

Using CQL's innovative Personal Outcome Measures[®] interviews, record reviews, observations and focus group meetings, this certification process assesses organizational accountability in the areas of health, safety, human security and legal rights. With this confirmation of success in Basic Assurances[®], your organization earns the freedom to experiment and explore additional opportunities and methods for innovation and quality in the supports you provide.

BASIC ASSURANCES[®] CERTIFICATION

Sample Schedule

Day One (pre-visit)

Team leader (and others as assigned) completes review of Basic Assurances[®] Self-Assessments and additional document review. Team leader will make any adjustments to schedule, assign responsibilities, and develop focus for activities during visit.

Day One (on-site)

Organizational Presentation – Basic Assurances[®] [1 ½ hours]

- Data collection and analysis
- Incident reporting and trending (safety, abuse, neglect, mistreatment and exploitation, medication errors/issues and behavior supports)
- Challenges, opportunities and responses.

Final Day

Wrap-up/Next Steps Meeting [2 ½ hours]

- A review of the information gathered from personal interviews, focus groups and observations which could include examples, recommendations and commendations regarding each of the ten Basic Assurances[®] Factors.
- Presentation of the Organizational Profile (results grid with recommendations and commendations) and an opportunity for organizational participants to ask questions.
- Support the organization to modify and enhance their current systems, or brainstorm about new systems through a collaborative identification of priorities and next steps.

() Content will be based on what happens during visit and ongoing conversations with the organization to ensure that it meets the needs and expectations of the organization.*

The CQL Team Leader will work with the organization to develop a schedule that includes the following components and fits with the organizational culture and people's routines. If possible, no more than two activities should be scheduled at the same time. The length of the Basic Assurances® visit and the size of the team will be determined by the size of the organization and the inclusion of all these activities in the schedule. Activities are not listed in any particular order.

Focus Group with Direct Support Staff [1 ½ hours]

- Organization will choose six to eight direct support staff who are willing to participate.
- Staff will choose location to meet with one or two CQL team member(s). Meeting should be held at someplace other than an organization facility, and should provide for sufficient privacy.
- **Topic:** Basic Assurances®

Focus Group with People Supported [1 ½ hours]

- Organization will choose six to eight people and determine if they are willing to participate.
- People will choose location to meet with one or two CQL team member(s). Meeting should be held at someplace other than an organization facility, and should provide for sufficient privacy.
- **Topic:** Basic Assurances®

Spending Time with People [approximately 3 hours each]

- Two CQL team members to spend time with two people receiving supports going about their normal routine.
- People will be selected by the CQL team leader from the organization's roster.
- Personal Outcome Measures® information gathering related to Basic Assurances®.

Note: At least one of the two people that CQL team members spend time with should be someone who communicates in non-traditional ways.

Targeted Interviews (four to eight people) [30 minutes each]

- Person who made last complaint.
- Person involved in last abuse, neglect, mistreatment or exploitation allegation.
- Organizational leader (chosen by the organization).
- Person receiving supports who has consented to a restrictive/intrusive procedure as a part of a behavior support plan (chosen from roster by CQL team leader).
- Person(s) chosen based on issues identified during document review or on-site activities.

Note: The above list is not exhaustive or mandatory and will be tailored to meet the needs and characteristics of each organization.

Community Members Lunch [1 ½ hours]

- Organization will invite two to four community members affiliated with the organization to have lunch and conversation with a CQL team member.
- Organization will make arrangements for location and type of lunch.
- **Topic:** Organization's reputation as it relates to Basic Assurances®.



Family Members Lunch [1 ½ hours]

- Organization will invite two to four family members of people receiving services to have lunch and conversation with a CQL team member.
- Organization will make arrangements for location and type of lunch.
- **Topic:** Organization's reputation as it relates to Basic Assurances®.

Additional Information Gathering [3 ½ hours]

- Visits to other organization sites.
- Meet with identified agency staff.
- Review additional paperwork as needed (possibly including record reviews).
- Human Resources systems that support Basic Assurances®.
- Quality planning incorporating Basic Assurances®.

BASIC ASSURANCES® CERTIFICATION

Description of Activities to Prepare

Items to have available on-site:

1. Previous six months of documentation for:
 - a. Investigations of abuse, neglect, mistreatment and exploitation
 - b. Safety and environmental inspections and responses
 - c. Follow-up to complaints and grievances by people receiving services, families and friends, employees and volunteers, and community members
 - d. Reports and investigations of deaths
2. Comprehensive policy and procedures manuals

Opening Meeting [2 ½ - 3 hours]

1. Participants – The organization may invite any number of people to this meeting including, but not limited to: people supported, families, volunteers, employees from throughout the organization, community members and the Board of Directors.
2. Presentation of the History and Mission – The organization prepares a presentation that tells the story of the history and mission of the organization, answering questions such as: Who are we? What were the events that inspired our founding? Who are key figures and what were their roles in our history? How have we changed (name, affiliations, focus, etc.)?
3. The organization is expected to prepare and present an analysis of their system of Basic Assurances®. It should include responses to the following questions: What systems are in place? How is the efficacy of each system measured? What data is collected? How is it analyzed? What trends have been identified and how has the organization responded? What are the current initiatives, challenges and opportunities?

Focus Groups [1 ½ hours each]

1. People Supported – Choose six to eight people supported who are interested in and willing to meet with one or two CQL team members to discuss Basic Assurances®. People who communicate in different ways should be included and the supports they need are provided. The location of the gathering should be chosen by the participants to ensure that they are comfortable.
2. Direct Support Staff – Choose six to eight direct support staff who are interested in and willing to meet with one or two CQL team members to discuss Basic Assurances®. The location of the gathering should be chosen by the participants to ensure that they are comfortable and are not distracted by regular job duties.

Note: *Please provide written directions to any locations that are not at the organization.*

Spending Time with People [up to 3 hours each]

1. The CQL team leader will select two people from the organizational roster. The organization asks permission from these people for a CQL team member to spend time with them at various times and locations during the day and/or in the evening (such as their home, at work and/or at other times and places where they live, work, volunteer or recreate).
2. Staff who know each of these people well may need to be available to meet with a CQL team member for a few minutes that same evening or the following day.
3. At least one of the two people who agree to have a CQL team member spend time with them should be someone who communicates in non-traditional ways.

Note: Please provide written directions to any locations that are not at the organization.

Targeted Interviews [30 minutes each]

1. The organization should schedule people meeting the following criteria for targeted interviews:
 - a. The person who made the last complaint or a complaint in the last six months
 - b. A person supported involved in an abuse, neglect, mistreatment or exploitation investigation in the last six months
 - c. An organizational leader (chosen by the organization)
 - d. A person supported who has consented to a behavior support plan with restrictive or intrusive interventions (this person will be chosen from the roster by the CQL team leader)

Note: Prior to the on-site visit or after arriving, CQL team members may request one to three additional interviews be scheduled based on findings during document review or other on-site information gathering.

2. The organization is responsible for providing at least two locations with sufficient privacy for interviews. Interviews are expected to take no longer than 30 minutes each.

Lunches [1 1/2 hours each]

1. **Community Members** – Choose two to four members of the community that are affiliated with the organization and people it supports, and are willing to have lunch with one to two CQL team members to discuss Basic Assurances®. The location of the lunch should be comfortable and have sufficient privacy. The organization can decide how to arrange the lunches (boxed lunches, get a local restaurant to donate, order in pizza, families provide pot luck, people supported do a BBQ, management serve as waiters, etc.). CQL team members will cover the costs of their own lunches.
2. **Family Members** – Choose two to four family members of people who receive supports who are willing to have lunch with one to two CQL team members to discuss Basic Assurances®. The location should be different from the Community Members lunch location, and should be comfortable and have sufficient privacy. The organization can decide how to arrange the lunches (boxed lunches, get a local restaurant to donate, order in pizza, families provide pot luck, people supported do a BBQ, management serve as waiters, etc.). CQL staff will cover the costs of their own lunches.

Note: Please provide written directions to any location that are not at the organization.

Wrap Up/Next Steps Meeting [2 1/2 hours]

1. A review of the information gathered from personal interviews, focus groups and observations which could include examples, recommendations and commendations regarding Basic Assurances[®] Factors.
2. Presentation of the Organizational Profile (results grid with recommendations and commendations) and an opportunity for organizational participants to ask questions.
3. Support the organization to modify and enhance their current systems, or brainstorm about new systems through a collaborative identification of priorities and next steps.

General notes:

- Based on the anticipated attendance at Opening and Wrap-up meetings, the location should be large enough to accommodate everyone comfortably.
- For all meetings, please have a flip chart available.

BASIC ASSURANCES® CERTIFICATION

Documents Review Checklist

Prior to the CQL visit, please review the following Organizational Policies and Procedures, Data Collection and Analysis, and Lists/Other Documents:

Policies and Procedures	Review Date	Questions/Issues for Follow-up
Policies and procedures that protect and promote people's rights		
Policy and procedures defining Human Rights Committee membership, training, roles, responsibilities and procedures		
Policies and practices that facilitate continuity of the person's natural support system		
Policies and procedures that define, prohibit and prevent abuse, neglect, mistreatment and exploitation		
Procedures detailing the conduct of the investigations of allegations of abuse/neglect and injuries of unknown origin		
Procedures for responding to substantiated allegations of abuse, neglect, mistreatment and exploitation		
Policies and procedures that define the Incident Management System		
Policies, procedures or protocols for providing the supports needed to ensure the health, safety and security of people		
Emergency/disaster plans		
Policies and procedures that reflect the organization's commitment to positive behavioral support, and the specific behavioral supports that may not be employed		
Minutes from the last six Rights Committee's meetings		
Human Resource policies and procedures related to screening, hiring, training and evaluating staff		

Data Collection and Analysis and Evidence Protocols	Review Date	Questions/Issues for Follow-up
Personal Outcome Measures [®] data from past year		
Data collection and systems of the quality planning process		
Plan to implement and monitor the presence of Basic Assurances SM		
Complaint data and analysis		
Incident Management System data and analysis (last year)		
Safety drills conducted for the last 12 months		
Records and reports including corrective actions taken of the most recent fire, safety, sanitation and environmental inspections		
Most recent reports from external licensing or certification organizations and the plan of action to address any concerns		
Copies of internal environmental inspection tools and data for last six months		

Lists and Other Documents	Review Date	Questions/Issues for Follow-up
The vision, mission and belief statement(s)		
External communication, media and public relations materials		
List of community resources: including local organizations, clubs, places of worship and schools used to build capacity for natural supports		
Sample job description and performance evaluations for one position		
List of people with plans that incorporate intrusive interventions		
Values statement or list of Core Values		
Independent financial audit and any required response/corrective action		
Copy of organization design chart		

BASIC ASSURANCES® CERTIFICATION
Record Review Checklist

Records	Y/N	Comments
Assessment of person's ability to exercise rights, including description of priority rights.		
Assessment of need and written plan to obtain advocacy, alternatives to guardianship, or guardianship, if needed.		
Personal Preference Assessment(s).		
Documentation which confirms person's involvement and contact with their support network.		
Documentation that confirms that the person has health care evaluations, and as needed, health care objectives.		
Documentation after discharge from a hospital that includes the discharge diagnoses, current health status, necessary follow-up instructions, and any restrictions or limitations (if applicable).		
Safety assessments completed.		
Individual Plan of services and supports developed by person with his/her individual support team.		
Document of the provision of services and supports in accordance with plan.		
Behavior support plans developed after ruling out physical and environmental issues that may have contributed to the behavior, if applicable. <i>(In particular look for written consent, less restrictive alternatives tried, plan for reduction and elimination of any intrusive interventions, initial and ongoing reviews by the HRC)</i>		
Medication Administration Records for last 12 months, if applicable.		

BASIC ASSURANCES[®] CERTIFICATION

Results Grid

Organization: _____

Dates: _____

FACTOR ONE: Rights Protection and Promotion

Indicator	S	P	Supporting Information	Present Y/N
A. The organization implements policies and procedures that promote people's rights.				
B. The organization supports people to exercise their rights and responsibilities.				
C. Staff recognize and honor people's rights.				
D. The organization upholds due process requirements.				
E. Decision-making supports are provided to people as needed.				

FACTOR TWO: Dignity and Respect

Indicator	S	P	Supporting Information	Present Y/N
A. People are treated as people first.				
B. The organization respects people's concerns and responds accordingly.				
C. Supports and services enhance dignity and respect.				
D. People have meaningful work and activity choices.				

FACTOR THREE: Natural Support Networks

Indicator	S	P	Supporting Information	Present Y/N
A. Policies and practices facilitate continuity of natural support systems.				
B. The organization recognizes emerging support networks.				
C. Communication occurs among people, their support staff and their families.				
D. The organization facilitates each person's desire for natural supports.				

FACTOR FOUR: Protection from Abuse, Neglect, Mistreatment and Exploitation

Indicator	S	P	Supporting Information	Present Y/N
A. The organization implements policies and procedures that define, prohibit and prevent abuse, neglect, mistreatment and exploitation.				
B. People are free from abuse, neglect, mistreatment and exploitation.				
C. 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.				
D. Support staff know how to prevent, detect and report allegations of abuse, neglect, mistreatment and exploitation.				
E. 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.				
F. 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 FIVE: Best Possible Health

Indicator	S	P	Supporting Information	Present Y/N
A. People have supports to manage their own healthcare.				
B. People access quality healthcare.				
C. Data and documentation support evaluation of health care objectives and promote continuity of services and supports.				
D. Acute health changes are addressed in a timely manner.				
E. People receive medications and treatments safely and effectively.				
F. Staff immediately recognize and respond to medical emergencies.				

FACTOR SIX: Safe Environments

Indicator	S	P	Supporting Information	Present Y/N
A. The organization provides individualized safety supports.				
B. The physical environment promotes people's health, safety and independence.				
C. The organization has individualized emergency plans.				
D. Routine inspections ensure that environments are sanitary and hazard free.				

FACTOR SEVEN: Staff Resources and Supports

Indicator	S	P	Supporting Information	Present Y/N
A. The organization implements a system for staff recruitment and retention.				
B. The organization implements an ongoing staff development program.				
C. The support needs of individuals shape the hiring, training and assignment of all staff.				
D. The organization implements systems that promote continuity and consistency of direct support professionals.				
E. The organization treats its employees with dignity, respect and fairness.				

FACTOR EIGHT: Positive Services and Supports

Indicator	S	P	Supporting Information	Present Y/N
A. People's individual plans lead to person-centered and person-directed services and supports.				
B. The organization provides continuous and consistent services and supports for each person.				
C. The organization provides positive behavioral supports to people.				
D. The organization treats people with psychoactive medications for mental health needs consistent with national standards of care.				
E. People are free from unnecessary, intrusive interventions.				

FACTOR NINE: Continuity and Personal Security

Indicator	S	P	Supporting Information	Present Y/N
A. The organization's mission, vision and values promote attainment of personal outcomes.				
B. The organization implements sound fiscal practices.				
C. Business, administrative and support functions promote personal outcomes.				
D. The cumulative record of personal information promotes continuity of services.				



FACTOR TEN: Basic Assurances® System

Indicator	S	P	Supporting Information	Present Y/N
A. The organization monitors Basic Assurances®.				
B. A comprehensive plan describes the methods and procedures for monitoring Basic Assurances®.				

General Notes:



BASIC ASSURANCES® RESOURCES

Publications Set

CQL is pleased to offer a special package of the essential tools and practices you need for a person-centered approach to health and safety.

Basic Assurances® from ***Quality Measures 2005***® - details the essential, fundamental and non-negotiable requirements for all service and support providers and poses the question, “What are the important health, safety and human security issues for this person?”

The Place that Quality Built - provides a blend of an entertaining and engaging story and concrete tips and tools that could be used as templates for policies and practices within your organization. In the appendices, you will find the “Blueprint” and “Tools” checklists that can be used to shape the way your organization partners with the people you support.

All About Rights: A Guide to Supporting the Rights of People with Intellectual Disabilities - discusses CQL's approach to rights for people and the expectations for organization and individual action to support the exercise and protection of individual rights.

A Proactive Guide to Incident Management - intended as a guide for service providers in their quest to ensure that people are free from abuse, neglect, exploitation, and mistreatment.

To order your set of Basic Assurances® manuals, place your order online at www.c-q-l.org/publications or call 410.583.0060.