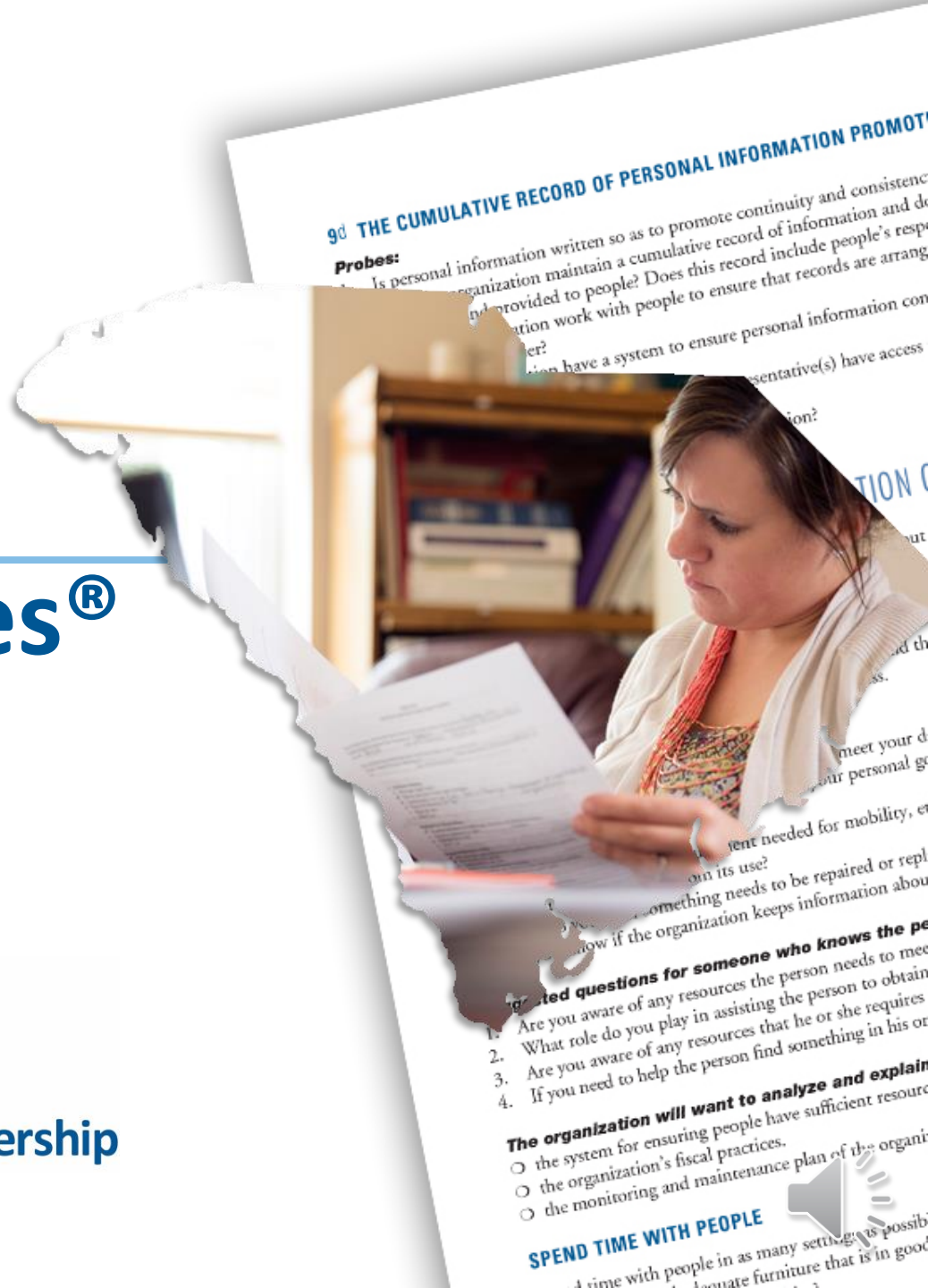


# Understanding Basic Assurances®





## *Vision*

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

## *Mission*

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



# Change *Inspires* us.

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

*-Jeff Pederson, CHI Friendship*

# THE CQL DIFFERENCE

## ORGANIZATIONAL TRANSFORMATION





# THE CQL DIFFERENCE

## PROCESS vs. OUTCOME

“It’s not about just getting pretty scores or **checkmarks** ...

It’s a reflection of actual changed lives.”



- Roy Gerstenberger

DDSD Director, VT Department of Disabilities, Aging, and Independent Living  
(former) CEO, Community Bridges



# THE CQL DIFFERENCE

## PROCESS vs. OUTCOME

- Go beyond just policies, processes and systems
- Instead ask, how are those policies, processes, and systems being implemented, in practice?
- And what is the outcome for the person? The agency?

**Explore *individually-defined* outcomes,  
and supports that help people achieve those outcomes**



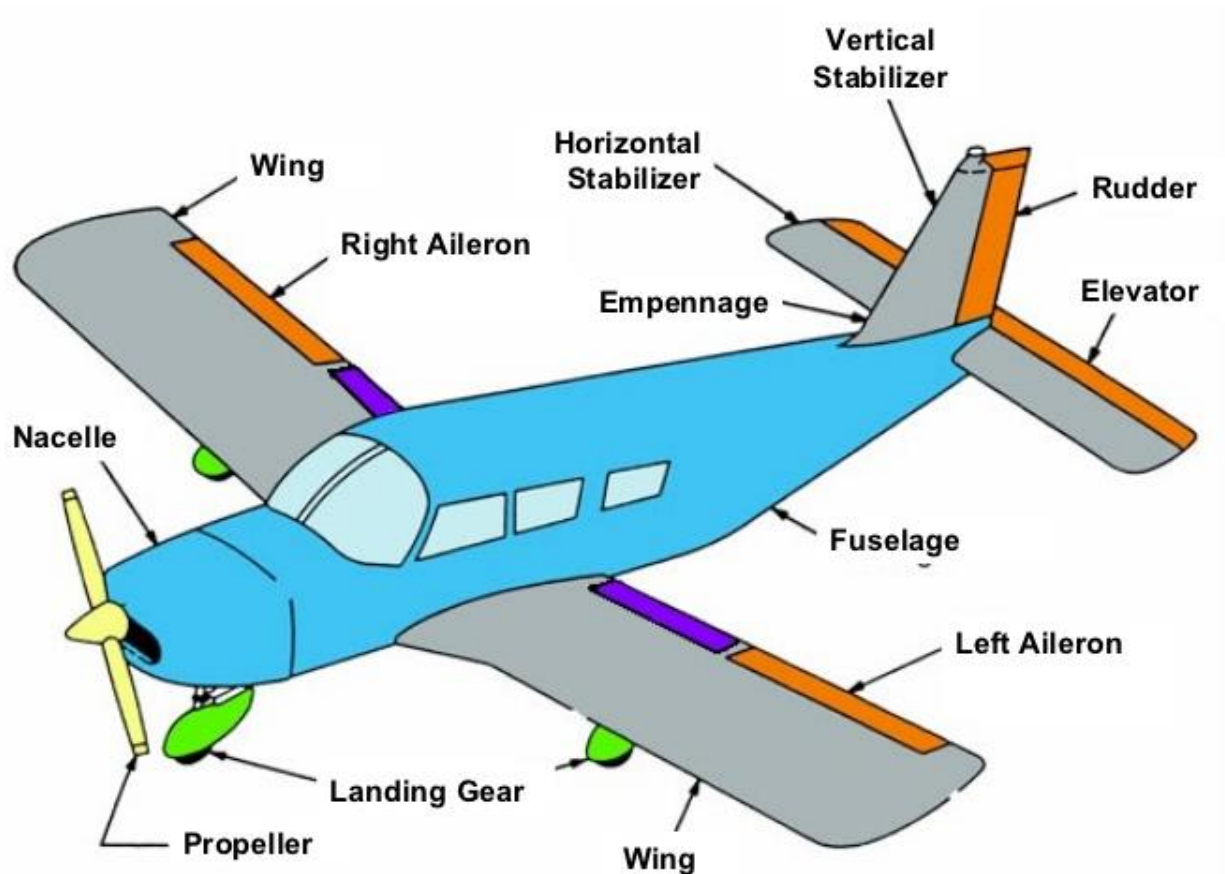
# QUALITY

ALL EFFORTS ARE NOT EQUAL



# THE CQL DIFFERENCE

## BASIC ASSURANCES<sup>®</sup>



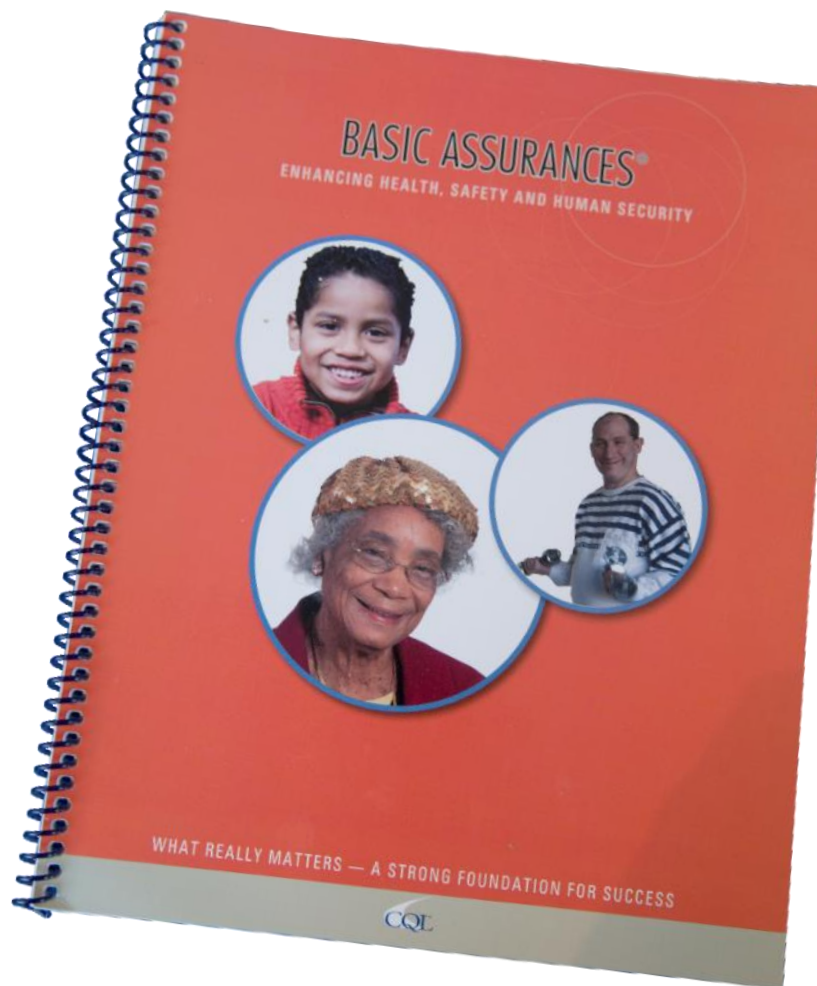




# THE CQL DIFFERENCE

## BASIC ASSURANCES®

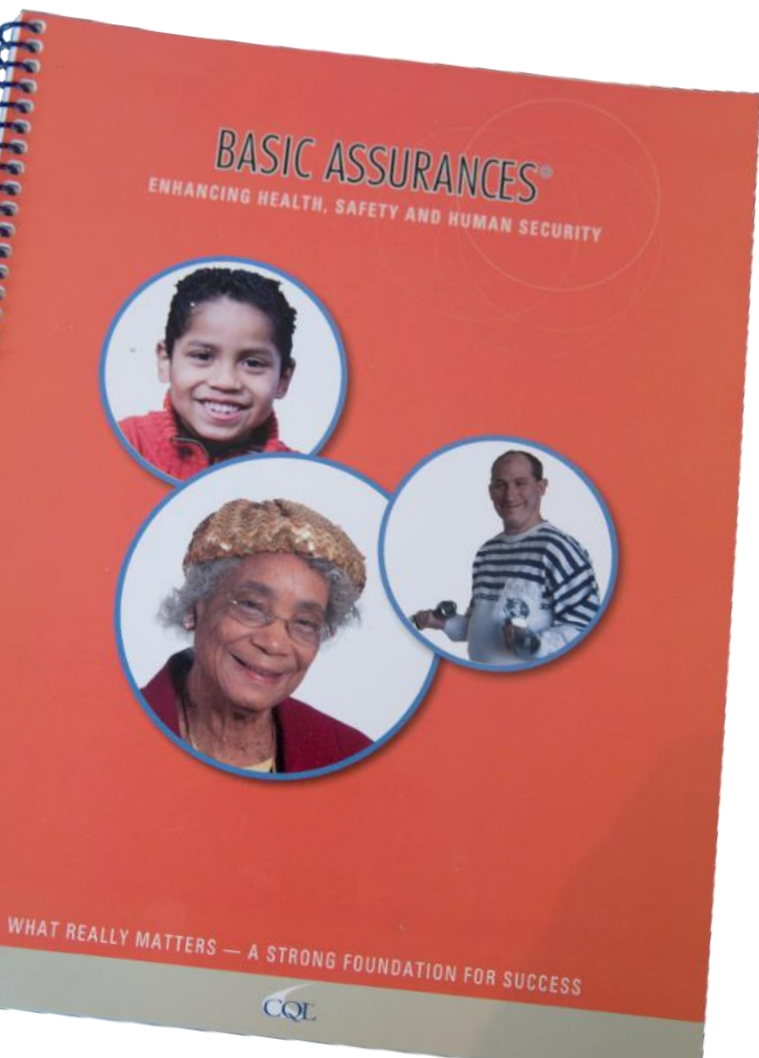
1. Rights Protection and Promotion
2. Dignity and Respect
3. Natural Support Networks
4. Protection from Abuse, Neglect, Mistreatment and Exploitation
5. Best Possible Health
6. Safe Environments
7. Staff Resources and Supports
8. Positive Services and Supports
9. Continuity and Personal Security
10.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





# THE CQL DIFFERENCE

## BASIC ASSURANCES®



- Essential, fundamental, and non-negotiable requirements for all service and support providers
- Includes the areas of Health, Safety, and Human Security
- Viewed from the person's perspective



# THE CQL DIFFERENCE

## BASIC ASSURANCES®

### System

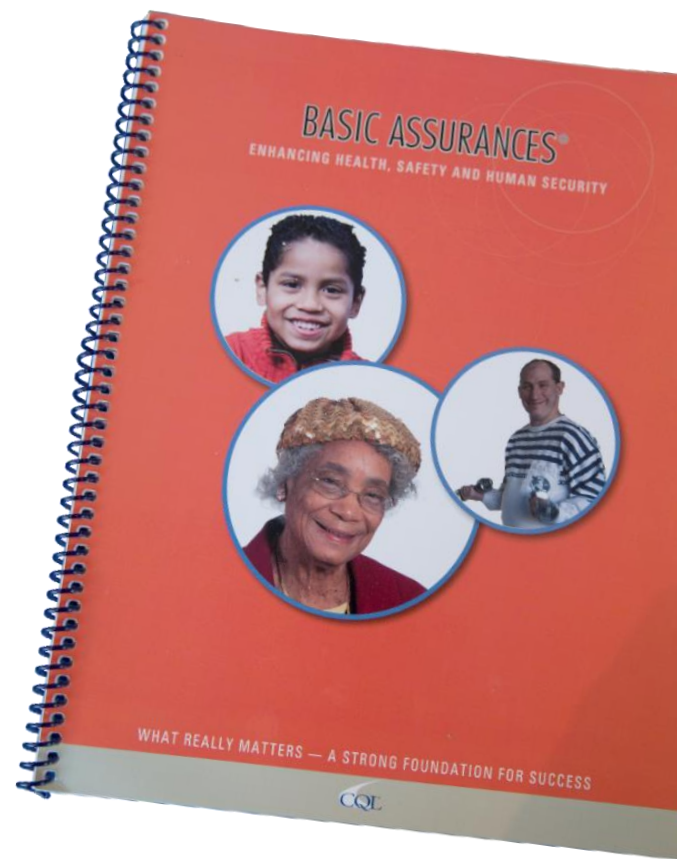
Organizational supports that provide the structure for organizational practice.

These can be policies and procedures, staff training, or other types of systems – ensure sustainability

### Practice

What is observed in daily operations.

This demonstrates how an organization's supports are put into action





# FACTOR 1

## RIGHTS PROTECTION AND PROMOTION

- The organization implements policies and procedures that promote people's rights.
- The organization supports people to exercise their rights and responsibilities.
- Staff recognize and honor people's rights.
- The organization upholds due process requirements.
- Decision-making supports are provided to people as needed.



## FACTOR 2

### DIGNITY AND RESPECT

- People are treated as people first.
- The organization respects people's concerns and responds accordingly.
- People have privacy.
- Supports and services enhance dignity and respect.
- People have meaningful work and activity choices.



## FACTOR 3

### NATURAL SUPPORT NETWORKS

- Policies and practices facilitate continuity of natural support systems.
- The organization recognizes emerging support networks.
- Communication occurs among people, their support staff and their families.
- The organization facilitates each person's desire for natural supports.



## FACTOR 4

### PROTECTION FROM ABUSE, NEGLECT, MISTREATMENT AND EXPLOITATION

- The organization implements policies and procedures that define, prohibit and prevent abuse, neglect, mistreatment and exploitation.
- People are free from abuse, neglect, mistreatment and exploitation.
- The organization implements systems for reviewing and analyzing trends, potential risks and sentinel events including allegations of abuse, neglect, mistreatment and exploitation, and injuries of unknown origin and deaths.





## FACTOR 4

### PROTECTION FROM ABUSE, NEGLECT, MISTREATMENT AND EXPLOITATION

- Support staff know how to prevent, detect and report allegations of abuse, neglect, mistreatment and exploitation.
- The organization ensures objective, prompt and thorough investigations of each allegation of abuse, neglect, mistreatment and exploitation, and of each injury, particularly injuries of unknown origin.
- The organization ensures thorough, appropriate and prompt responses to substantiated cases of abuse, neglect, mistreatment and exploitation, and to other associated issues identified in the investigation.





## FACTOR 5

### BEST POSSIBLE HEALTH

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- People have supports to manage their own health care.
- People access quality health care.
- Data and documentation support evaluation of health care objectives and promote continuity of services and supports.
- Acute health needs are addressed in a timely manner.
- People receive medications and treatments safely and effectively.
- Staff immediately recognize and respond to medical emergencies.

## FACTOR 6

### SAFE ENVIRONMENTS

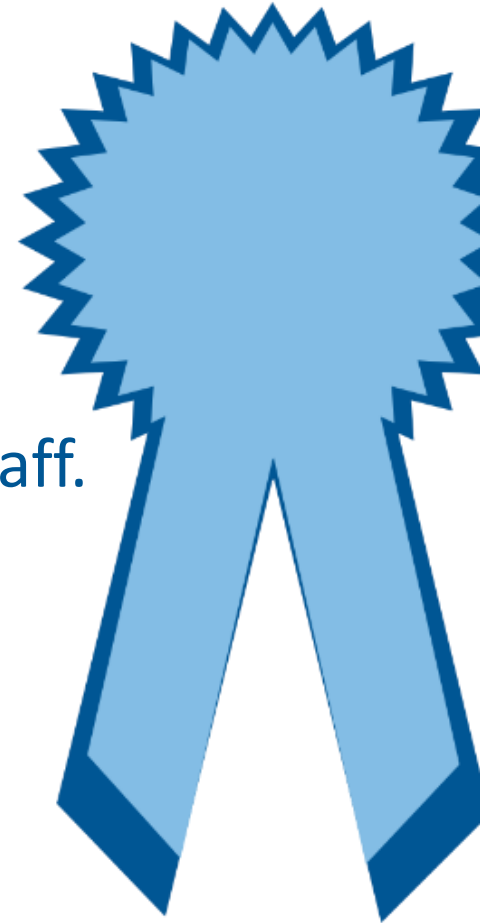
- The organization provides individualized safety supports.
- The physical environment promotes people's health, safety and independence.
- The organization has individualized emergency plans.
- Routine inspections ensure that environments are sanitary and hazard free.



## FACTOR 7

### STAFF RESOURCES AND SUPPORTS

- The organization implements a system for staff recruitment and retention.
- The organization implements an ongoing staff development program.
- The support needs of individuals shape the hiring, training and assignment of all staff.
- The organization implements systems that promote continuity and consistency of direct support professionals.
- The organization treats its employees with dignity, respect and fairness.





## FACTOR 8

### POSITIVE SERVICES AND SUPPORTS

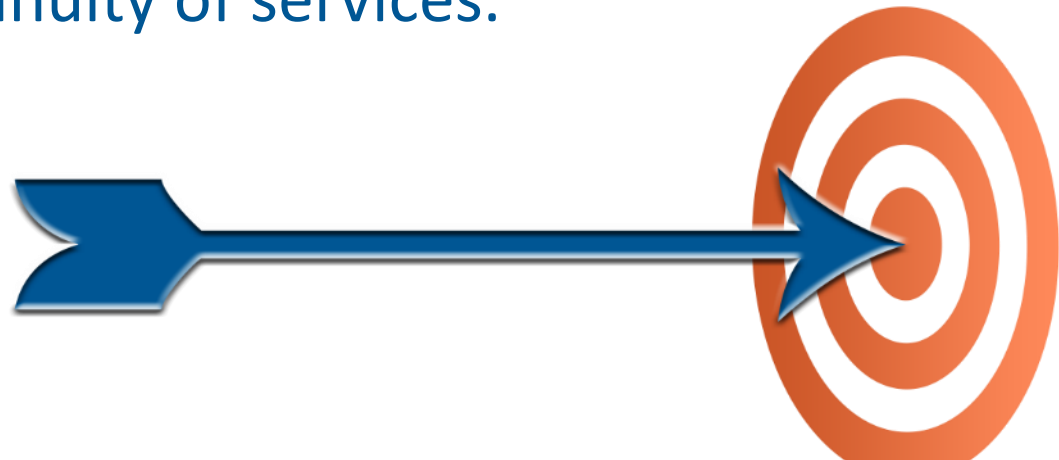
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- People's individual plans lead to person-centered and person-directed services and supports.
- The organization provides continuous and consistent services and supports for each person.
- The organization provides positive behavioral supports to people.
- The organization treats people with psychoactive medications for mental health needs consistent with national standards of care.
- People are free from unnecessary, intrusive interventions.

## FACTOR 9

### CONTINUITY AND PERSONAL SECURITY


- The organization's mission, vision and values promote attainment of personal outcomes.
- The organization implements sound fiscal practices.
- Business, administrative and support functions promote personal outcomes.
- The cumulative record of personal information promotes continuity of services.





# BASIC ASSURANCES®

## SELF-ASSESSMENT

 <b>BASIC ASSURANCES®</b> <b>SELF-ASSESSMENT</b>		Org. Review 1 = Yes 0 = No	Organization's Comments & Supporting Information for this Indicator (List relevant policies, procedures, staff training, plans, committees, etc.)	CQL Review 1 = Yes 0 = No	CQL's Comments & Supporting Information for this Indicator (List relevant policies, procedures, staff training, plans, committees, etc.)
<b>FACTOR 1 Rights Protection and Promotion</b>					
<b>1d</b>	<b>THE ORGANIZATION UPHOLDS DUE PROCESS REQUIREMENTS.</b>				
1d1	Does the organization have, or have access to, a working and effective Rights Committee?				
1d2	Do the policies and procedures define Rights Committee membership, training, roles, responsibilities and procedures?				
1d3	Does the Rights Committee oversee the use of restrictive or intrusive interventions that are part of a plan of behavioral or medical supports?				
1d4	When restrictive or intrusive interventions are reviewed, is at least one-third of the Rights Committee membership present not affiliated with the organization?				
1d5	Does the Rights Committee review policies, procedures and practices that have the potential for rights restrictions without an individualized assessment (such as blanket restrictions that affect more than 1 person)?				
1d6	Does the Rights Committee review all individual rights restrictions?				
1d7	Does the Rights Committee review the frequencies and reasons surrounding the use of restraint for behavioral or medical purposes? Does the Rights Committee review reports of substantiated allegations of abuse, neglect, mistreatment, exploitation and other data that reveal the organization's practices with respect to human, civil and legal rights? Does it				



# GATHERING INFORMATION

## ASSESSING SYSTEMS AND PRACTICES

### TALK

- People supported
- Families
- Staff—DSPs
- Community Leaders
- Others

### REVIEW

- Policies and Procedures
- Staff Training
- Committee work
- Support Plans
- Behavior Supports
- Other

### DATA

- Personal Outcome Measures® data
- Accidents/Injuries
- Abuse and Neglect
- Medication Errors
- Use of Psychoactive Medications
- Other



# GATHERING INFORMATION

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## ASSESSING SYSTEMS AND PRACTICES



**Bring us the  
evidence**



# THE CQL DIFFERENCE

## PERSONAL OUTCOME MEASURES<sup>®</sup>



1. People are safe
2. People are free from abuse and neglect
3. People have the best possible health
4. People experience continuity and security
5. People exercise rights
6. People are treated fairly
7. People are respected
8. People use their environments
9. People live in integrated environments
10. People interact with other members of the community
11. People participate in the life of the community
12. People are connected to natural support networks
13. People have friends
14. People have intimate relationships
15. People decide when to share personal information
16. People perform different social roles
17. People choose where and with whom they live
18. People choose where they work
19. People choose services
20. People choose personal goals
21. People realize personal goals



# THE CQL DIFFERENCE

## STATEWIDE HCBS REPORTING

### Requirements for Home and Community-Based Settings

STATEMENT 1: The setting is integrated in and supports full access of individuals receiving Medicaid HCBS to the greater community, including opportunities to seek employment and work in diverse integrated settings, engage in community life, control personal resources, and receive services in the community with the same degree of access as individuals not receiving Medicaid HCBS.

The setting is integrated in and supports full access to the greater community.

#### Basic Assurances® Data

- Factor 2d: Supports and services enhance dignity and respect.
  - Are transportation and other supports provided so people can access community services similar to those used by the community at large?
  - Are people provided options for support settings that include generic settings?
  - Are supports provided in integrated settings?

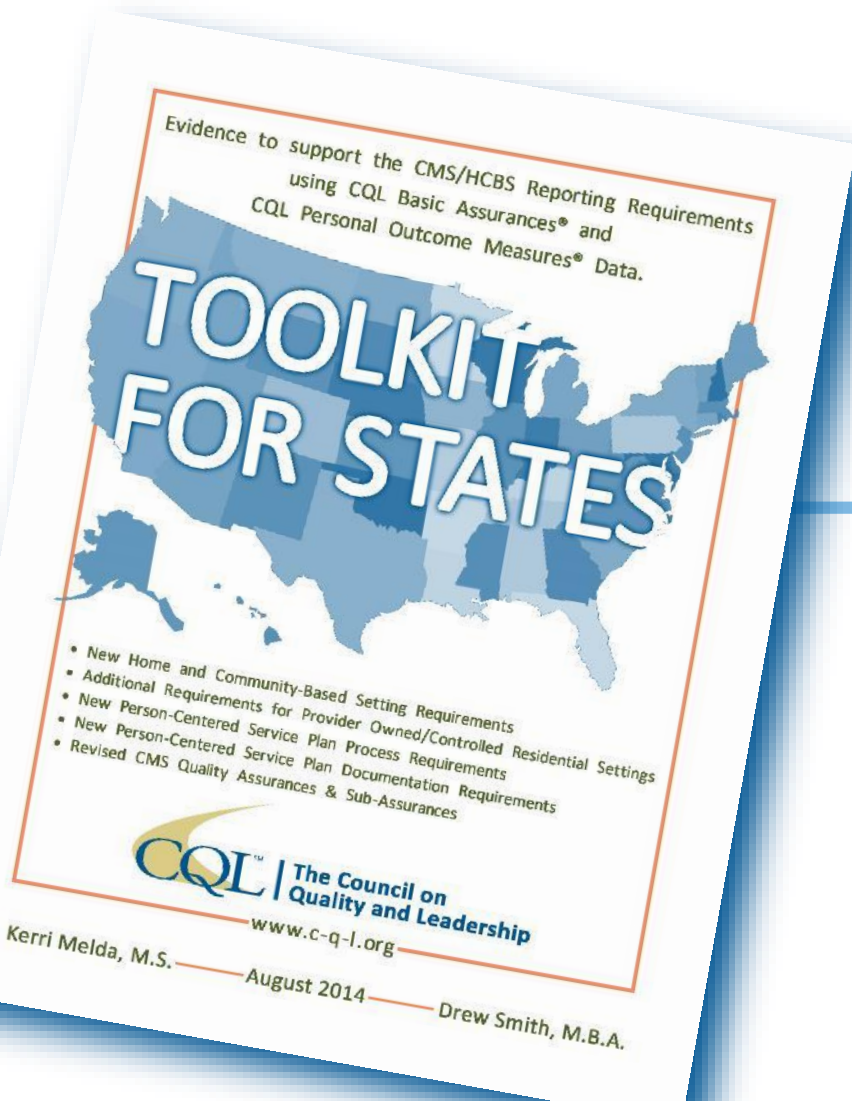
#### Personal Outcome Measures® Data

- POM 10: People choose where and with whom to live.
  - Do the options an individual has about where and with whom to live include generic community settings?
- POM 13: People live in integrated environments.
  - Does the person use the same environments used by people without disabilities (at home, at work, at school, in the community)?
  - Do services and supports for the person promote opportunities for integration?
- POM 14: People interact with other members of the community.
  - Is there direct interaction between the person and others in the community?
  - Is the type and frequency of interaction satisfactory to the individual?
- POM 19: People participate in life in the community.
  - Does the person participate in the life of the community?
  - Is the individual satisfied with the type and frequency of his/her participation?

- New CMS regulations require the use of **reliable, valid data** for reporting
- Basic Assurances® and Personal Outcome Measures® take the next step to measure the impact of services on **individualized outcomes** for people receiving supports



# CQL's TOOLKIT FOR STATES



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

# People *Define* us.

“CQL is the  
**golden standard**  
in our field.”

*-Carmine Marchionda, ARC of Rockland*





**CQQL**<sup>SM</sup> | The Council on  
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