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Quality Measures 2005℠

Basic Assurances℠

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Self-Assessment Tool for Basic Assurances℠

Self-Assessment Tool for Basic Assurances^{SM}
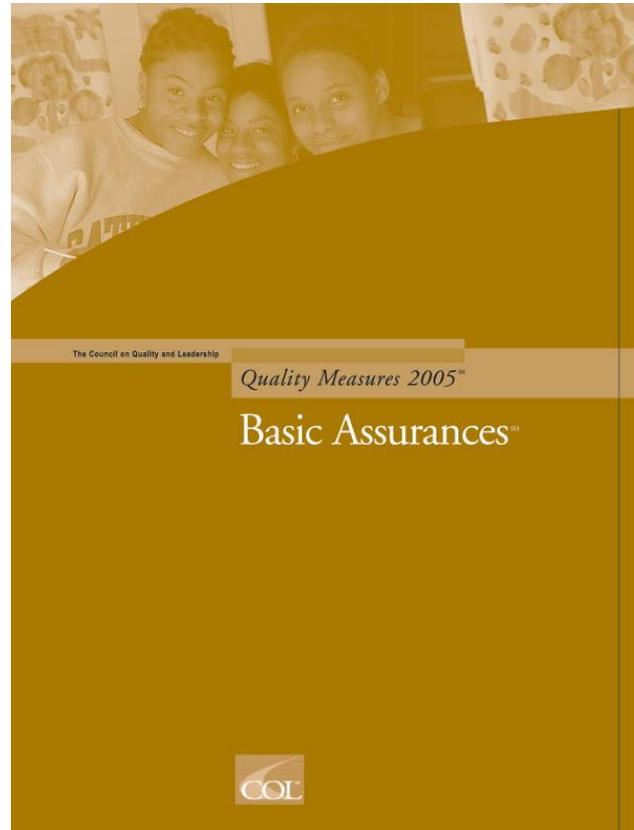
Each organization is encouraged to use the Basic Assurances^{SM} Self-Assessment as a method of evaluating its operations in the areas of health, safety and human security.

This section is divided into the ten Basic Assurances^{SM} factors:

Factor One: Rights Protection and Promotion
Factor Two: Dignity and Respect
Factor Three: Natural Support Networks
Factor Four: Protection from Abuse, Neglect, Mistreatment and Exploitation
Factor Five: Best Possible Health
Factor Six: Safe Environments
Factor Seven: Staff Resources and Supports
Factor Eight: Positive Services and Supports
Factor Nine: Continuity and Personal Security
Factor Ten: Basic Assurances^{SM} System

The organization focuses on measuring the presence of each indicator by first determining if the **system** is present, then identifying examples of **practice** that demonstrate the system's effectiveness.

Look at each **indicator** and, using the following criteria, determine if it is present or not present:

1. Is the system present? If no, the indicator is not present. If yes, continue.
2. Is organizational practice consistent with the system? If yes, the indicator is present.

'Systems' are those organizational supports that provide the structure for organizational practice. These can be policies and procedures, staff training, or other types of systems. The organizational **'practice'** is what is observed in daily operations. This demonstrates how an organization's supports are put into action. For example, the organization may *train* staff in how to treat people with dignity and respect ─ that is an example of a system. How people are *actually* treated by staff is the organization's practice.

Check the System and/or the Practice box if either or both are present.

Next to each probe, the organization is asked to identify supporting information that answers the question "What is the basis for your conclusion?" For example, for "People have privacy," the question to answer would be "How do you know this?" The supporting information could reference direct observations across all environments or other means of validating the rating.

At the end of each section, the organization has space to develop an action plan to address any concerns with the indicators. Each organization is encouraged to develop such a plan to ensure that necessary Basic Assurances[SM] are present.

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Factor *One*

Rights Protection and Promotion	Check if yes	Supporting Information
A. The organization implements policies and procedures that promote people's rights.	☐	
Probes:		
1. Does the policy define the organization's commitment to protect and promote people's rights?	☐	
2. Does the policy contain a listing of rights afforded all citizens as indicated by the United Nation's Declaration of Rights and by the constitution and laws of the country in which people reside?	☐	
3. Does the policy describe the organization's due process procedures?	☐	
4. Does the policy describe the organization's procedures for individual rights reviews and documentation?	☐	
5. Does the policy describe procedures for restricting a person's rights?	☐	
6. Does the policy prohibit use of a restrictive or intrusive medical or behavioral intervention without prior informed consent?	☐	
7. Does the policy prohibit standing policies and practices that restrict people's rights?	☐	

System ☐ **Practice** ☐

Factor One

Rights Protection and Promotion	Check if yes	Supporting Information
B. The organization supports people to exercise their rights and responsibilities.	☐	
Probes:		
1. Are people provided needed supports to exercise the rights that are important to them?	☐	
2. Are people provided supports only to the extent needed?	☐	
3. Are people supported to advocate for themselves?	☐	
4. Does the organization assess people's abilities to exercise their rights, especially those rights that are most important to them?	☐	
5. Does the assessment address people's civil and legal rights and personal freedoms? Examples include, but are not limited to the ability to do the following:	☐	
a. move freely	☐	
b. manage money	☐	
c. send and receive mail	☐	
d. make and receive telephone calls and use other means of communication	☐	

e. visit and be visited by whomever they choose	☐
f. access personal possessions	☐
g. vote	☐
6. Does the person-directed plan document assessment results, including supports needed to protect and promote the person's rights?	☐
7. Are the assessments of people's rights ongoing and reviewed at least annually?	☐
8. Does the organization share information about people only with their written, informed consent or that of their legally authorized representatives?	☐

System ☐	**Practice** ☐

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Factor One

Rights Protection and Promotion	Check if yes	Supporting Information
C. Staff recognize and honor people's rights.	☐	
Probes: 1. Are staff trained to recognize and respect people's rights?	☐	
2. Are staff trained to recognize and honor preferences in regard to how people choose to exercise their rights?	☐	
3. Are staff who complete assessments trained to honor people's goals and to support attainment of those goals in the best way possible?	☐	
4. Are staff trained in due process procedures?	☐	
5. Are staff trained in procedures for placing a limitation or restriction on a person's rights?	☐	
6. Do staff demonstrate respect for and honor people's rights?	☐	

System ☐   **Practice** ☐

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Factor One

Rights Protection and Promotion	Check if yes	Supporting Information
D. The organization upholds due process requirements.	☐	
Probes: 1. Does the organization have, or have access to, a working and effective Rights Committee?	☐	
2. Do the policies and procedures define Rights Committee membership, training, roles, responsibilities and procedures?	☐	
3. Does the Rights Committee oversee the use of restrictive or intrusive interventions that are part of a plan of behavioral or medical supports?	☐	
4. When restrictive or intrusive interventions are reviewed, is at least one-third of the Rights Committee membership present not affiliated with the organization?	☐	
5. 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 one person)?	☐	
6. Does the Rights Committee review all individual rights restrictions?	☐	
7. 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 make recommendations to the organization for promoting people's rights?	☐
8. Does the Rights Committee proactively promote and protect people's rights, such as direct interactions with people served to discuss issues surrounding rights and basic protections?	☐
9. Does the Rights Committee maintain a record of its activities and document issues reviewed, actions taken and requested follow-up?	☐
10. Are people supported to attend Rights Committee meetings and provide input?	☐
11. Does the Rights Committee review behavior support plans that include restrictive/intrusive procedures?	☐

System ☐ | **Practice** ☐

Factor One

Rights Protection and Promotion	Check if yes	Supporting Information
E. Decision-making supports are provided to people as needed.	☐	
Probes:		
1. Do people receive only the level of support needed to make their own decisions?	☐	
2. Does the organization assess the need for advocacy, guardianship and alternatives to guardianship?	☐	
3. Does the organization determine the scope of advocacy, guardianship and alternatives to guardianship needed for each person?	☐	
4. Does the person-directed plan document the need for and scope of advocacy, guardianship and alternatives to guardianship?	☐	
a. Is the plan then reviewed annually?	☐	
5. Is there a written plan to obtain advocacy, guardianship and alternatives to guardianship if those supports are needed?	☐	

System ☐ **Practice** ☐

Action Plan for Rights Protection and Promotion

Factor *Two*

Dignity and Respect	Check if yes	Supporting Information
A. People are treated as people first.	☐	
Probes:		
1. Are people called by their preferred names?	☐	
2. Do staff refrain from referring to people by their disabilities?	☐	
3. Are people extended the same common courtesies anyone would expect?	☐	
4. Do the organization's name, letterhead and internal and public communications promote a positive image of people, services and supports?	☐	
5. Are support staff trained to promote dignity and respect and to recognize each person as an individual?	☐	

System ☐	**Practice** ☐

Factor *Two*

Dignity and Respect	Check if yes	Supporting Information
B. The organization respects people's concerns and responds accordingly.	☐	
Probes: 1. Do people receive needed supports to report complaints, problems or concerns?	☐	
2. Are families and legally authorized representatives informed about, and do they understand, the organization's complaint process?	☐	
3. Do people receive a timely response to their complaints that is relevant and understandable?	☐	
4. Does the organization review and analyze complaint information at least annually?	☐	
5. Does the organization implement a system to determine people's satisfaction with their services and supports?	☐	
6. Does the organization use information about satisfaction to improve services and supports?	☐	
7. Does the organization routinely use a personal preference assessment to learn about people's opinions, preferences, likes, dislikes, wants and personal needs?	☐	
a. Does it respond to what it learns about the person, adjusting its supports as necessary?	☐	

| **System** ☐ | **Practice** ☐ |

Factor *Two*

Dignity and Respect	Check if yes	Supporting Information
C. People have privacy.	☐	
Probes: 1. Is personal information shared only with people's permission or that of their legally authorized representatives?	☐	
2. Do people have the space and opportunity to speak on the telephone, open and read mail and visit with others, privately?	☐	
3. Do people have a place and the opportunity to be by themselves during the day?	☐	
4. Do support staff demonstrate respect for people's privacy when providing needed supports for dressing and personal hygiene and when entering people's rooms?	☐	
5. Do visitors respect people's privacy?	☐	

System ☐	**Practice** ☐		

Factor Two

Dignity and Respect	Check if yes	Supporting Information
D. Supports and services enhance dignity and respect.	☐	
Probes: 1. Do people receive needed supports to ensure their personal cleanliness?	☐	
2. Do people wear clothing they prefer that is clean and fashionable and that fits properly?	☐	
3. Are people supported to choose their hairstyles, cosmetics, grooming and personal hygiene products?	☐	
4. Are supports provided only to the extent needed by the person?	☐	
5. Are people supported to decorate their homes as they choose and to maintain homes that are safe and sanitary?	☐	
6. Are transportation and other supports provided so people can access community services similar to those used by the community at large?	☐	

System ☐	**Practice** ☐

Factor *Two*

Dignity and Respect	Check if yes	Supporting Information
E. People have meaningful work and activity choices.	☐	
Probes: 1. Do personal preference assessments identify the kinds of work and recreational activities people want?	☐	
2. Do people receive the support needed to make choices about the kinds of work and activities they prefer?	☐	
3. Are services and supports focused on assisting people to achieve their goals and desires?	☐	
4. Are activity and work options available to people age appropriate and culturally normative?	☐	
a. Do these options promote a positive self-image?	☐	
5. Are people paid fairly for work they perform?	☐	
6. Are people supported to generate income to be used for needs and wants not covered by public assistance?	☐	

System ☐	**Practice** ☐

Action Plan for Dignity and Respect

Factor *Three*

Natural Support Networks	Check if yes	Supporting Information
A. Policies and practices facilitate continuity of natural support systems.	☐	
Probes: 1. Does the organization acknowledge the value of natural supports in people's lives in promoting identity, personal security and continuity?	☐	
2. Do the organization's policies and practices promote frequent and informal visits to families' and friends' homes?	☐	
3. Do the organization's policies and practices promote frequent and informal visits at people's homes?	☐	
4. Do the organization's policies describe the procedures for providing the supports needed to ensure people's health, safety and well-being during visits with family and friends?	☐	
5. Do policies describe, and practices reflect, how the organization promotes natural support networks to facilitate continuity in existing relationships and build new relationships?	☐	
6. Do policies describe, and practices reflect, how the organization assists people who may have lost contact with their support network?	☐	
7. Do policies describe, and practices reflect, how the organization assists people to access their natural supports?	☐	

8. Do staff receive training to support people's families and friends to communicate with them or otherwise keep in contact and maintain relationships?	☐	

System ☐ **Practice** ☐

Factor *Three*

Natural Support Networks	Check if yes	Supporting Information
B. The organization recognizes emerging support networks.	☐	
Probes: 1. Are existing and potential natural supports identified for each person?	☐	
2. Are people assisted to overcome barriers that prevent them from remaining connected to their natural supports?	☐	
3. Does the organization build the capacity for natural supports based on people's choices and preferences?	☐	
4. Does the organization use volunteers to build capacity for potential natural supports?	☐	
5. Does the organization use community resources, including local organizations, clubs, places of worship and schools, to build capacity for potential natural supports?	☐	
6. Does the organization pursue appointment of family members or close personal friends for people who need assistance with decision-making?	☐	

System ☐   **Practice** ☐

Factor *Three*

Natural Support Networks	Check if yes	Supporting Information
C. Communication occurs among people, their support staff and their families.	☐	
Probes: 1. Do people choose the extent and frequency of contact with their natural support networks?	☐	
2. Does the organization maintain names, addresses and phone numbers of family and friends who are important to people?	☐	
3. Are people provided the supports they need to remain connected to those important to them?	☐	
a. Are they supported to make phone calls, write letters, remember special days or maintain photo albums and pictures?	☐	
4. Are legally authorized representatives, and others identified by people to receive such information, notified promptly and compassionately of incidents involving the person?	☐	
5. Are inquiries from those in people's natural support networks responded to in a positive and timely manner?	☐	

System ☐   **Practice** ☐

Factor *Three*

Natural Support Networks	Check if yes	Supporting Information
D. The organization facilitates each person's desire for natural supports.	☐	
Probes: 1. Are people satisfied with the extent and frequency of contact with their support networks?	☐	
2. Are families and significant others actively involved in the planning process in accordance with people's desires?	☐	
3. Does the organization have a system for documenting people's involvement and contact with their support networks?	☐	
4. Can families and friends visit people at reasonable times without prior notice, unless the person expressly requests they not do so?	☐	
5. Do people have private space to visit with family and friends?	☐	
6. Does the organization involve families and others important to people when it develops and evaluates its policies, programs, services and supports?	☐	

System ☐	Practice ☐

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Action Plan **for Natural Support Networks**

Factor *Four*

Protection From Abuse, Neglect, Mistreatment and Exploitation	Check if yes	Supporting Information
A. The organization implements policies and procedures that define, prohibit and prevent abuse, neglect, mistreatment and exploitation.	☐	
Probes: 1. Are definitions of abuse, neglect, mistreatment and exploitation comprehensive and specific?	☐	
a. Do they comply with applicable requirements?	☐	
2. Does the policy expressly prohibit abuse, neglect, mistreatment and exploitation of people?	☐	
3. Do policies and procedures include screenings to prevent hiring people with a previous history of substantiated abuse or neglect?	☐	
4. Do policies and procedures include prevention strategies, identification strategies and staff training requirements?	☐	
5. Are responsibilities and procedures for reporting allegations of abuse and neglect defined?	☐	
6. Are procedures for protecting people from potential further abuse, neglect, mistreatment or exploitation defined?	☐	
7. Does the organization define procedures for investigating possible abuse and neglect?	☐	

a. Does it also define how it will respond to the results of the inquiry?	☐	

System ☐   **Practice** ☐

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Factor Four

Protection From Abuse, Neglect, Mistreatment and Exploitation	Check if yes	Supporting Information
B. People are free from abuse, neglect, mistreatment and exploitation.	☐	
Probes: 1. Are people provided understandable information about their rights to be free from abuse, neglect, mistreatment and exploitation?	☐	
2. Are people supported to report allegations of abuse, neglect, mistreatment and exploitation?	☐	
3. Is there a complaint process that is understandable and easy to use?	☐	
4. Are the same reporting and investigating procedures used for allegations made by employees or others, followed for allegations reported by people supported by the organization?	☐	
5. Do people who cause injury or harm to themselves or others receive supports to replace those behaviors?	☐	
6. When people have been subjected to abuse, neglect, mistreatment or exploitation, are they afforded supports to address the effects of the abuse even if the abuse occurred before they entered into the organization's system of services?	☐	
7. When people have been subjected to abuse, neglect, mistreatment or exploitation, are they afforded supports to address the effects of the abuse even if the perpetrator is another person who receives supports from the organization, regardless	☐	

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of the legal definition of abuse? 8. Do people who have been subjected to abuse, neglect, mistreatment or exploitation receive full supports to mitigate the effects?	☐	

System ☐ **Practice** ☐

_{Factor} *Four*

Protection From Abuse, Neglect, Mistreatment and Exploitation	Check if yes	Supporting Information
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.	☐	
Probes: 1. Are there policies and procedures that define the Incident Management system used to protect people from abuse, neglect, mistreatment and exploitation?	☐	
2. Is the Incident Management system used to identify patterns or isolated incidents that may be indicative of abuse, neglect, mistreatment or exploitation?	☐	
a. Identify situations that may precipitate abuse or neglect?	☐	
b. Determine what corrective actions or other interventions are needed?	☐	
3. Is there an Incident Management system for maintaining data on reports of allegations of abuse, neglect, mistreatment or exploitation that enables evaluation of both individual and organizational outcomes?	☐	
4. Is there an Incident Management system for maintaining data on injuries, of known and unknown origin, that enables evaluation of both individual and organizational outcomes?	☐	
5. Is there an Incident Management system for morbidity and mortality review that enables evaluation of both individual and	☐	

organizational outcomes? 6. Is there an Incident Management system for review of intrusive and restrictive interventions that enables evaluation of both individual and organizational outcomes?	☐	

System ☐   **Practice** ☐

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Factor $Four$

Protection From Abuse, Neglect, Mistreatment and Exploitation	Check if yes	Supporting Information
D. Support staff know how to prevent, detect and report allegations of abuse, neglect, mistreatment and exploitation.	☐	
Probes: 1. Do staff receive orientation on what constitutes abuse, neglect, mistreatment and exploitation?	☐	
a. On prevention, detection and reporting requirements?	☐	
2. Before providing supports to people, do staff demonstrate competency in defining abuse, neglect, mistreatment and exploitation, and on reporting procedures?	☐	
3. Does ongoing training in prevention, detection and reporting occur frequently enough to support both personal and organizational outcomes?	☐	
4. Does training on specific supports, services, policies, procedures and/or person-directed plans occur when support staff competency is identified as a (potential) causal factor?	☐	
5. Does the organization evaluate potential underreporting and screening of allegations of abuse, neglect, mistreatment and exploitation, and provide additional competency-based training as needed?	☐	

System ☐	**Practice** ☐

Factor *Four*

Protection From Abuse, Neglect, Mistreatment and Exploitation	Check if yes	Supporting Information
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.	☐	
Probes: 1. Is there an effective process for determining who will investigate an allegation or an injury?	☐	
2. Is there a procedure that details the conduct of the investigation of allegations and injuries?	☐	
3. Do people who are identified as responsible for investigations receive competency-based initial and refresher training on how to conduct investigations?	☐	
4. Are investigations completed within five working days?	☐	
a. If not, is a status report filed as to why not?	☐	
5. Are people immediately protected from further potential abuse, neglect, mistreatment or exploitation during the course of the investigation?	☐	

System ☐   **Practice** ☐

Factor *Four*

Protection From Abuse, Neglect, Mistreatment and Exploitation	Check if yes	Supporting Information
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.	☐	
Probes: 1. Does the procedure for responding to substantiated allegations include a time frame that does not exceed ten working days?	☐	
2. Does the procedure require that the scope, severity and circumstances surrounding a substantiated case be thoroughly considered as the response is developed?	☐	
3. Do the actions taken in response to a substantiated case or for other relevant observations (possibly termination of employment) reduce the likelihood of reoccurrence of a similar incident?	☐	
4. Are responses documented, and data available to validate, that planned actions have been implemented?	☐	
5. Does the organization share the results of investigations and its responses with the people entitled to receive that information?	☐	

System ☐   **Practice** ☐

Action Plan for Protection From Abuse, Neglect, Mistreatment and Exploitation

Factor *Five*

Best Possible Health	Check if yes	Supporting Information
A. People have supports to manage their own health care.	☐	
Probes: 1. Do people choose their own health care providers?	☐	
2. Do people make and keep their own health care appointments and records?	☐	
3. Are people provided understandable information about their health, their medications and their treatments, including the purpose, intended outcomes, side effects or other risks and alternatives?	☐	
a. Are they then supported in making choices regarding their medical care?	☐	
4. Do people understand their medical and medication histories?	☐	
5. Are the person's preferences and ability to self-administer medications and treatments assessed at least annually?	☐	
6. Are people provided the level of support necessary to ensure that they take medications and complete treatments according to prescribed orders?	☐	
7. Do people self-administer medications, with support as necessary?	☐	
8. Do people know how to access medical emergency services?	☐	

9. Do people have therapeutic and adaptive equipment, as needed, that fits them and is in good repair?	☐	

System ☐ | **Practice** ☐

Factor *Five*

Best Possible Health	Check if yes	Supporting Information
B. People access quality health care.	☐	
Probes: 1. Are the frequency and type of health care evaluations and screenings defined in policy?	☐	
a. Do they meet applicable requirements?	☐	
b. Are they consistent with the standard of care for prevention, early detection and treatment?	☐	
2. Are there standardized protocols for regularly required evaluations and screenings?	☐	
3. Do people receive medical evaluations according to a protocol consistent with accepted medical practice?	☐	
4. Do people have current and relevant specialized health care assessments for seizure disorders; orthopedic or neuromuscular disorders; eating disorders, including dysphasia, gastroenterological disorders, and other nutrition concerns; psychiatric disorders; or any other health condition that typically requires evaluation by a licensed health care provider?	☐	
5. Do people routinely receive comprehensive physical examinations?	☐	

System ☐	**Practice** ☐

Factor Five

Best Possible Health	Check if yes	Supporting Information
C. Data and documentation support evaluation of health care objectives and promote continuity of services and supports.	☐	
Probes: 1. Are current and relevant health care evaluations and screenings documented in people's records?	☐	
2. Do people's person-directed plans document the results of health care evaluations and screenings, including recommendations?	☐	
3. Do people's person-directed plans include a description of health care support needed?	☐	
4. Does documentation show that needed health care supports are consistently provided?	☐	
5. Does documentation show that health care supports are reviewed routinely by a person qualified to do so and at least annually by the team?	☐	
6. Is there evidence to support that data are used to assess effectiveness and progress towards achieving health care goals?	☐	

System ☐   **Practice** ☐

Factor *Five*

Best Possible Health	Check if yes	Supporting Information
D. Acute health needs are addressed in a timely manner.	☐	
Probes: 1. Do support staff recognize and promptly report physical or behavioral changes, complaints of illness, accidents and injuries, and other signs and symptoms of illness?	☐	
2. Does the organization have a process for ensuring acute health changes are assessed by a qualified health care practitioner in a timely manner?	☐	
3. Are supportive diagnostic studies, when indicated, obtained and acted upon in a timely manner?	☐	
4. Are standing orders used only after a full nursing assessment that includes clear parameters for when to contact people's primary physicians?	☐	
5. Do people's health care support staff recognize the need for timely transfer to a higher level of care?	☐	
6. Does the system for ongoing communication between people's health care support staff, and outside health care staff, promote continuity of care?	☐	
7. Do people's records document hospital summaries that include the discharge diagnosis, current health status, necessary follow-up instructions, and any restrictions or limitations?	☐	

8. Do records document acute health changes to provide a clear picture of the course of the illness or injury, the treatment provided, and the person's current status from the time of identification through resolution?	☐	
9. Are people's person-directed plans, including health care supports, modified in a timely manner based upon acute health changes?	☐	

System ☐   **Practice** ☐

Factor *Five*

Best Possible Health	Check if yes	Supporting Information
E. People receive medications and treatments safely and effectively.	☐	
Probes: 1. Are medications and treatments prescribed in accordance with applicable laws and regulations and related directly to outcomes identified in people's person-directed plans?	☐	
2. Are people and direct support staff informed and educated about anticipated outcomes and potential side effects of medications and treatments?	☐	
3. Are medications and treatments reviewed at specified intervals and renewed based on an evaluation of people's responses and stated outcomes?	☐	
4. Are medications and treatments administered in accordance with all applicable law and recorded at the time of administration only by persons authorized to do so?	☐	
5. Unless otherwise included in people's self-administration procedures, are medications, including non-prescription drugs, stored securely and in any other way required by law?	☐	
6. Are medication errors, adverse reactions and drug side effects promptly reported and responded to in accordance with the organization's policy and procedures? Is this information documented in people's records?	☐	

System ☐	Practice ☐

Factor *Five*

Best Possible Health	Check if yes	Supporting Information
F. Staff immediately recognize and respond to medical emergencies.	☐	
Probes: 1. Does the organization implement policies and procedures that ensure a rapid and effective response to people experiencing medical emergencies?	☐	
2. Do direct support staff receive competency-based training to recognize and respond to people experiencing medical emergencies?	☐	
3. Is emergency medical equipment needed to respond to a potential emergency available, well maintained, clean and functional?	☐	
4. Is emergency medication required by people available in the appropriate dose, quantity and form?	☐	
5. Are medical emergency responses implemented effectively and decisively?	☐	
a. Do they consistently follow established policies and procedures?	☐	
6. Do all staff in direct contact with people receiving support have a minimum of First Aid, CPR and general medication training, including how to recognize harmful side effects?	☐	

System ☐	Practice ☐

Action Plan for Best Possible Health

Factor Six

Safe Environments	Check if yes	Supporting Information
A. The organization provides individualized safety supports.	☐	
Probes: 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?	☐	
a. The ability to adjust hot water, evacuate in the event of fire or severe weather, call for help and use cleaning supplies?	☐	
b. 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?	☐	

System ☐   **Practice** ☐

Factor Six

Safe Environments	Check if yes	Supporting Information
B. The physical environment promotes people's health, safety and independence.	☐	
Probes: 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?	☐	

System ☐   **Practice** ☐

Factor Six

Safe Environments	Check if yes	Supporting Information
C. The organization has individualized emergency plans.	☐	
Probes: 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?	☐	
a. Are safety drills conducted based on an assessment of type, frequency and level of support needed in order to ensure staff competency and to evaluate the need for plan modifications (recommended at least quarterly and to include "deep sleep" drills)?	☐	
4. Are data from safety drills reviewed and plans for follow-up implemented?	☐	
5. Are emergency numbers readily available?	☐	

System ☐   **Practice** ☐

Factor Six

Safe Environments	Check if yes	Supporting Information
D. Routine inspections ensure that environments are sanitary and hazard free.	☐	
Probes: 1. Does the organization maintain records and reports of corrective actions taken?	☐	
a. 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?	☐	

System ☐	**Practice** ☐	

Action Plan for Safe Environments

Factor Seven

Staff Resources and Supports	Check if yes	Supporting Information
A. The organization implements a system for staff recruitment and retention.	☐	
Probes: 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?	☐	

System ☐	Practice ☐

Factor *Seven*

Staff Resources and Supports	Check if yes	Supporting Information
B. The organization implements an ongoing staff development program.	☐	
Probes: 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?	☐	
a. Does it include mentoring, on the job support and personal development planning?	☐	

System ☐	Practice ☐

Factor *Seven*

Staff Resources and Supports	Check if yes	Supporting Information
C. The support needs of individuals shape the hiring, training and assignment of all staff.	☐	
Probes: 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?	☐	

System ☐   **Practice** ☐

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Factor Seven

Staff Resources and Supports	Check if yes	Supporting Information
D. The organization implements systems that promote continuity and consistency of direct support professionals.	☐	
Probes: 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 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?	☐	

System ☐	Practice ☐

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Factor Seven

Staff Resources and Supports	Check if yes	Supporting Information
E. The organization treats its employees with dignity, respect and fairness.	☐	
Probes: 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?	☐	
a. 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?	☐	

System ☐	**Practice** ☐

Action Plan **for Staff Resources and Supports**

Factor *Eight*

Positive Services and Supports	Check if yes	Supporting Information
A. People's individual plans lead to person-centered and person-directed services and supports.	☐	
Probes: 1. Do people realize personal goals?	☐	
2. Do people have person-directed plans that they develop with individual support teams?	☐	
3. Do people direct the development of the plans, or are they supported to do so?	☐	
4. Do person-directed plans incorporate the results of assessments, evaluations and screenings required by the organization and by the person based on individual strengths and needs?	☐	
5. Do assessments, evaluations and screenings focus on the skills and supports present, those preferred and desired by the person, and those needed to realize personal goals?	☐	
6. Do person-directed plans include goals, action steps designed to achieve those goals, and methods to achieve the objectives?	☐	
7. Do people choose their goals and services, including where they work and where and with whom they live?	☐	
8. Are person-directed plans reviewed at least monthly by the individual plan coordinator and at least annually by the team?	☐	

9. Are person-directed plans modified by people with their individual support teams as goals and objectives are or are not realized?	☐	

System ☐	**Practice** ☐

Factor *Eight*

Positive Services and Supports	Check if yes	Supporting Information
B. The organization provides continuous and consistent services and supports for each person.	☐	
Probes:		
1. Do staff receive training in skills and abilities needed to implement people's plans?	☐	
2. Do staff document that they have provided services and supports in accordance with the person-directed plan and the organization's policies and procedures?	☐	
3. Are people's preferences reflected in daily routines?	☐	
4. Do daily routines include when, where and how needed services and supports are provided?	☐	
5. Does the organization have a system to respond to changes in daily routines, whether the changes occur due to people's requests or to other reasons?	☐	
6. Does the organization have a system for ensuring important events that impact people are effectively communicated between assigned staff, among team members, across different environments and to others important to the person?	☐	
7. Does the organization have a system to monitor implementation of person-directed plans?	☐	
a. Does it include direct observation of services and supports as well as assessment of the reliability of data used to evaluate people's progress?	☐	

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System ☐	**Practice** ☐

Factor *Eight*

Positive Services and Supports	Check if yes	Supporting Information
C. The organization provides positive behavioral supports to people.	☐	
Probes: 1. Do the policies and procedures reflect the organization's commitment to positive behavioral approaches?	☐	
a. Does the document outline the specific behavioral supports that may and may not be used?	☐	
2. Are behavior supports developed by a qualified professional and/or someone who knows the person well?	☐	
a. Are they based on an assessment of the function of the behavior, including the communicative intent of behavior?	☐	
3. Are formal behavior support plans implemented only after the team has ruled out physical and environmental issues contributing to a person's behavior?	☐	
4. Do behavior support plans include teaching alternative communication strategies?	☐	
5. Do only support staff with prior training and demonstrated competency provide the behavioral supports people need?	☐	
6. Does the organization implement policies and procedures that ensure a rapid, effective and appropriate response to behavioral emergencies?	☐	

System ☐	**Practice** ☐

Factor *Eight*

Positive Services and Supports	Check if yes	Supporting Information
D. The organization treats people with psychoactive medications for mental health needs consistent with national standards of care.	☐	
Probes: 1. Is the use of psychoactive medication based on specific psychiatric diagnoses?	☐	
2. Does a psychiatric diagnosis result from a thorough psychiatric evaluation by a qualified professional that includes the person's symptoms and their relationship to the diagnosis, and through the use of standardized psychopathology screening tools?	☐	
3. Does the medication prescribed correspond to known standards for effectiveness related to the specific diagnosis, symptom or behavior?	☐	
4. Are people monitored for drug side effects on a regular, systematic basis using a standardized tool or other accepted standard of care?	☐	
5. Do people receive the fewest psychoactive medications possible, at the lowest effective dosage possible?	☐	
6. Does the organization have a system to ensure regular review of the effectiveness of psychoactive medications by a licensed health care provider at intervals that meet all applicable laws and regulations and that is consistent with the national standard of care?	☐	

| System ☐ | Practice ☐ |

Factor *Eight*

Positive Services and Supports	Check if yes	Supporting Information
E. People are free from unnecessary, intrusive interventions.	☐	
Probes: 1. Do people receive only the amount of behavioral and medical support necessary to prevent harm to themselves or others?	☐	
2. Is there clear evidence that less restrictive/intrusive procedures have been tried and not been effective?	☐	
a. Is it also clear that the severity of the behavior justifies incorporating highly restrictive/intrusive procedures into the behavior support plan C procedures including, but not limited to, physical restraint, psychoactive medication, and/or time out rooms?	☐	
3. Does the organization have an effective procedure for reviewing technical aspects of intrusive or restrictive procedures prior to implementation?	☐	
4. Does the organization's Rights Committee review and approve any highly restrictive/intrusive procedures incorporated into a behavior support plan before implementation?	☐	
5. Are behavior intervention plans that include highly intrusive procedures or other restrictive techniques implemented only with the prior written, informed consent of the person or the person's legally authorized representative?	☐	
6. Are emergency or unplanned behavior interventions that are highly intrusive not used more than three times in a six-month	☐	

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period without a team meeting to determine needed changes in the person's plan?		
7. Are restraint devices and other restraint procedures applied only by staff with demonstrated competency for the device or procedure used?	☐	
8. Do the organization's restraint policies and procedures detail how people are safeguarded?	☐	
a. Do they prohibit prone restraint and standing orders for restraint?	☐	
9. Do the organization's restraint policies and procedures comply with all applicable laws, rules and regulations?	☐	
10. Is the use of psychoactive medications for behavior support recognized as a chemical restraint and considered highly intrusive/restrictive?	☐	
11. Do behavioral-psychopharmacologic hypotheses result from a functional analysis of behaviors, including a thorough investigation of the communicative intent of the behavior?	☐	
a. Are these hypotheses developed by the team?	☐	
12. Do behavior support plans integrate psychopharmacologic and behavioral supports?	☐	
a. Do the plans include defined behaviors and symptoms and identify the data to be collected pertaining to them?	☐	
13. Does the organization regularly and systematically monitor people for adverse effects of all intrusive/restrictive procedures, including drug side effects, using a standardized tool or other	☐	

accepted standard of care? 14. Does the organization ensure that people are not subjected to highly intrusive behavior interventions or punishment for the convenience of staff, or in lieu of a behavior support plan? 15. Does the organization prohibit the use of corporal punishment, seclusion, noxious or aversive stimuli, forced exercise, PRN orders for psychoactive medications, and denial of food or liquids that are part of a person's nutritionally adequate diet?	☐ ☐

System ☐ **Practice** ☐

Action Plan **for Positive Services and Supports**

Factor *Nine*

Continuity and Personal Security	Check if yes	Supporting Information
A. The organization's mission, vision and values promote attainment of personal outcomes.	☐	
Probes: 1. Does the organization have a vision, mission and belief statement that promotes attainment of personal outcomes?	☐	
2. Do the organization's policies and procedures promote attainment of personal outcomes?	☐	
3. Does the daily operation of the organization promote attainment of personal outcomes?	☐	
4. Does service and support coordination within the organization, and between the organization and other service entities and the community, promote attainment of personal outcomes?	☐	
5. Do people supported by the organization participate in the development of the organization's philosophy, vision, mission, beliefs, policies and procedures, and daily routines?	☐	

System ☐   **Practice** ☐

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Factor *Nine*

Continuity and Personal Security	Check if yes	Supporting Information
B. The organization implements sound fiscal practices.	☐	
Probes: 1. Does the organization have a budgeting and accounting system to determine costs associated with providing needed services and supports?	☐	
2. Does the organization use financial reports for planning and implementing strategies that promote personal outcomes?	☐	
3. Does the organization undergo an annual financial audit by an independent certified accounting firm?	☐	
4. Does the organization correct material findings identified as the result of the annual financial audit?	☐	
5. Does the organization have clear, understandable policies and procedures to assist people with managing their money?	☐	

System ☐   **Practice** ☐

Factor Nine

Continuity and Personal Security	Check if yes	Supporting Information
C. Business, administrative and support functions promote personal outcomes.	☐	
Probes: 1. Are supplies needed for daily living activities, and materials needed to implement people's person-directed plans, available?	☐	
2. Is food available that is nutritious and meets each person's dietary needs and preferences?	☐	
3. Is furniture and other equipment available to provide needed services and supports?	☐	
4. Are specialized supports, including adaptive, therapeutic, corrective, prosthetic, orthotic and mobility devices, 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?	☐	
7. Does the table of organization clearly identify its operational elements and programs and the administrative personnel in charge of each?	☐	
8. Is the organization licensed, certified or approved as required by law or other regulations?	☐	

9. 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?	☐
10. Does the organization have a supervisory structure that promotes continuity and consistency of needed services and supports?	☐
11. Does the organization implement communication strategies that promote continuity and consistency of services and supports, including communication between support staff and with people?	☐

System ☐	**Practice** ☐		

Factor Nine

Continuity and Personal Security	Check if yes	Supporting Information
D. The cumulative record of personal information promotes continuity of services.	☐	
Probes: 1. Is personal information written so as to promote continuity and consistency of services and supports?	☐	
2. Does the organization maintain a cumulative record of information and documentation of services and supports needed by and provided to people?	☐	
a. Does this record include people's responses to those services and supports?	☐	
3. Does the organization work with people to ensure that records are arranged so access to current and historical personal information is easier?	☐	
4. Does the organization have a system to ensure personal information contained in the record is complete, accurate, clear and legible?	☐	
5. 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?	☐	
6. Do people decide when to share personal information?	☐	

System ☐	Practice ☐

Action Plan for Continuity and Personal Security

Factor Ten

Basic Assurances[SM] System	Check if yes	Supporting Information
A. The organization monitors Basic Assurances[SM].	☐	
Probes: 1. Does the organization have policies and procedures that describe its plan for monitoring the presence of Basic Assurances[SM]?	☐	
2. Does the policy identify leaders responsible for overseeing the design of the plan and assigning priorities for monitoring the presence of Basic Assurances[SM]?	☐	
3. Does the policy establish the responsibilities of leaders and the structure for leaders to oversee implementation of the plan?	☐	
4. Does the policy describe the organization's commitment to attain and maintain the presence of Basic Assurances[SM] outcomes over time?	☐	
5. Does the policy emphasize personal and organizational outcomes rather than individual staff performance?	☐	
6. Does the policy emphasize a continuous improvement and learning process rather than a system that responds only to identified problems?	☐	
7. Does the process include methods to inform and educate people, their families and support staff about Basic Assurances[SM] and to solicit their involvement in the evaluation process?	☐	

8. Do people, families and support staff actively participate in collecting and analyzing data used to evaluate Basic Assurances^{SM}?	☐
9. Does the organization have a process for sharing the results of the plan with people, families, staff and others external to the organization?	☐
10. Is the plan modified with the input of people, families and support staff?	☐
11. Are Basic Assurances^{SM} evaluated at least annually for each person?	☐
12. Are aggregate data on the presence of Basic Assurances^{SM} evaluated at least annually?	☐
13. Does the analysis of Basic Assurances^{SM} show substantive improvement that is maintained over time?	☐
14. Are the data collected to evaluate the presence of Basic Assurances^{SM} reliable?	☐
15. Are Basic Assurances^{SM} present during all external audits, reviews, monitoring and/or surveys?	☐

System ☐ **Practice** ☐

Factor Ten

Basic Assurances^{SM} System	Check if yes	Supporting Information
B. A comprehensive plan describes the methods and procedures for monitoring Basic Assurances^{SM}. *Probes:* 1. Are the key functions and activities of the organization that relate to Basic Assurances^{SM} identified?	☐ ☐	
2. Does the plan identify the most important element(s) of each Basic Assurances^{SM} function and activity?	☐	
3. Are measures identified that indicate the presence or absence of important elements?	☐	
4. Are the data sources and methods of collection identified for each measure?	☐	
5. Are the methods of data analysis and evaluation identified for each of the elements?	☐	
6. Are people responsible for implementing the plan identified, including those responsible for collecting, organizing and evaluating data?	☐	
7. Do the methods used enable the analysis of both a single critical event or incident (sentinel review) and system outcomes?	☐	
8. Does the plan describe how to use feedback from other sources including satisfaction surveys, complaints, audits and/or other applicable regulatory reviews?	☐	

9. Does the plan include priorities, goals and objectives to ensure the presence of Basic Assurances^{SM} are integrated into the organization's annual plan?	☐	
10. Is the plan coordinated and interrelated across the organization's various programs and departments around the flow of services and supports provided people?	☐	

System ☐   **Practice** ☐

Action Plan **for Basic Assurances^{SM} System**