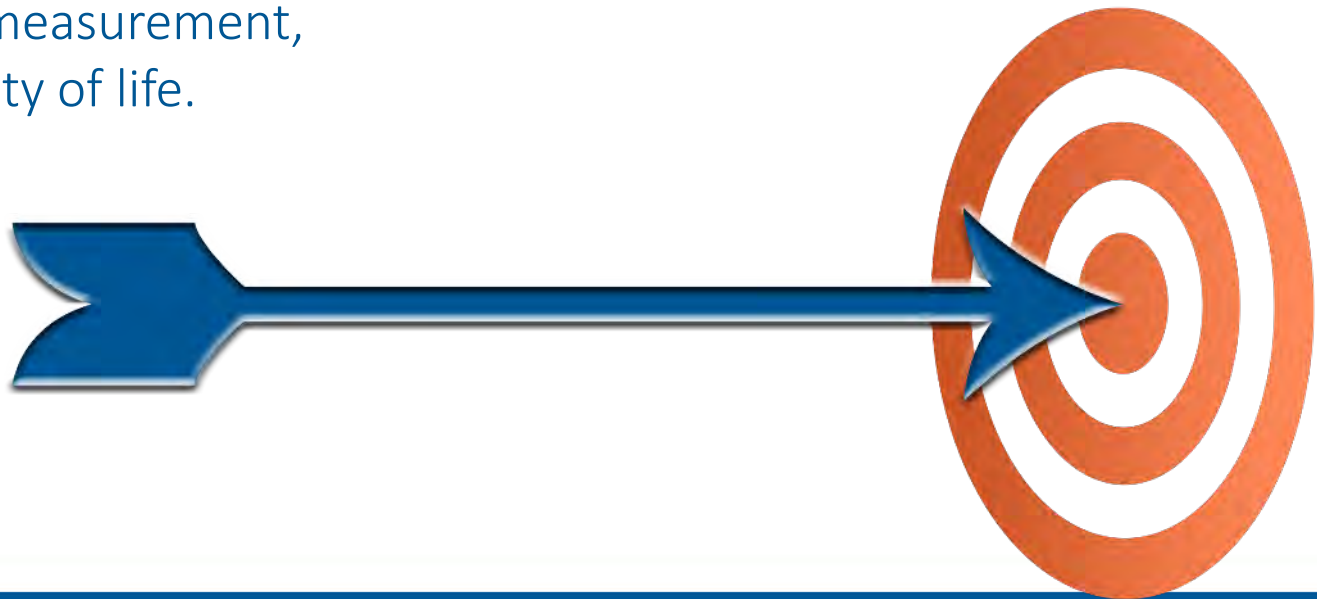
CQL | THE COUNCIL ON QUALITY AND LEADERSHIP ABOUT US

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





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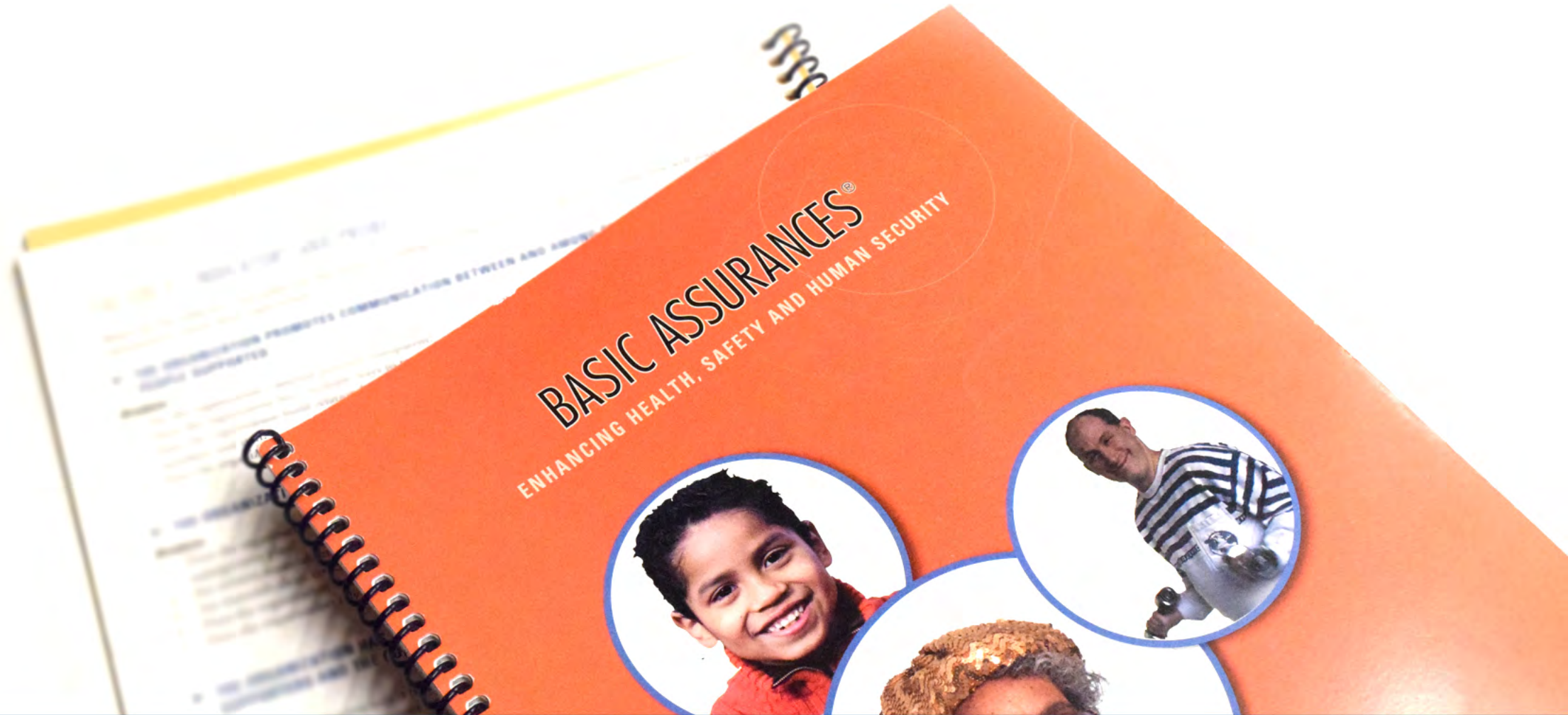
WEBINAR OVERVIEW

- Introduction to the Basic Assurances®
- Process and evidence collection
- Indicator A: The organization implements a system for staff recruitment and retention.
- Indicator B: The organization implements an ongoing staff development program.
- Indicator C: The support needs of individuals shape the hiring, training, and assignment of all staff.
- Indicator D: The organization implements systems that promote continuity and consistency of direct support professionals.
- Indicator E: The organization treats its employees with dignity, respect and fairness.
- Validation and Decision-Making
- Data
- Questions



BASIC ASSURANCES®

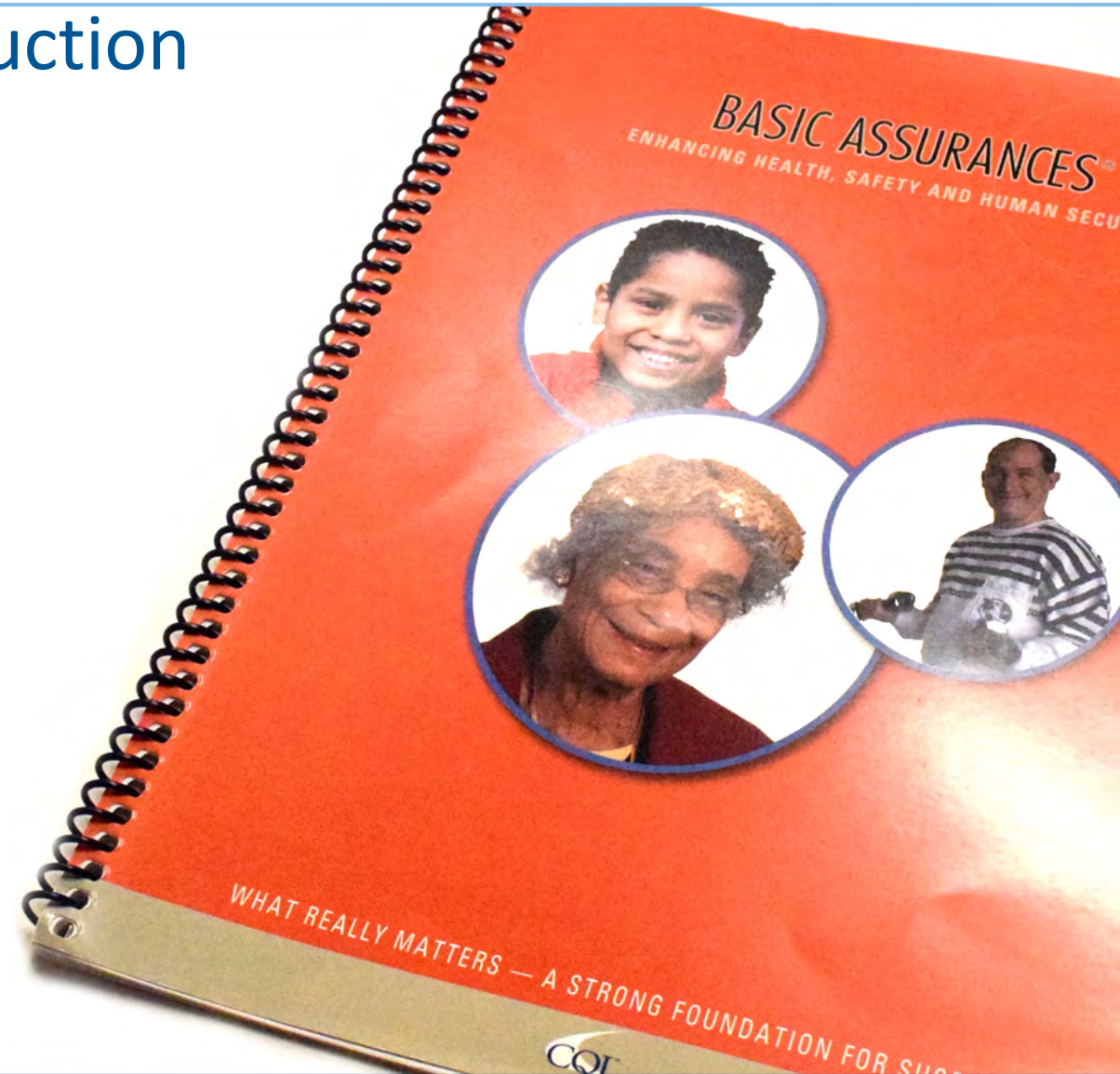
An Introduction



BASIC ASSURANCES[®]

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[®] 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:

Staff Resources and Supports (Topic Area)

Indicator: (Sub-Topic)

7a The organization implements a system for staff recruitment and retention.

Probes: (Questions to support validation of the indicator)

1. Does the organization recruit and hire staff in accordance with all applicable laws and organizational requirements?
2. Does the organization use employment screening procedures to minimize unnecessary or unreasonable risk?
3. Are annual hiring plans developed and implemented based on an analysis of turnover, availability of qualified candidates, supports needed by people and other relevant data, such as the length of time it takes to hire staff (hiring lag)?
4. Does the organization work with schools and job placement services to ensure the availability of an adequate present and future supply of qualified candidates?
5. Does the organization have a system for conducting employee satisfaction surveys?
6. Does the organization analyze satisfaction survey results and reasons for separation as part of its staff retention system?
7. Do people supported by the organization participate in the organization's staff recruitment and retention programs?



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®

Factor 7: Staff Resources and Supports

Process and Evidence



Staff Resources and Supports Process and Evidence

- Document Review
- Observation and Visits
- Focus Groups
- Factor Review
- POMs

Staff Resources and Supports Process and Evidence

Document Review

- Policies and procedures
- Personnel files
- Staffing plans
- Hiring and turnover analyses
- Employee satisfaction surveys
- Staff training records
- Other documents that help get an adequate picture of staff resources and supports





Staff Resources and Supports Process and Evidence

Observation and Visits

- Do staff know people by name/preferred name?
- How long do staff say that they have known people?
- Does there appear to be sufficient number of staff who know the people well?
- Are staff trained in people's person-centered plans?
- Do staff appear to know people's preferences?



Staff Resources and Supports 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:
 - Who chooses your staff? Are you involved in hiring your staff?
 - Are you involved in the staff training?
 - What kind of employee training and incentive programs are there?
 - Are there sufficient staff for you to do the things you want ?



Staff Resources and Supports 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



Staff Resources and Supports 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



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Factor 7: Staff Resources and Supports

Indicator A:
THE ORGANIZATION
IMPLEMENTS A SYSTEM FOR
STAFF RECRUITMENT AND
RETENTION.





Staff Resources and Supports *Probes*

Indicator A: The organization implements a system for staff recruitment and retention.

1. Does the organization recruit and hire staff in accordance with all applicable laws and organizational requirements?
2. Does the organization use employment screening procedures to minimize unnecessary or unreasonable risk?
- 3. Are annual hiring plans developed and implemented based on an analysis of turnover, availability of qualified candidates, supports needed by people and other relevant data, such as the length of time it takes to hire staff (hiring lag)?**

Continued...

Staff Resources and Supports *Probes*

Indicator A: The organization implements a system for staff recruitment and retention.

- 4. Does the organization work with schools and job placement services to ensure the availability of an **adequate present and future supply of qualified candidates?**
- 5. **Does the organization have a system for conducting employee satisfaction surveys?**
- 6. **Does the organization analyze satisfaction survey results and reasons for separation as part of its staff retention system?**
- 7. **Do people supported by the organization participate in the organization's staff recruitment and retention programs?**



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Factor 7: Staff Resources and Supports

Indicator B:
THE ORGANIZATION
IMPLEMENTS AN
ONGOING STAFF
DEVELOPMENT
PROGRAM.





Staff Resources and Supports Probes

Indicator B:

- 1. Does the organization orient new employees to its philosophy, vision, mission, beliefs, goals, organization, programs and practices?**
- 2. Does the initial orientation and future training for employment advancement ensure effective, efficient and competent job performance?**
3. Are opportunities available for continuing education in best practices within and outside of the organization?
4. Does the organization **implement an ongoing in-service training program** to maintain, update and improve staff competency?
- 5. Is the staff training program developed based on input from support staff, input from people supported, and the results of internal and external findings?**
6. Is training based on adult learning theory? Does it include mentoring, on the job support and personal development planning?



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Factor 7: Staff Resources and Supports

Indicator C:
THE SUPPORT NEEDS OF
INDIVIDUALS SHAPE THE
HIRING, TRAINING AND
ASSIGNMENT OF ALL
STAFF.





Staff Resources and Supports *Probes*

Indicator C:

1. Is a single **team identified by each person that includes the person and others critical to assessing and providing needed supports?**
2. **Do people coordinate the teams and their plans,** with supports as necessary from within the organization?
3. Do people **have sufficient professional and direct support staff to provide needed services and supports in accordance with their plans?**



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Factor 7: Staff Resources and Supports

Indicator D:
THE ORGANIZATION
IMPLEMENTS SYSTEMS THAT
PROMOTE CONTINUITY AND
CONSISTENCY OF DIRECT
SUPPORT PROFESSIONALS.





Staff Resources and Supports *Probes*

Indicator D:

1. Has the organization developed a **sufficient staffing plan** that includes all funded staff positions?
2. **Does the organization implement an on-duty work schedule for supervisory, professional and direct support staff that is sufficient to provide services and supports people need?**
3. Does the organization have a system that addresses people's preferences and choices when hiring or identifying regularly assigned staff for them?
4. Are there systems for managing staff assignments so that **people will have continuity and consistency of needed services and supports** when their regularly assigned staff are absent?
5. **Is there a system to collect and use data regarding absenteeism (including the reason and length of the absence) and overtime to improve continuity and consistency of staff assignments?**
6. Does the organization have an **emergency staffing plan that at a minimum provides the supports needed to keep people safe?**



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Factor 7: Staff Resources and Supports

Indicator E:
THE ORGANIZATION
TREATS ITS EMPLOYEES
WITH DIGNITY, RESPECT
AND FAIRNESS.





Staff Resources and Supports

Probes

Indicator E:

1. Does the organization **provide staff with personnel policies and procedures or a handbook that informs them of its personnel practices, benefits, pay plan, due process procedures and opportunities for continuing education?**
2. Do the organization's personnel policies, procedures and practices meet all state and federal fair labor laws?
3. Does the organization provide staff a **job description that describes the position's duties and responsibilities?**
4. **Is staff performance with respect to the job description evaluated during a probationary period and annually thereafter? Do performance evaluations include staff's objectives for professional and personal growth?**
5. Does the organization have an employee incentive program that includes tangible and intangible rewards important to support staff?



Staff Resources and Supports *Past Webinars*

Past webinars on best practices related to Staff Resources and Supports:

Archived webinars can be found on our website at: c-q-l.org/resource-library/webinars

- **A CHALLENGE FOR PROFESSIONALS** [HTTPS://C-Q-L.ORG/RESOURCE-LIBRARY/RESOURCE-LIBRARY/ALL-RESOURCES/A-CHALLENGE-FOR-PROFESSIONALS](https://c-q-l.org/resource-library/resource-library/all-resources/a-challenge-for-professionals)
- **DEVELOPING YOUR HUMAN RESOURCES** [HTTPS://C-Q-L.ORG/RESOURCE-LIBRARY/RESOURCE-LIBRARY/ALL-RESOURCES/DEVELOPING-YOUR-HUMAN-RESOURCES](https://c-q-l.org/resource-library/resource-library/all-resources/developing-your-human-resources)
- **DIRECT SUPPORT PROFESSIONALS** [HTTPS://C-Q-L.ORG/RESOURCE-LIBRARY/RESOURCE-LIBRARY/ALL-RESOURCES/DIRECT-SUPPORT-PROFESSIONALS](https://c-q-l.org/resource-library/resource-library/all-resources/direct-support-professionals)
- **DIRECT SUPPORT PROFESSIONALS/PERSONAL OUTCOMES STILL APPLY** [HTTPS://C-Q-L.ORG/RESOURCE-LIBRARY/RESOURCE-LIBRARY/ALL-RESOURCES/DIRECT-SUPPORT-PROFESSIONALS--PERSONAL-OUTCOMES-STILL-APPLY](https://c-q-l.org/resource-library/resource-library/all-resources/direct-support-professionals--personal-outcomes-still-apply)



Staff Resources and Supports *Past Webinars*

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- **DSPS AND QUALITY OF LIFE OF PEOPLE WITH IDD** [HTTPS://C-Q-L.ORG/FILES/2018DOCUMENTS/CQL-DSPS-QUALITY-OF-LIFE-092018.PDF](https://c-q-l.org/files/2018documents/CQL-DSPS-QUALITY-OF-LIFE-092018.PDF)
- **EMPOWERING THE DIRECT SUPPORT PROFESSIONAL WORKFORCE** [HTTPS://C-Q-L.ORG/RESOURCE-LIBRARY/RESOURCE-LIBRARY/ALL-RESOURCES/EMPOWERING-THE-DIRECT-SUPPORT-PROFESSIONAL-WORKFORCE](https://c-q-l.org/resource-library/resource-library/all-resources/empowering-the-direct-support-professional-workforce)
- **THE DSP CRISIS: REIMBURSEMENT RATES, RETENTION, AND RESEARCH** [HTTPS://C-Q-L.ORG/RESOURCE-LIBRARY/RESOURCE-LIBRARY/ALL-RESOURCES/DSP-CRISIS-REIMBURSEMENT-RETENTION-RESEARCH](https://c-q-l.org/resource-library/resource-library/all-resources/dsp-crisis-reimbursement-retention-research)
- **RECOGNIZING EXCELLENCE IN DIRECT SUPPORT** [HTTPS://C-Q-L.ORG/RESOURCE-LIBRARY/RESOURCE-LIBRARY/ALL-RESOURCES/RECOGNIZING-EXCELLENCE-IN-DIRECT-SUPPORT](https://c-q-l.org/resource-library/resource-library/all-resources/recognizing-excellence-in-direct-support)

Other Resources and Supports

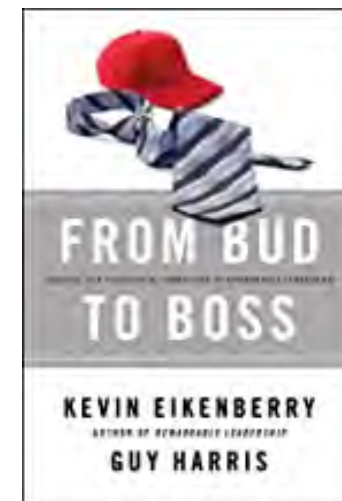


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Factor 7: Staff Resources and Supports



Validation and Decision-Making



Staff Resources and Supports 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 of the elements contained within an indicator



Staff Resources and Supports Validation and Decision-Making

Example:

Indicator 7d:the organization implements systems that promote continuity and consistency of direct support professionals.

Probes 1, 2, and 5, address the development and implementation of staffing plans that are sufficient to provide services and the collection of data that may improve the continuity and consistency of staff assignments.

1. Has the organization developed a sufficient staffing plan that includes all funded staff positions?
2. Does the organization implement an on-duty work schedule for supervisory, professional and direct support staff that is sufficient to provide services and supports people need?
5. Is there a system to collect and use data regarding absenteeism (including the reason and length of the absence) and overtime to improve continuity and consistency of staff assignments?

Factor 7 Measurables:

- Hiring and turnover analysis
- People supported, family and employee satisfaction surveys
- Training curricula, pre/post test, evaluation of training
- Staff training records
- Performance evaluations



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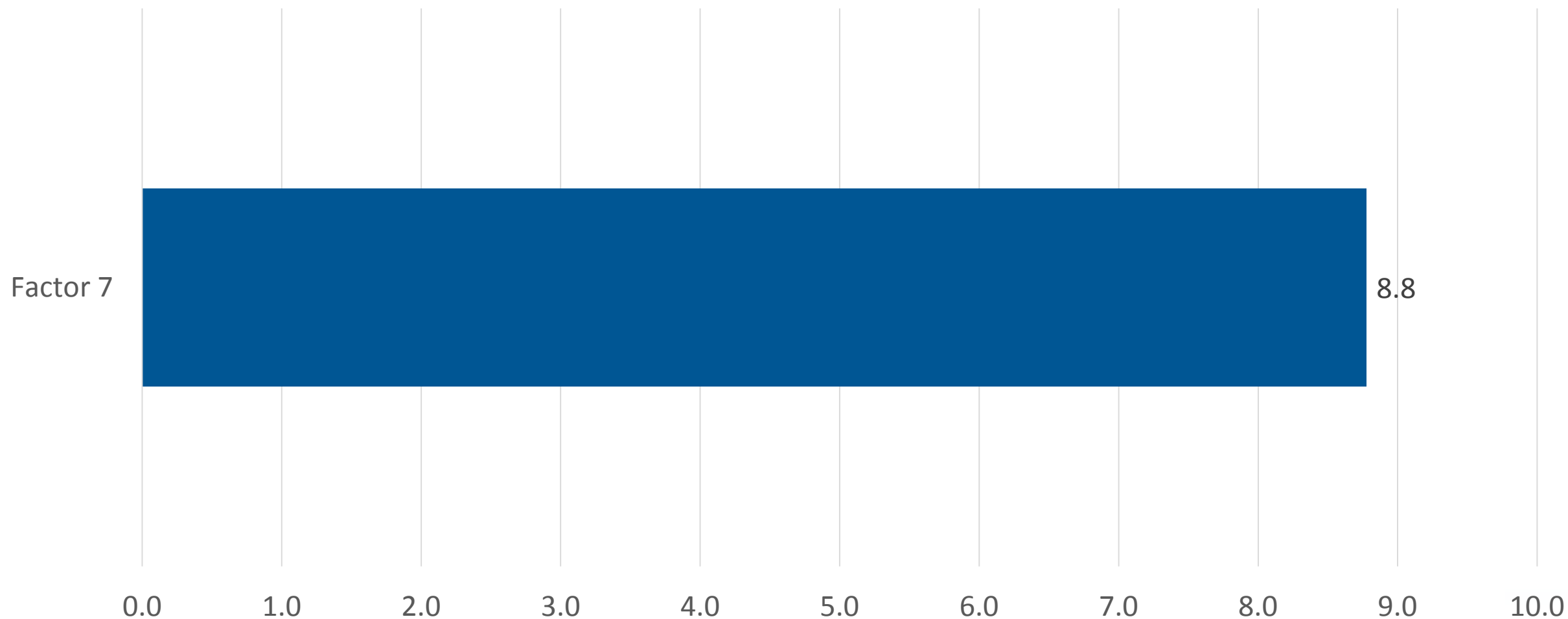
Factor 7: Staff Resources and Supports



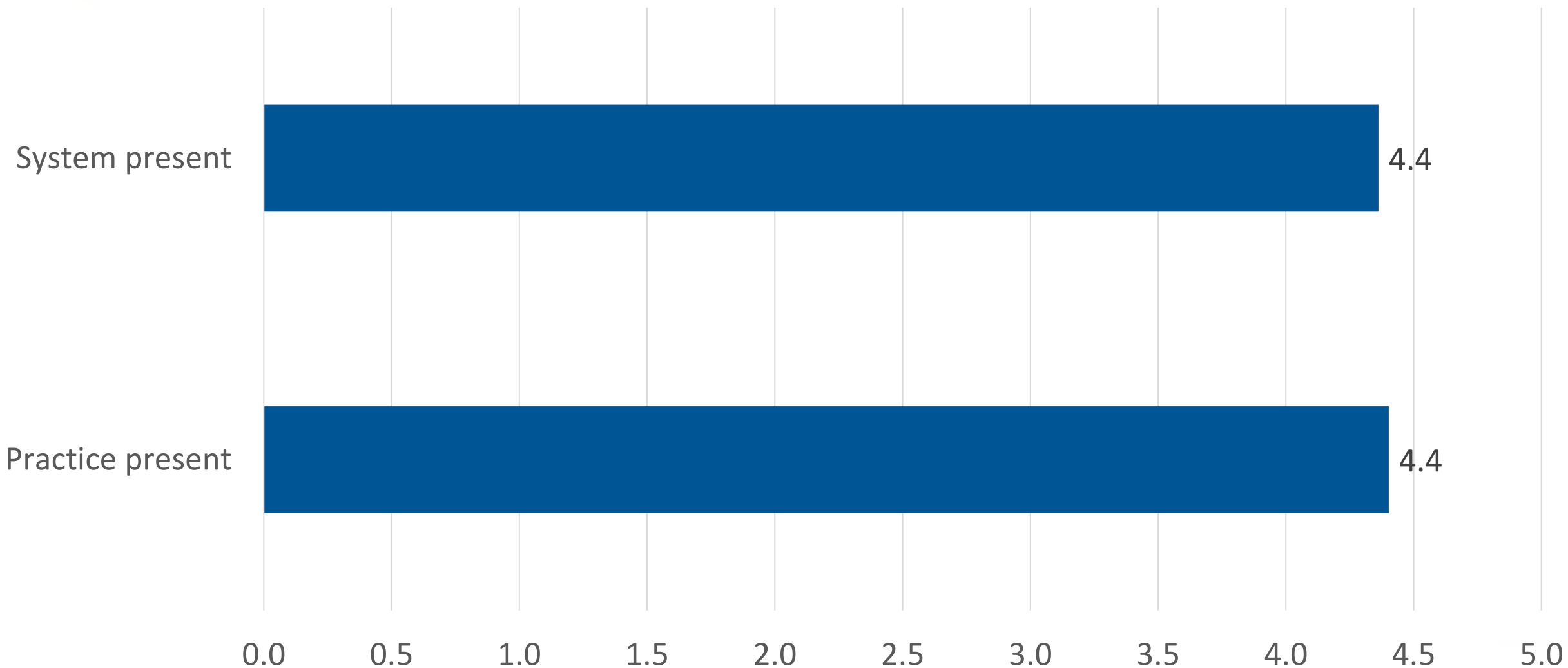
Factor 7 Data

FACTOR 7

TOTAL INDICATORS PRESENT

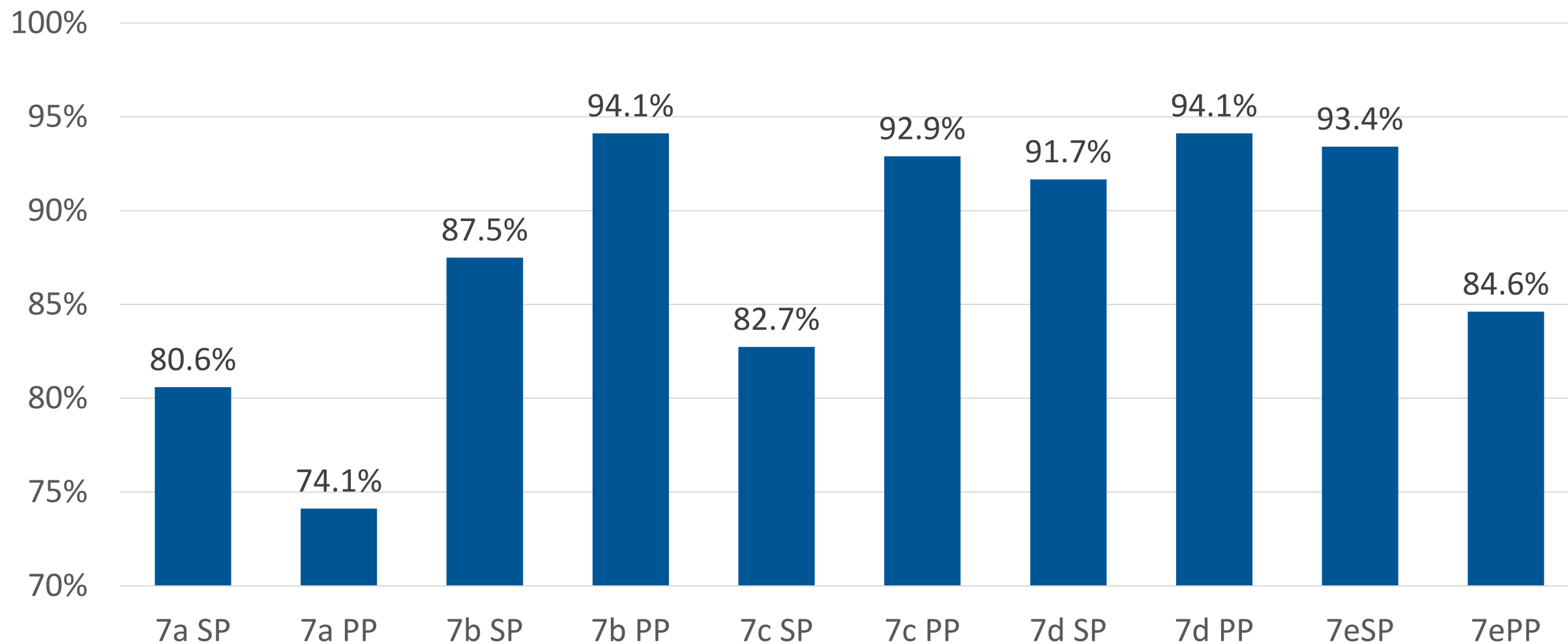


FACTOR 7



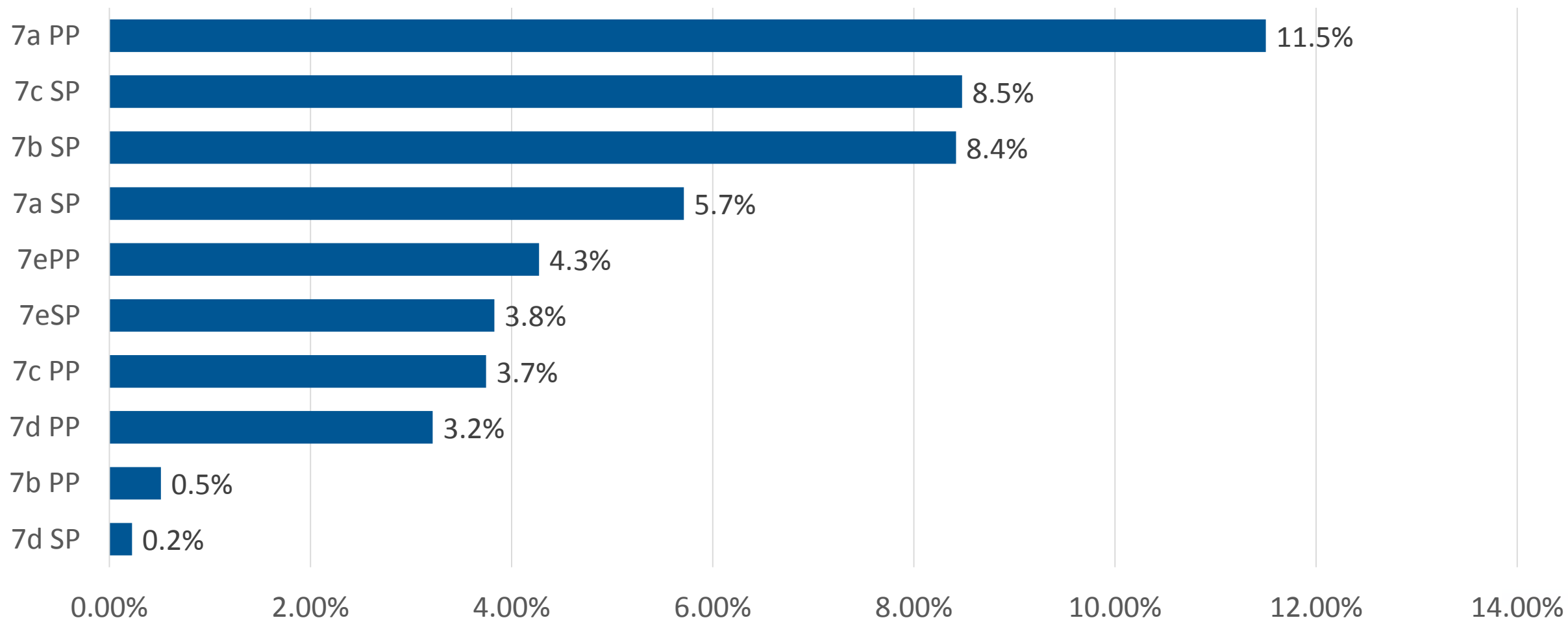
FACTOR 7

PRESENCE OF INDICATORS

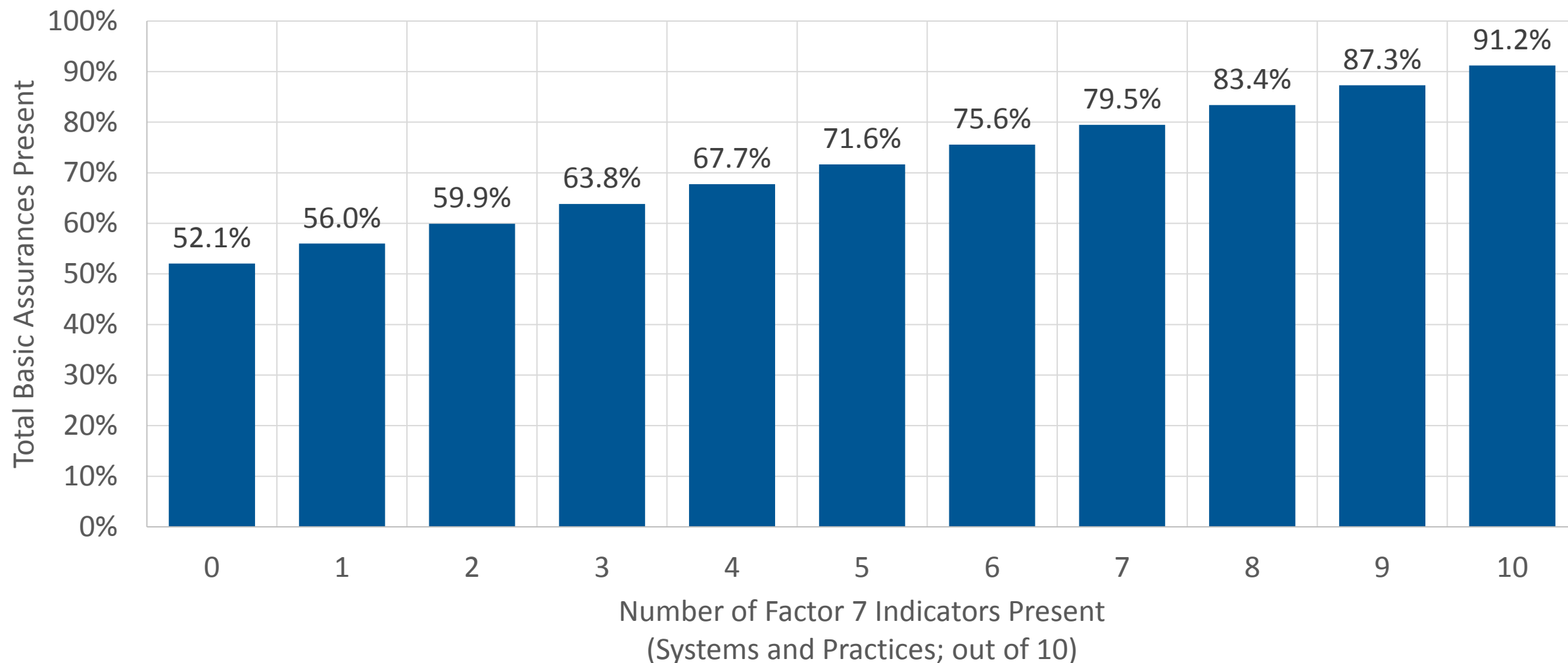




DISCREPANCIES BETWEEN ORG SELF-ASSESSMENTS & CQL REVIEW



IMPACT OF FACTOR 7 ON TOTAL BASIC ASSURANCES[®]





MOST IMPACTFUL PROBES

7d2 Does the organization implement an on-duty work schedule for supervisory, professional and direct support staff that is sufficient to provide services and supports people need?	.541
7b1 Does the organization orient new employees to its philosophy, vision, mission, beliefs, goals, organization, programs and practices?	.487
7d1 Has the organization developed a sufficient staffing plan that includes all funded staff positions?	.417
7d5 Is there a system to collect and use data regarding absenteeism (including the reason and length of the absence) and overtime to improve continuity and consistency of staff assignments?	.406
7b4 Does the organization implement an ongoing in-service training program to maintain, update and improve staff competency?	.399



www.c-q-l.org

Betsy Burns

Quality Enhancement Specialist

Bburns@thecouncil.org