

BASIC ASSURANCES® WEBINAR SERIES

Factor 9: Continuity and Personal Security



Betsy Burns | Quality Enhancement Specialist



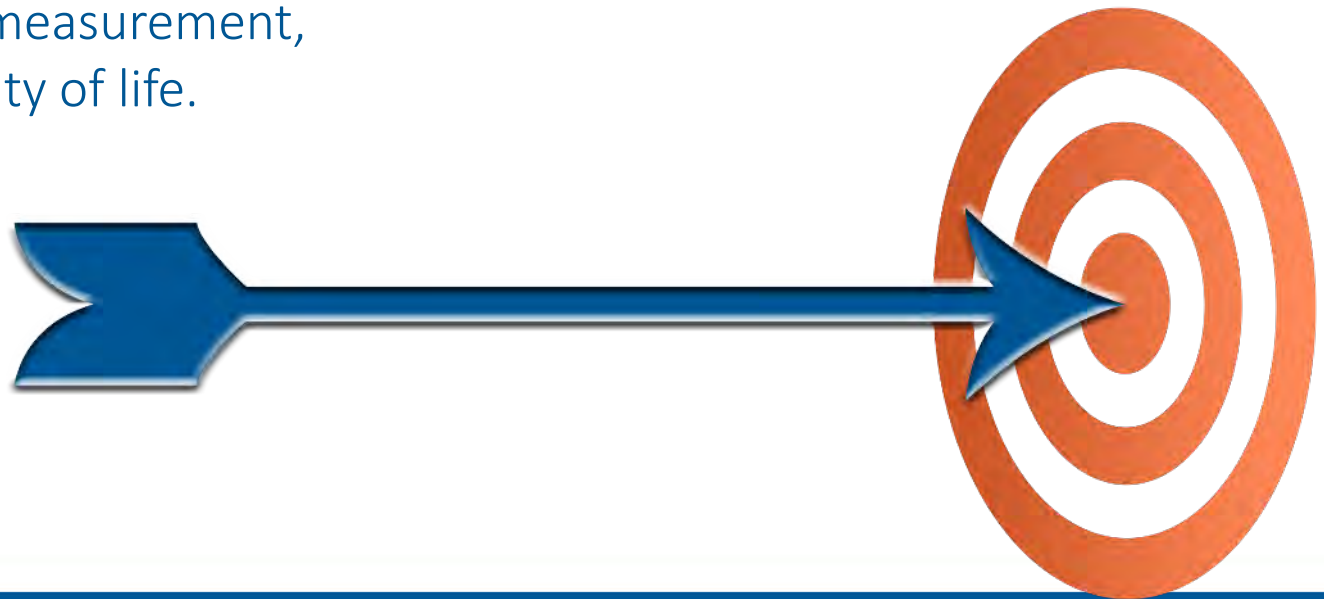
CQL | THE COUNCIL ON QUALITY AND LEADERSHIP ABOUT US

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





CQL | THE COUNCIL ON QUALITY AND LEADERSHIP

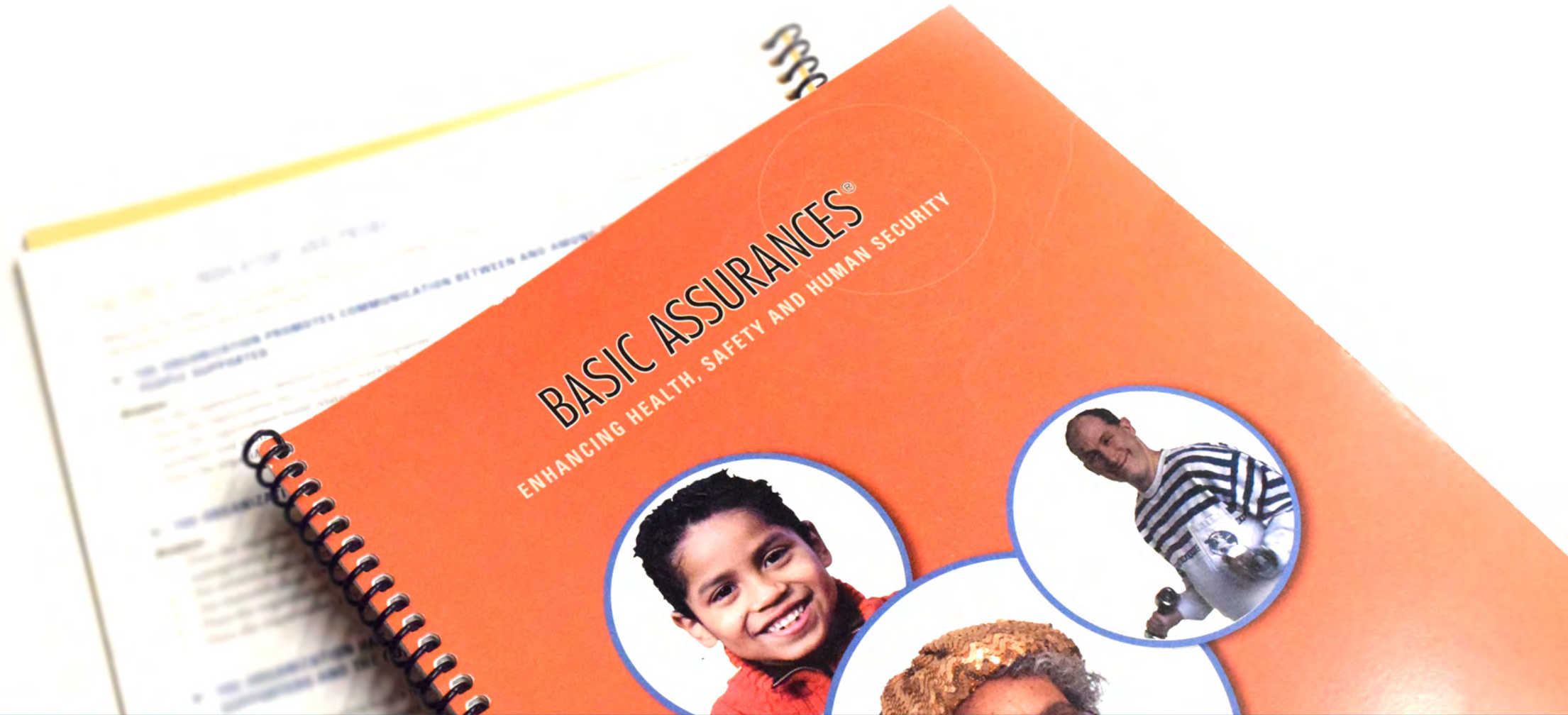
WEBINAR OVERVIEW

- Introduction to the Basic Assurances®
- Process and evidence collection functions promote personal outcomes.
- Indicator A: The organization's mission, vision and values promotes attainment of personal outcomes.
- Indicator B: The organization implements sound fiscal practices.
- Indicator C: Business, administrative and support functions promote personal outcomes.
- Indicator D: The cumulative record of personal information promotes continuity of services.
- Validation and Decision-Making
- Data
- Questions



BASIC ASSURANCES®

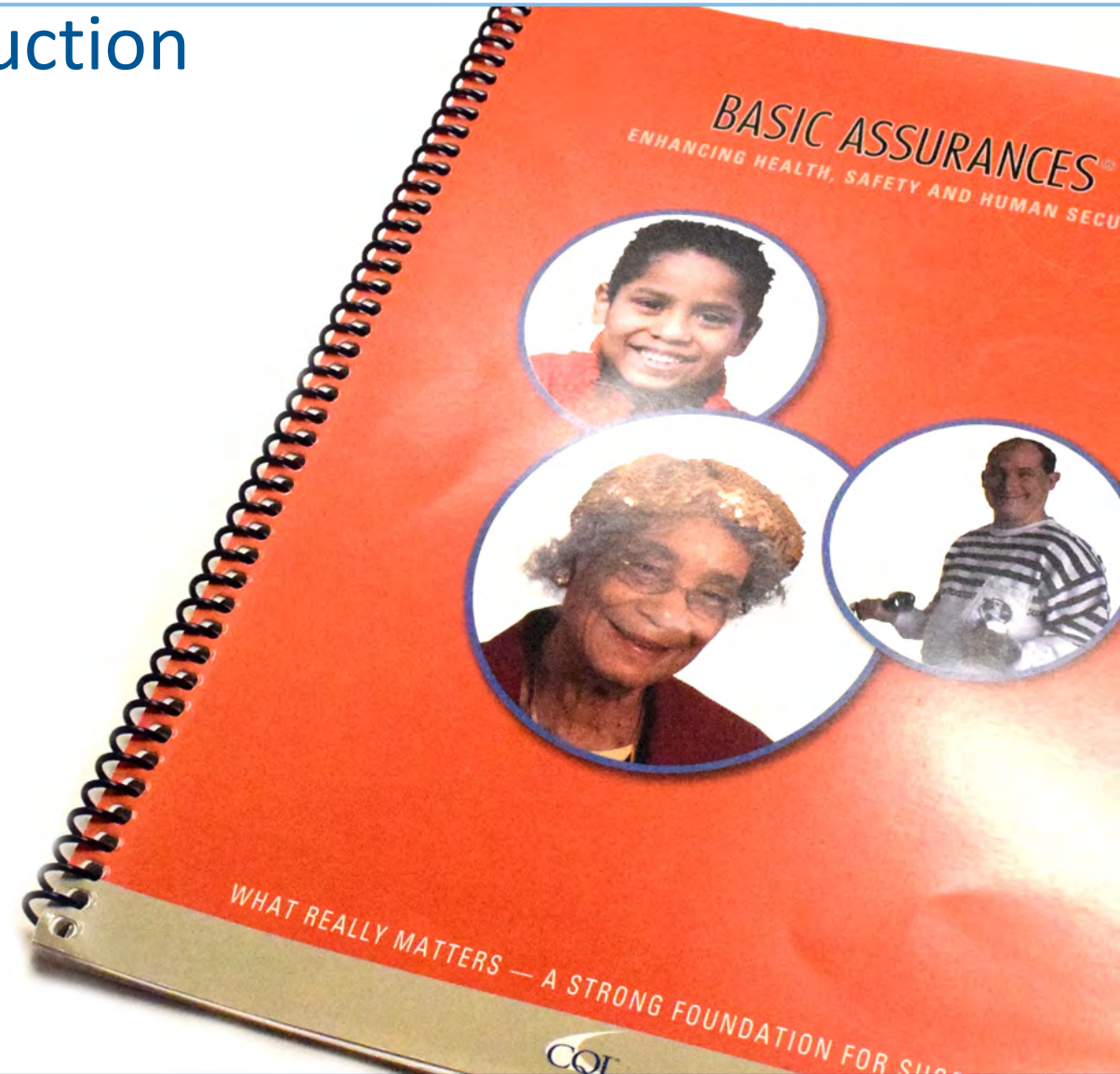
An Introduction



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:

Community and Personal Security (Topic Area)

Indicator: (Sub-Topic)

9a The organization's mission, vision, and values promote attainment of personal outcomes.

Probes: (Questions to support validation of the indicator)

1. Does the organization have a vision, mission and belief statement that promotes attainment of personal outcomes?
2. Do the organization's policies , procedures and practices promote attainment of personal outcomes?
3. Does service and support coordination within the organization, and between the organization and other service entities and the community, promote attainment of personal outcomes?
4. Do people supported by the organization participate in the development of the organization's philosophy, vision, mission, beliefs, policies and procedures, and daily routines?



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 9: Continuity and Personal Security

Process and Evidence



Continuity and Personal Security Process and Evidence

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

Continuity and Personal Security Process and Evidence

Document Review

- Policies and procedures
- Mission statements
- Fiscal audits
- Table of the organization
- Other documents to get an accurate picture of how continuity and security are maintained



Continuity and Personal Security Process and Evidence

Observation and Visits

- Spend time with people in as many settings as possible.
- Ask people's permission to visit them, perhaps they will give a tour of their home/environment.
- Does there appear to be sufficient food, clothing and adequate furniture that is in good repair?
- Are basics such as toilet paper, soap and other personal hygiene items present in sufficient quantities?



Continuity and Personal Security 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:
 - Do you have a enough money or things that meet your daily needs?
 - Do you need any other resources to achieve your personal goals? Whom have you asked to support you? What happened then?
 - Are you aware of any resources the person needs to meet personal goals?
 - What role do you play in assisting the person to obtain resources for those personal goals?



Continuity and Personal Security 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 if something needs to be repaired or replaced?
 - Do you know if the organization keeps information about you in a file? If so, where is it kept, and do you have access to it?
 - If you need to help the person find something in his or her file kept by the organization, how would you go about doing that?



Continuity and Personal Security 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



Continuity and Personal Security 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 9: Continuity and Personal Security

**Indicator A: THE
ORGANIZATION'S MISSION,
VISION AND VALUES PROMOTE
ATTAINMENT OF PERSONAL
OUTCOMES.**





Continuity and Personal Security *Probes*

Indicator A: THE ORGANIZATION'S MISSION, VISION AND VALUES PROMOTE ATTAINMENT OF PERSONAL OUTCOMES.

- Does the organization have a **vision, mission and belief statement** that **promotes attainment of personal outcomes**?
- Do the organization's policies, procedures and practices **promote attainment of personal outcomes**?
- Does service and support coordination within the organization, and between the organization and other service entities and the community, **promote attainment of personal outcomes**?
- **Do people supported** by the organization **participate in the development** of the organization's philosophy, vision, mission, beliefs, policies and procedures, and daily routines?



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Factor 9: Continuity and Personal Security

Indicator B:
THE ORGANIZATION
IMPLEMENTS SOUND
FISCAL PRACTICES.





Continuity and Personal Security Probes

Indicator B:

- Does the organization have a **budgeting and accounting system** to determine costs associated with **providing needed services and supports**?
- Does the organization **use financial reports** for planning and implementing strategies that **promote personal outcomes**?
- Does the organization undergo an annual financial audit by an independent certified accounting firm?
- Does the organization correct material findings identified as the result of the annual financial audit?
- Does the organization have **clear, understandable policies and procedures** to assist people with managing their money?



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Factor 9: Continuity and Personal Security

Indicator C:
BUSINESS,
ADMINISTRATIVE AND
SUPPORT FUNCTIONS
PROMOTE PERSONAL
OUTCOMES.





Continuity and Personal Security *Probes*

Indicator C:

- Are supplies needed for daily living activities, and materials **needed to implement people's person-centered plans, available?**
- Is food available that is nutritious and **meets each** person's **dietary needs** and **preferences?**
- Is furniture and **other equipment** available to provide needed services and supports?
- Are specialized supports, including **adaptive, therapeutic, corrective, prosthetic, orthotic and mobility devices, available** to provide needed services and supports?
- Is there an **effective system for researching and implementing augmentative communication options?**
- Is there an effective and timely system for **repairing, maintaining, and replacing** furnishings and equipment and for maintaining the physical environment?



Continuity and Personal Security *Probes*

Indicator C:

- Does the table of organization **clearly identify its operational elements** and programs and the administrative personnel in charge of each?
- Is the organization **licensed, certified or approved as required by law or other regulations?**
- Does the organization have an **effective system** for contacting administrative staff after hours, on weekends, on holidays and during the absence of regularly assigned supervisory staff?
- Does the organization have a **supervisory structure that promotes continuity and consistency of needed services and supports?**
- Does the organization **implement communication strategies that promote continuity and consistency of services and supports**, including communication between support staff and with people?



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Factor 9: Continuity and Personal Security

Indicator D:
**THE CUMULATIVE RECORD
OF PERSONAL
INFORMATION PROMOTES
CONTINUITY OF SERVICES.**



Continuity and Personal Security *Probes*

Indicator D:

- Is personal information written so as to **promote continuity and consistency of services and supports**?
- Does the organization maintain a cumulative record of information and documentation of services and supports needed by and provided to people? **Does this record include people's responses to those services and supports?**
- Does the organization **work with people** to ensure that records are arranged so access to current and historical personal information is easier?



Continuity and Personal Security *Probes*

Indicator D:

- Does the organization have a system to ensure personal information contained in the record is complete, accurate, clear and legible?
- Do **people and/or their legally authorized representative(s) have access to, use and contribute to the information** that is in their records, if they choose to do so?
- Do people decide when to share personal information?

Continuity and Personal Security

Past Webinars

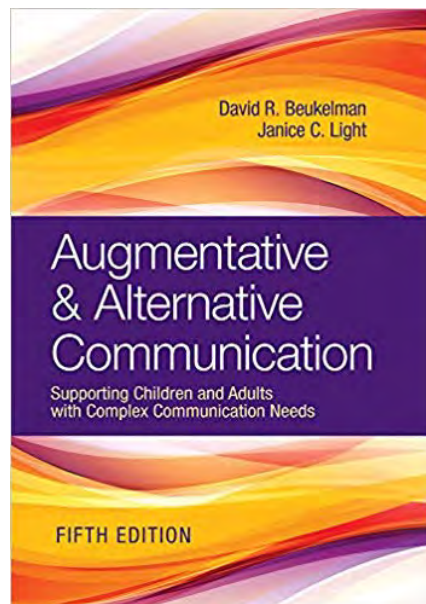
Past webinars on best practices related to Continuity and Personal Security: Archived webinars can be found on our website at: c-q-l.org/resource-library/webinars

- <https://c-q-l.org/files/2019-Documents/CQL-ABLE-Accounts-120519.pdf>
- <https://c-q-l.org/files/2018PowerPoint/CQL-Money-Rep-Payee-072418.pdf>
- <http://arcuk.org.uk/publications/files/2011/09/Guidance-on-Money-Management.pdf> (from2018PowerPoint/CQL-Money-Rep-Payee-072418.pdf)
- <http://www.centsandsensibility.us/#/Home> (from2018PowerPoint/CQL-Money-Rep-Payee-072418.pdf)
- <https://c-q-l.org/app/webroot/files/DOCUMENTS/PRACTICE%20GUIDES/Personal%20Records.pdf>



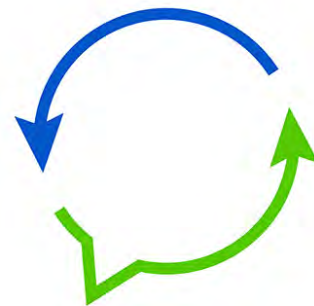
Continuity and Personal Security

Augmentative and Alternative Communication

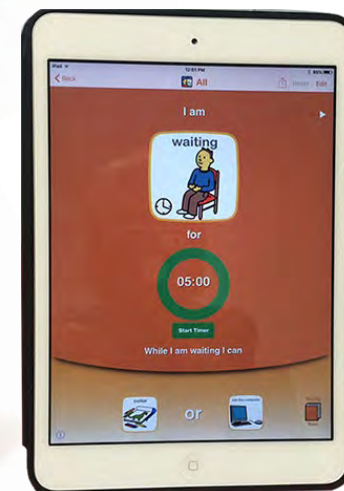


Continuity and Personal Security

Augmentative and Alternative Communication



INTERPRETER





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Factor 9: Continuity and Personal Security



Validation and Decision-Making



Continuity and Personal Security 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



Continuity and Personal Security Validation and Decision-Making

Example:

Indicator 9c : BUSINESS, ADMINISTRATIVE AND SUPPORT FUNCTIONS PROMOTE PERSONAL OUTCOMES.

Probes 1, 3, 5, 6, and 11, address the person's need (through research, strategies, and communication) for materials and equipment needed to implement person-centered plans and systems to ensure there is a timely system to repair them.

1. Are supplies needed for daily living activities, and materials needed to implement people's person-centered plans, available?
3. Is furniture and other equipment available to provide needed services and supports?
5. Is there an effective system for researching and implementing augmentative communication options?
6. Is there an effective and timely system for repairing, maintaining, and replacing furnishings and equipment and for maintaining the physical environment?
11. Does the organization implement communication strategies that promote continuity and consistency of services and supports, including communication between support staff and with people?

Factor 9 Measurables:

- Vision, mission and belief statements
- Policies, procedures and practices
- Organization: operational elements
- Licenses and certifications
- Financial reports and fiscal audit
- People's records
- Person Centered Plans



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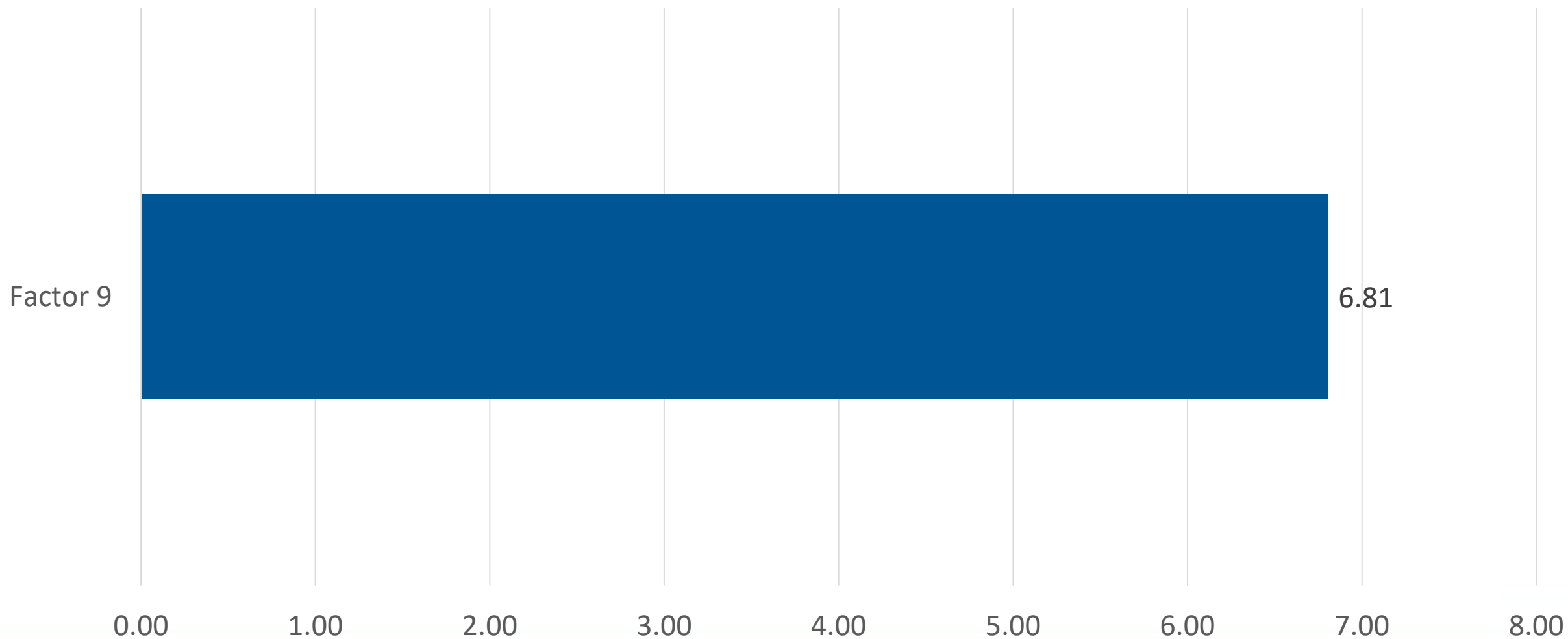


Factor 9 Data

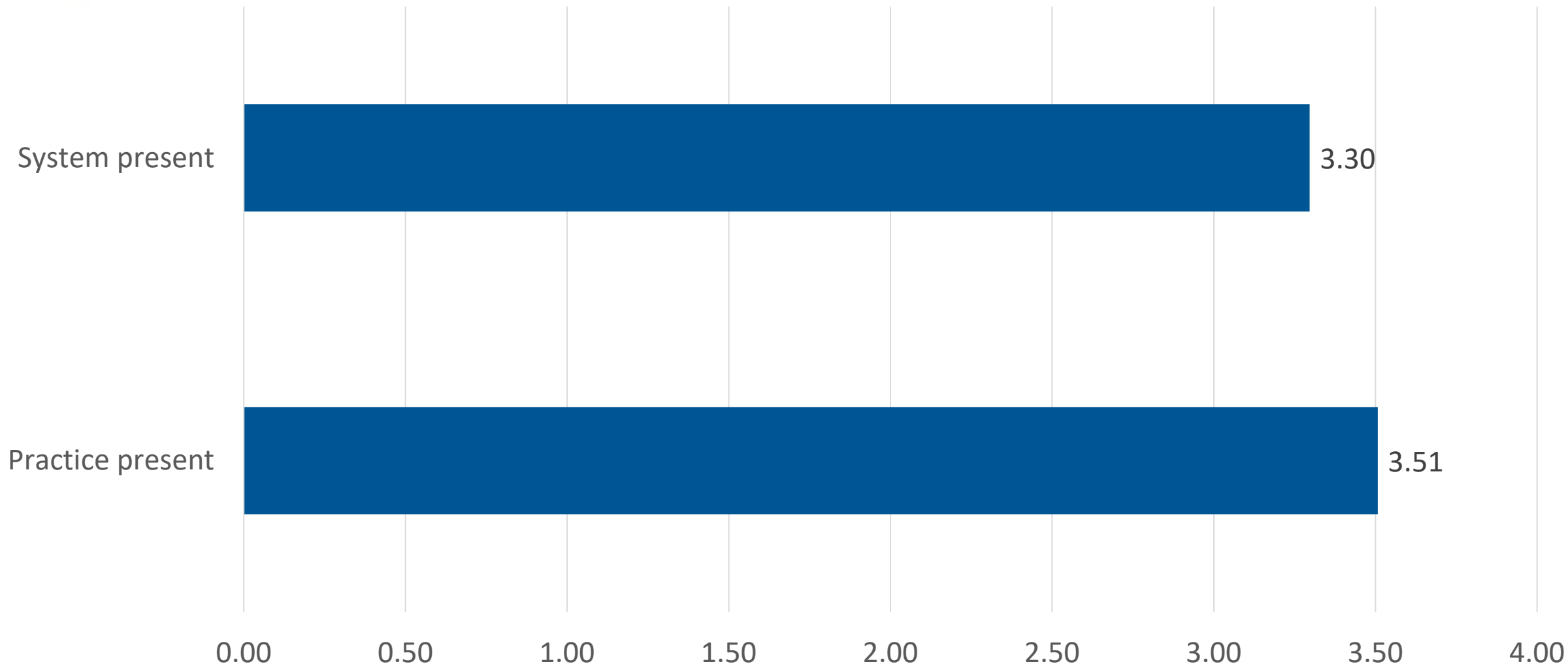


FACTOR 9

TOTAL INDICATORS PRESENT

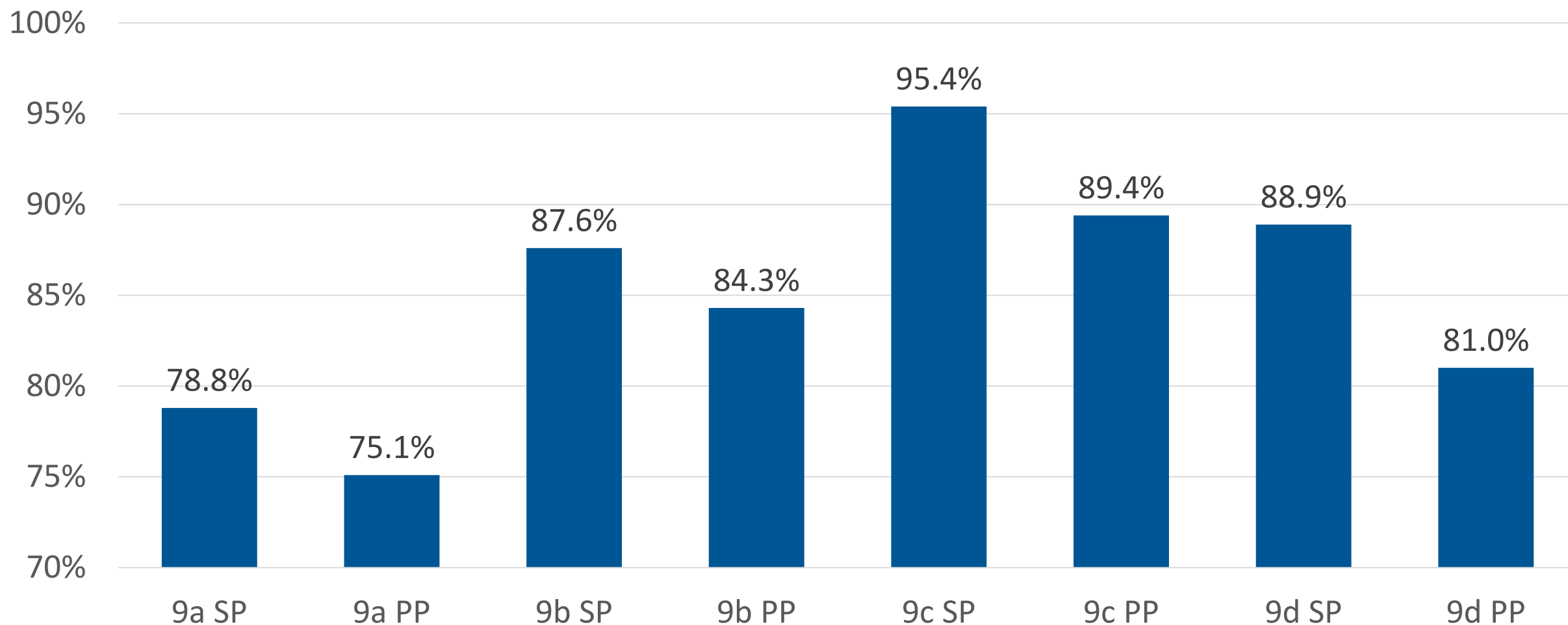


FACTOR 9



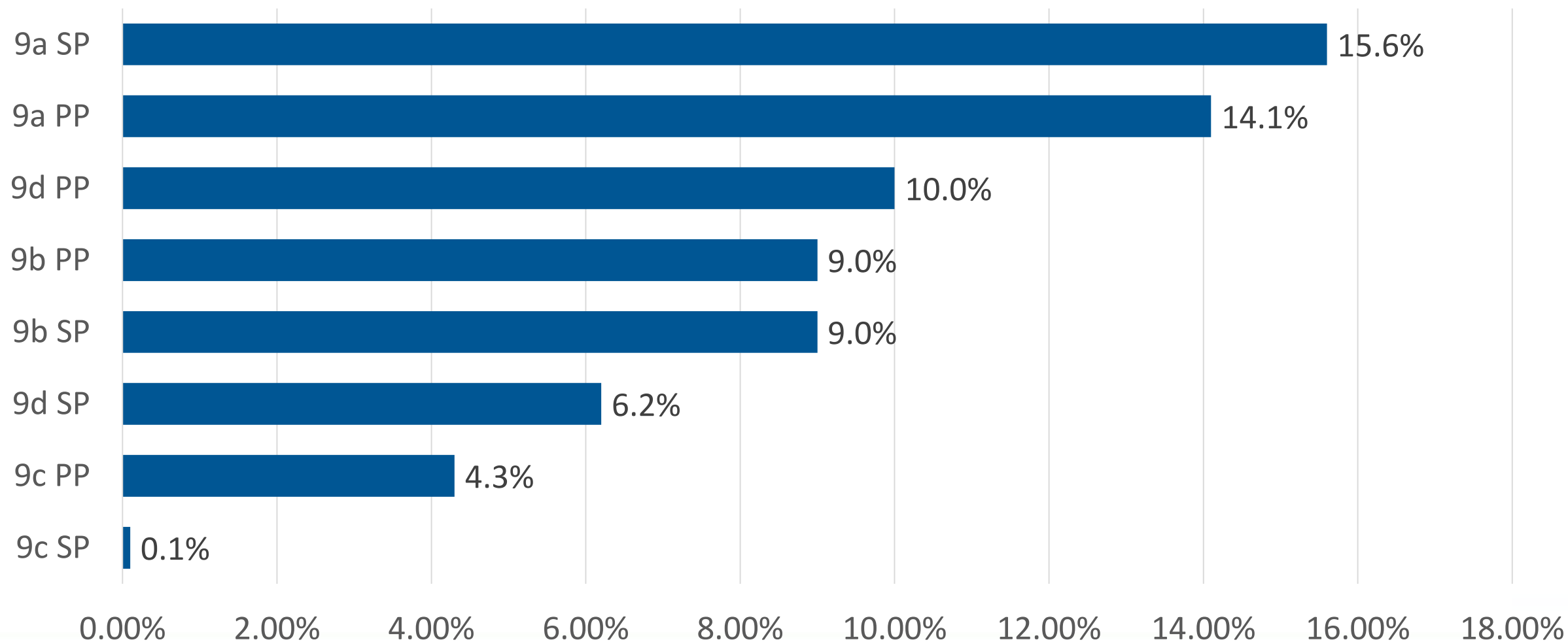
FACTOR 9

PRESENCE OF INDICATORS

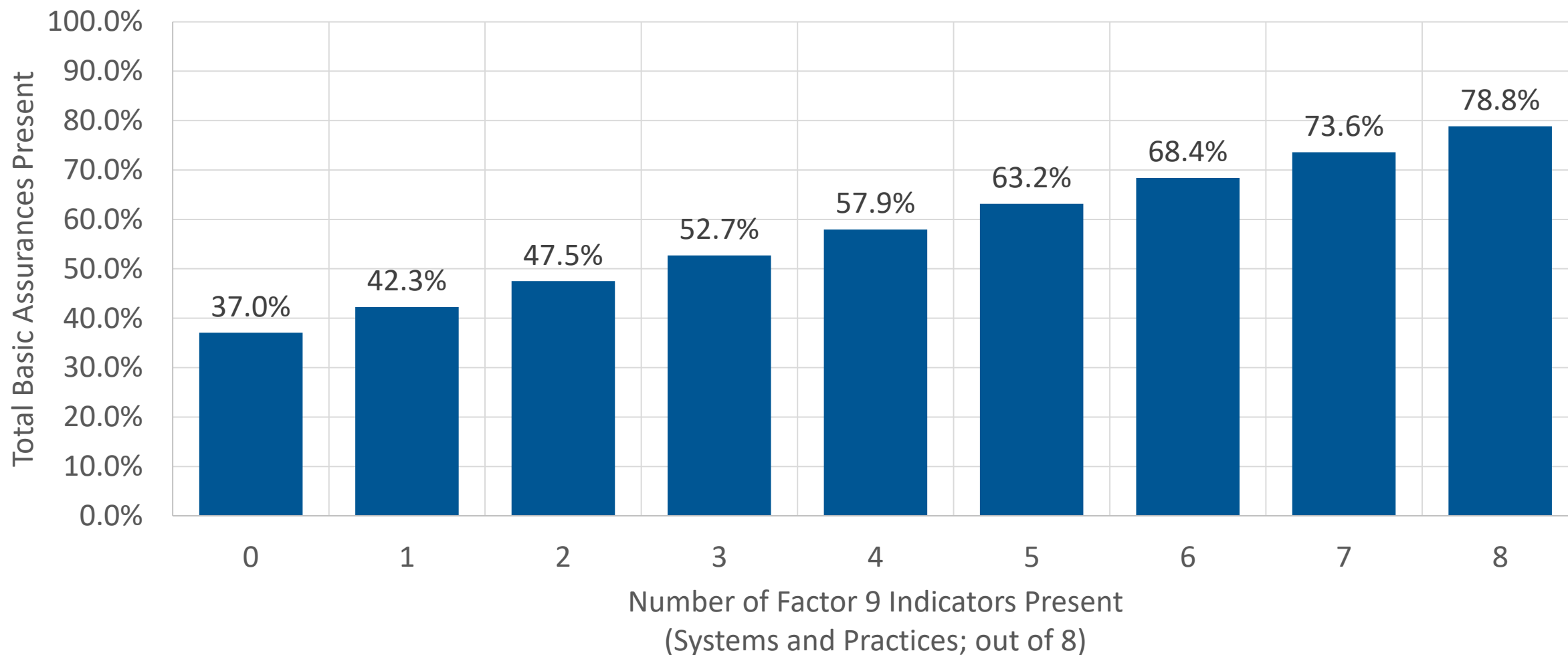




DISCREPANCIES BETWEEN ORG. SELF-ASSESSMENTS & CQL REVIEW



IMPACT OF FACTOR 9 ON TOTAL BASIC ASSURANCES®





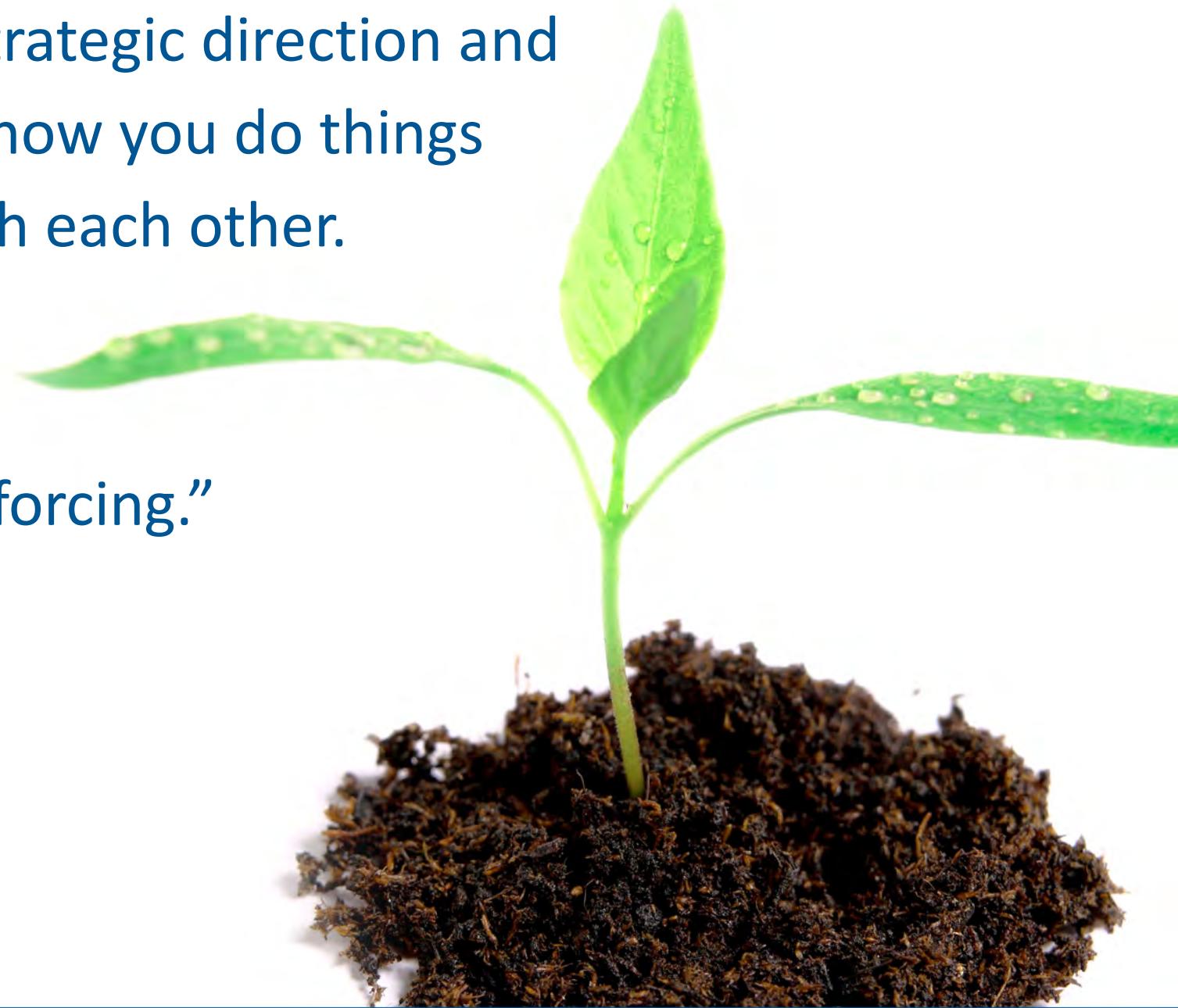
MOST IMPACTFUL PROBES

9b2 Does the organization use financial reports for planning and implementing strategies that promote personal outcomes?	0.508
9a1 Does the organization have a vision, mission and belief statement that promotes attainment of personal outcomes?	0.492
9a2 Do the organization's policies, procedures and practices promote attainment of personal outcomes?	0.485
9a3 Does service and support coordination within the organization, and between the organization and other service entities and the community, promote attainment of personal outcomes?	0.438
9d3 Does the organization work with people to ensure that records are arranged so access to current and historical personal information is easier?	0.372

“The thing is, continuity of strategic direction and continuous improvement in how you do things are absolutely consistent with each other.

In fact, they’re mutually reinforcing.”

- Michael Porter





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