

DE-MYSTIFYING FACTOR 10: USING APPLIED ANALYSIS IN ORGANIZATIONAL QUALITY MONITORING AND ENHANCEMENT



DREW SMITH

CQL | *Director of Research and Data*

dsmith@thecouncil.org

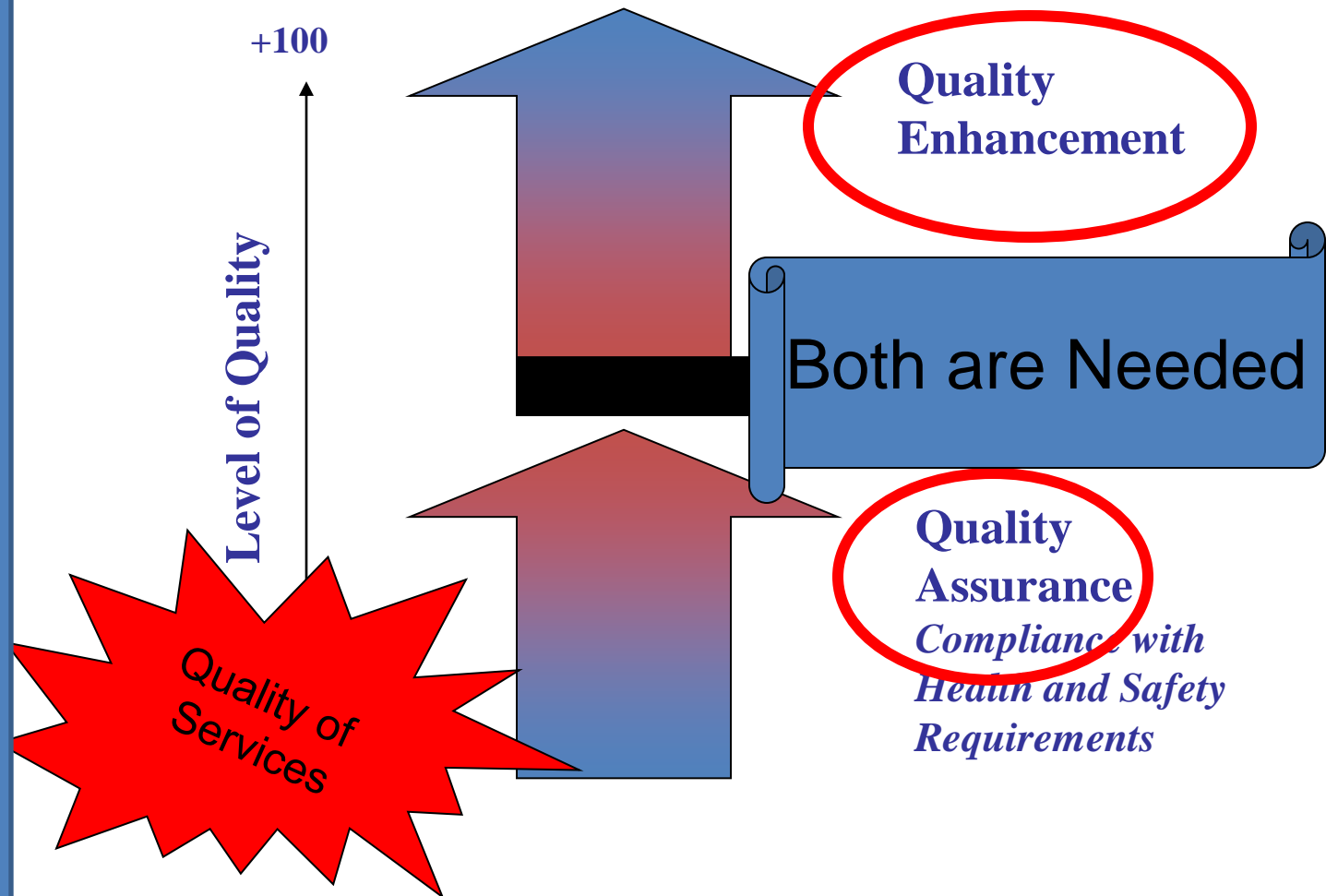
Basic Assurances - Factor 10

TOPICS

- **Overview of Basic Assurances Factor 10**
 - What is the intent?
 - What does it call for?
- **Reviewing CQL's National Data**
 - Identifying areas of interest
 - Looking at trends
- **How to Develop a Quality Monitoring Plan**
 - Key components
 - Data types
 - CQL's POM Data System
 - Records tracking (i.e. Therap or other health systems)
- **Reviewing Examples of Factor 10**
- **Questions**



All Efforts For Quality Are Not Equal



10a: The organization monitors Basic Assurances

10b: A comprehensive plan describes the methods and procedures for monitoring Basic Assurances



BASIC ASSURANCES - FACTOR 10

The 3 Critical Questions (and Answers)



How Do We Get
Better?

How do You Know
You Have It?

How is Quality
Defined?

BASIC ASSURANCES - FACTOR 10

What does it call for?



➤ *Realign Key Organizational Resources*



➤ *Use Data In Multiple Ways*



➤ *Focus on Personal Outcomes*

Leverage Strengths For Sustainability

BASIC ASSURANCES - FACTOR 10

What makes for strong systems

The organization must maintain and evaluate its system to ensure Basic Assurances®

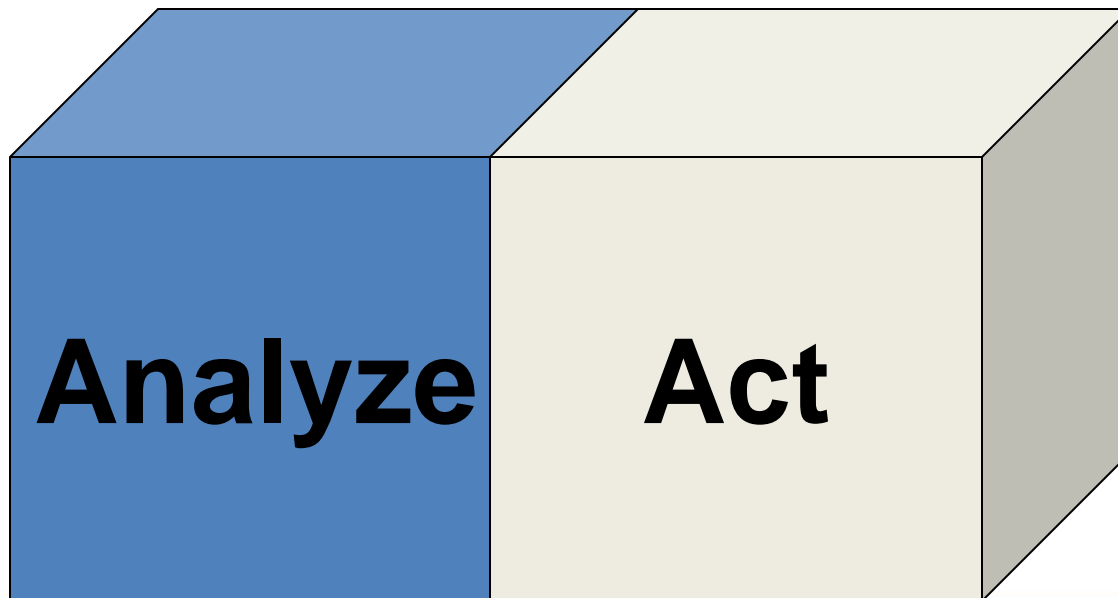
Basic Assurances® are the foundation for a strong integrated quality management system.



BASIC ASSURANCES - FACTOR 10

Evaluation

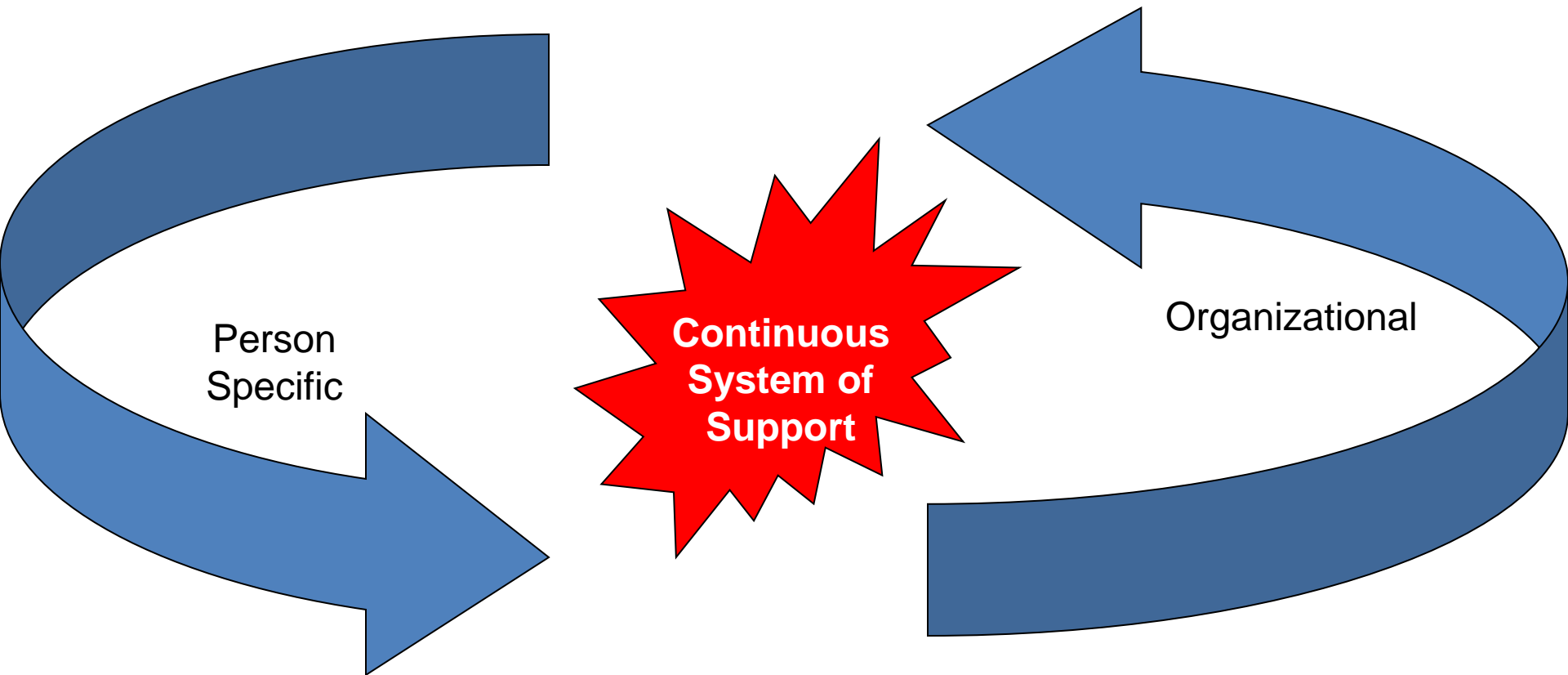
An organization can't simply collect data....it must



BASIC ASSURANCES - FACTOR 10

Looking Closer

- Basic Assurances® monitoring must focus on two systems:



10a	THE ORGANIZATION MONITORS BASIC ASSURANCES®.
10a1	Does the organization have policies and procedures that describe its plan for monitoring the presence of Basic Assurances®?
10a2	Does the policy identify leaders responsible for overseeing the design of the plan and assigning priorities for monitoring the presence of Basic Assurances®?
10a3	Does the policy establish the responsibilities of leaders and the structure for leaders to oversee implementation of the plan?
10a4	Does the policy describe the organization's commitment to attain and maintain the presence of Basic Assurances® outcomes over time?
10a5	Does the policy emphasize personal and organizational outcomes rather than individual staff performance?
10a6	Does the policy emphasize a continuous improvement and learning process rather than a system that responds only to identified problems?
10a7	Does the process include methods to inform and educate people, their families and support staff about Basic Assurances® and to solicit their involvement in the evaluation process?
10a8	Do people, families and support staff actively participate in collecting and analyzing data used to evaluate Basic Assurances®?
10a9	Does the organization have a process for sharing the results of the plan with people, families, staff and others external to the organization?

FACTOR 10 Basic Assurances® System	
10b	A COMPREHENSIVE PLAN DESCRIBES THE METHODS AND PROCEDURES FOR MONITORING BASIC ASSURANCES®.
10b1	Are the key functions and activities of the organization that relate to Basic Assurances® identified?
10b2	Does the plan identify the most important element(s) of each Basic Assurances® function and activity?
10b3	Are measures identified that indicate the presence or absence of important elements?
10b4	Are the data sources and methods of collection identified for each measure?
10b5	Are the methods of data analysis and evaluation identified for each of the elements?
10b6	Are people responsible for implementing the plan identified, including those responsible for collecting, organizing and evaluating data?
10b7	Do the methods used enable the analysis of both a single critical event or incident (sentinel review) and system outcomes?
10b8	Does the plan describe how to use feedback from other sources including satisfaction surveys, complaints, audits and/or other applicable regulatory reviews?
10b9	Does the plan include priorities, goals and objectives to ensure the presence of Basic Assurances® are integrated into the organization's annual plan?
10b10	Is the plan coordinated and interrelated across the organization's various programs and

BASIC ASSURANCES - FACTOR 10

PUTTING THE PIECES TOGETHER: FACTOR 10

Ultimate goal:

Turn Data Into Information

Information Into Action

Action Into Enhanced Services



Basic Assurances - Factor 10

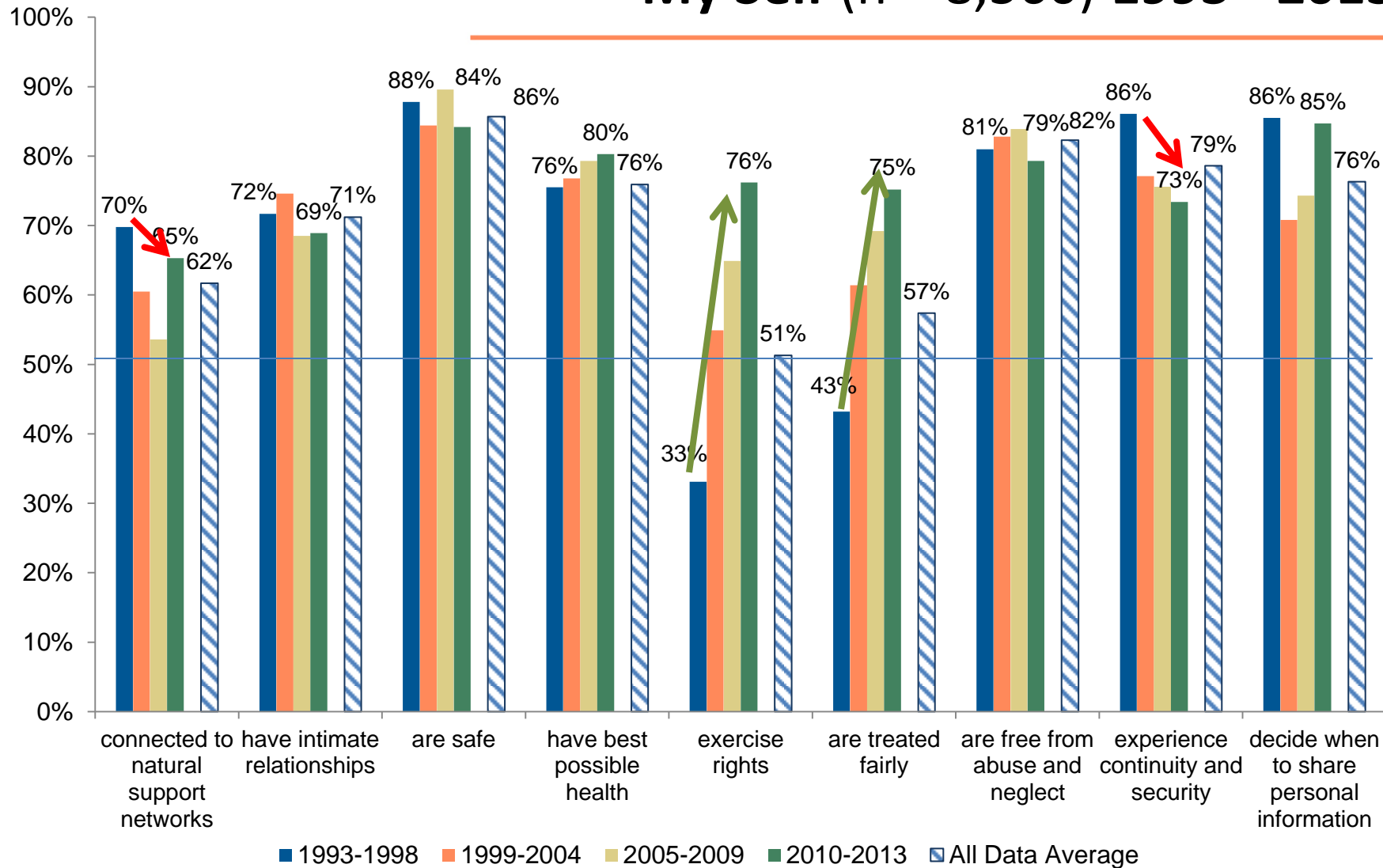
LOOKING AT THE POM DATA

Overview of CQL Data Collection

- All POM data presented comes from:
 - CQL Certified Interviewers
 - CQL Staff
- Records are not necessarily the same people from year-to-year
- Data used to show trends in services
- More finite research can be conducted at the individual, provider and/or state by state level

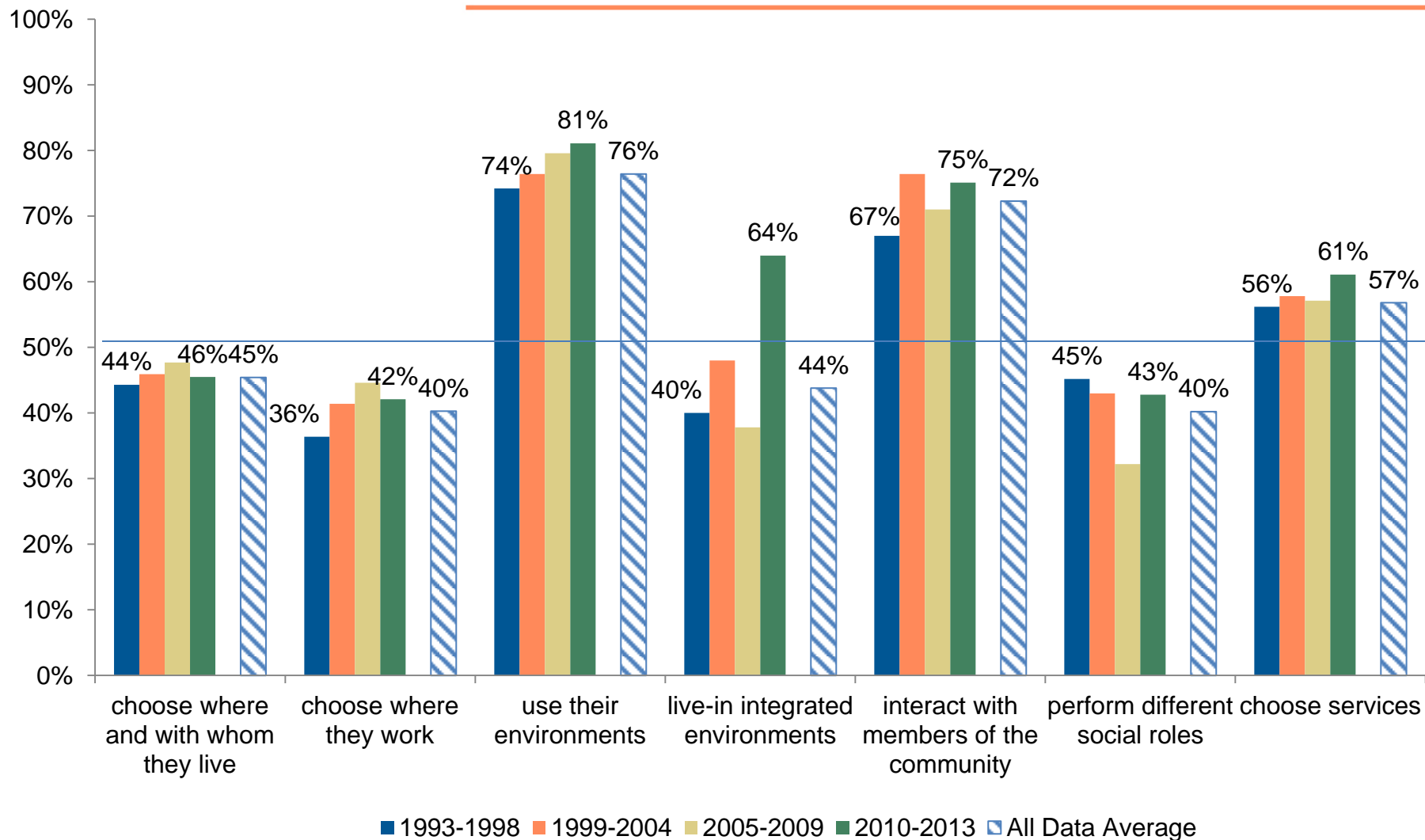
MEASURING OUTCOMES

My Self (n = 8,560) 1993 - 2013



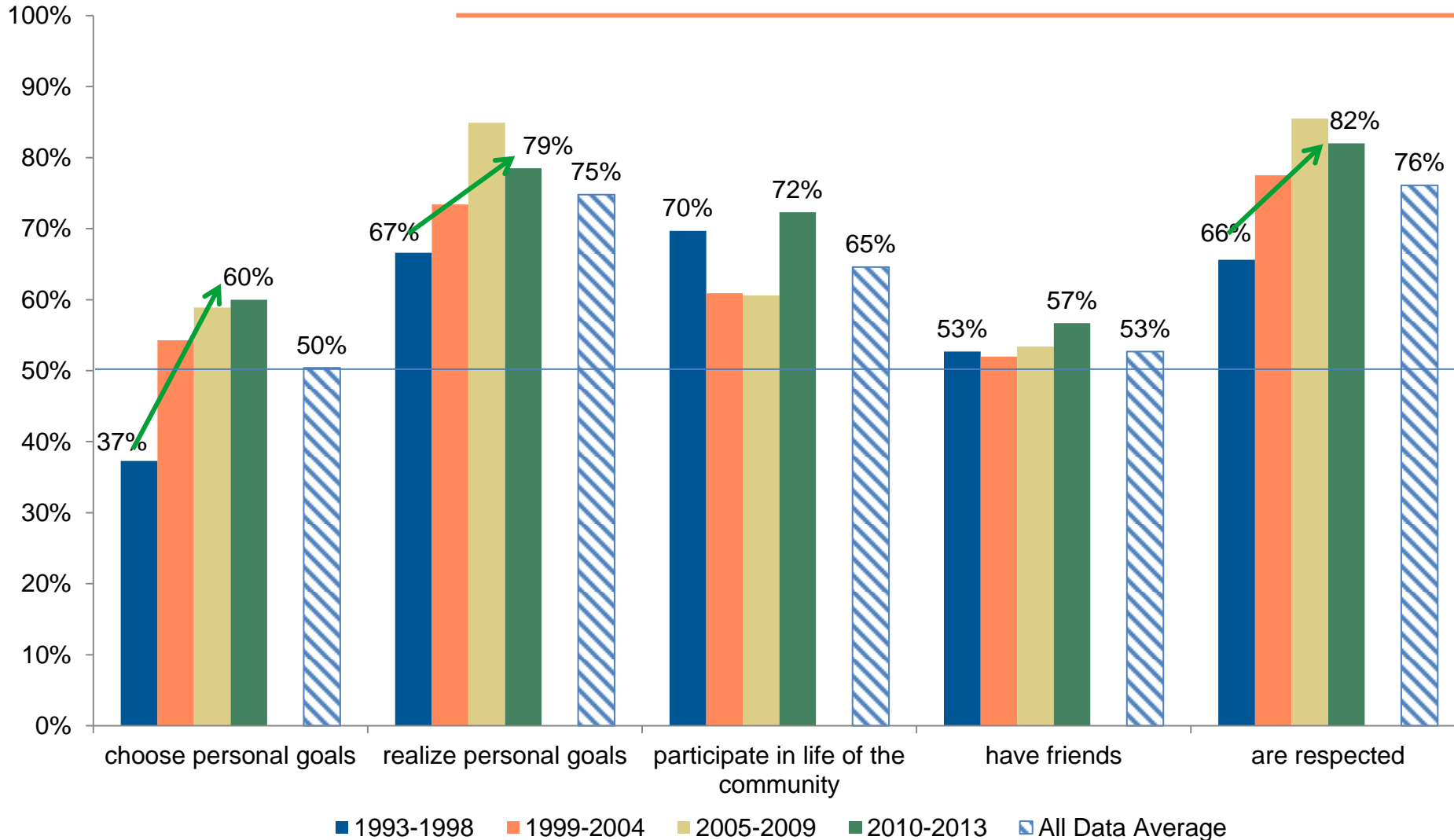
MEASURING OUTCOMES

My World (n = 8,560) 1993 - 2013



MEASURING OUTCOMES

My Dreams (n = 8,560) 1993 - 2013



MEASURING OUTCOMES

PREDICTORS

Specific Outcomes Correlated With Total Outcomes

HIGHEST (US)	
Exercise Rights	F1: Rights protection and promotion .537
Are Treated Fairly	F2: Dignity and Respect .523
Choose where and with whom they live	F8: Positive Services & Supports .517
Interact with members of the community	F2: Dignity and Respect .501
Choose where they work	F8: Positive Services & Supports .499
LOWEST	
Decide when to share information	.337
Have the best possible health	.310
Free from abuse and neglect	.284
Experience continuity and security	.276
Are safe	.192

n = 7,806

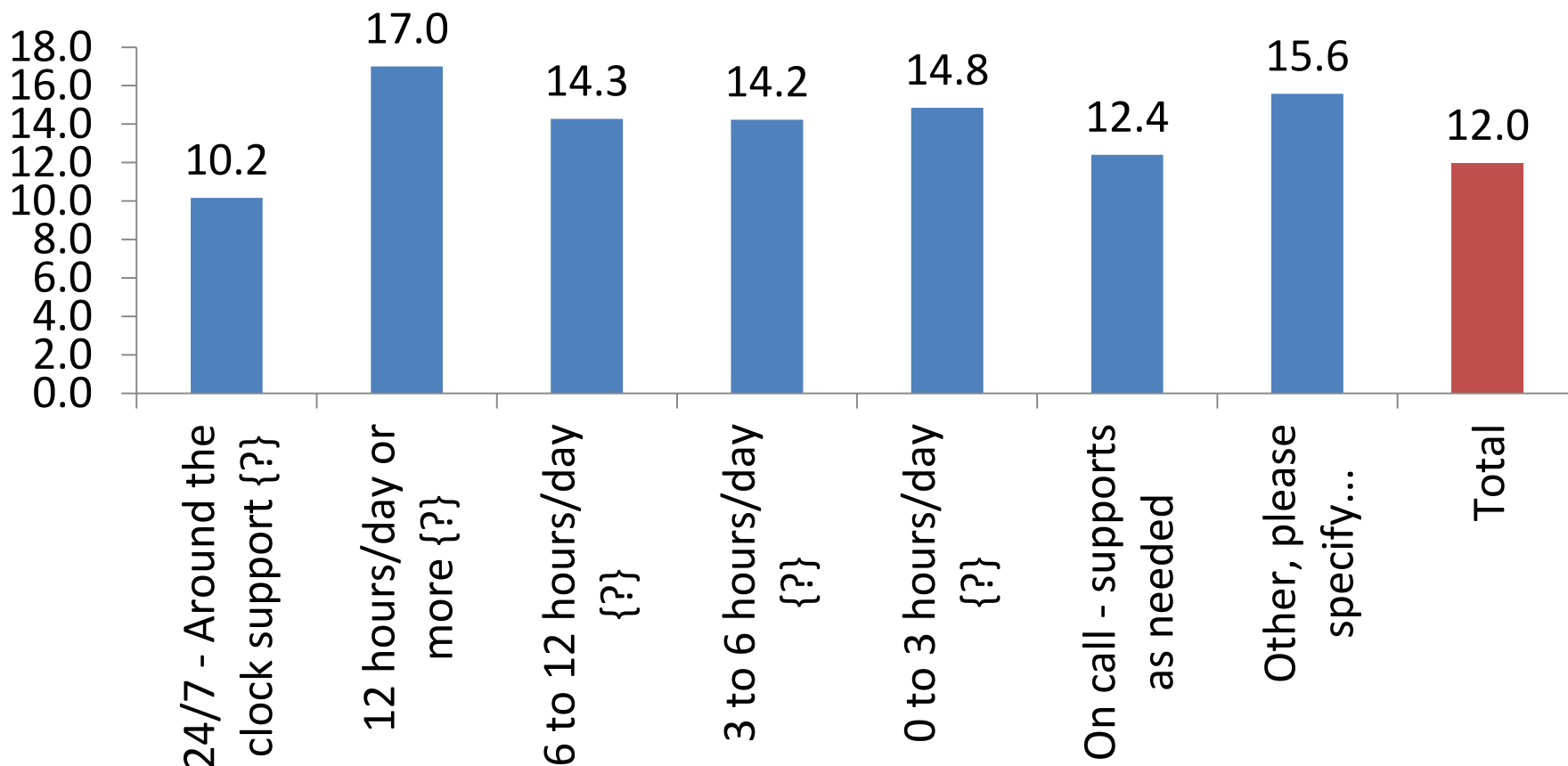
* All correlations are significant at the 0.05 level (2-tailed)

Basic Assurances - Factor 10

Factor 7: Appropriate Staff Resources & Supports Are In Place

Using data in decision-making

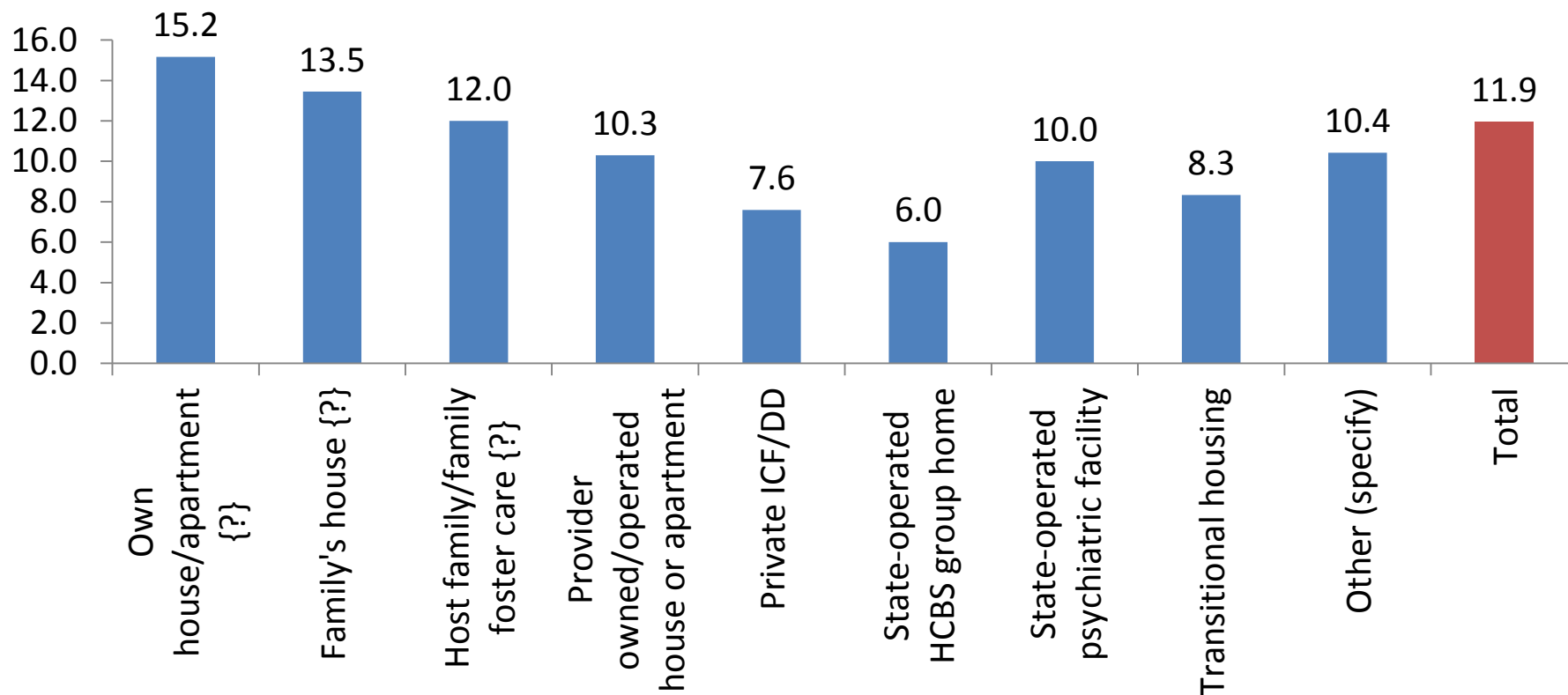
Average Outcomes by Weekly Hours of Support



Factor 8: Positive Services & Supports

Using data in decision-making

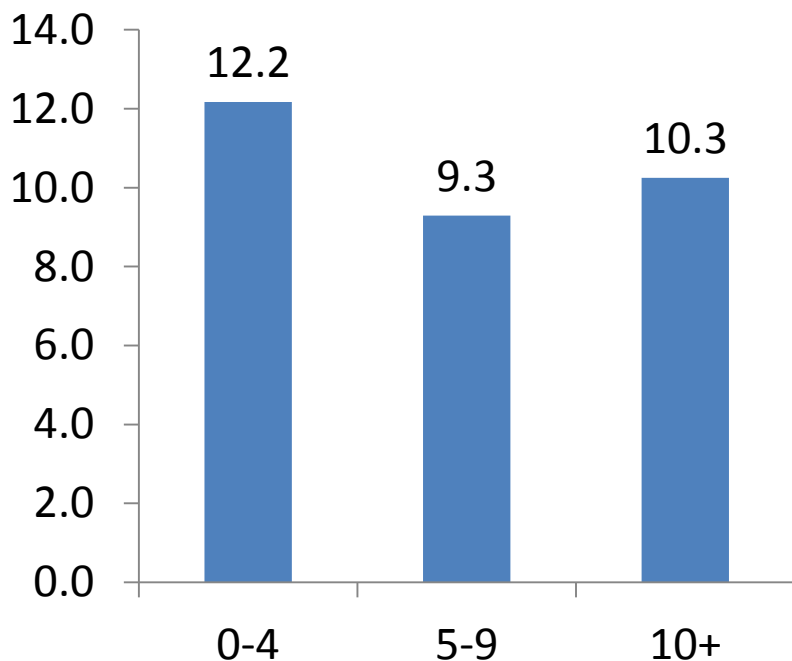
Average Outcomes by Residential Type



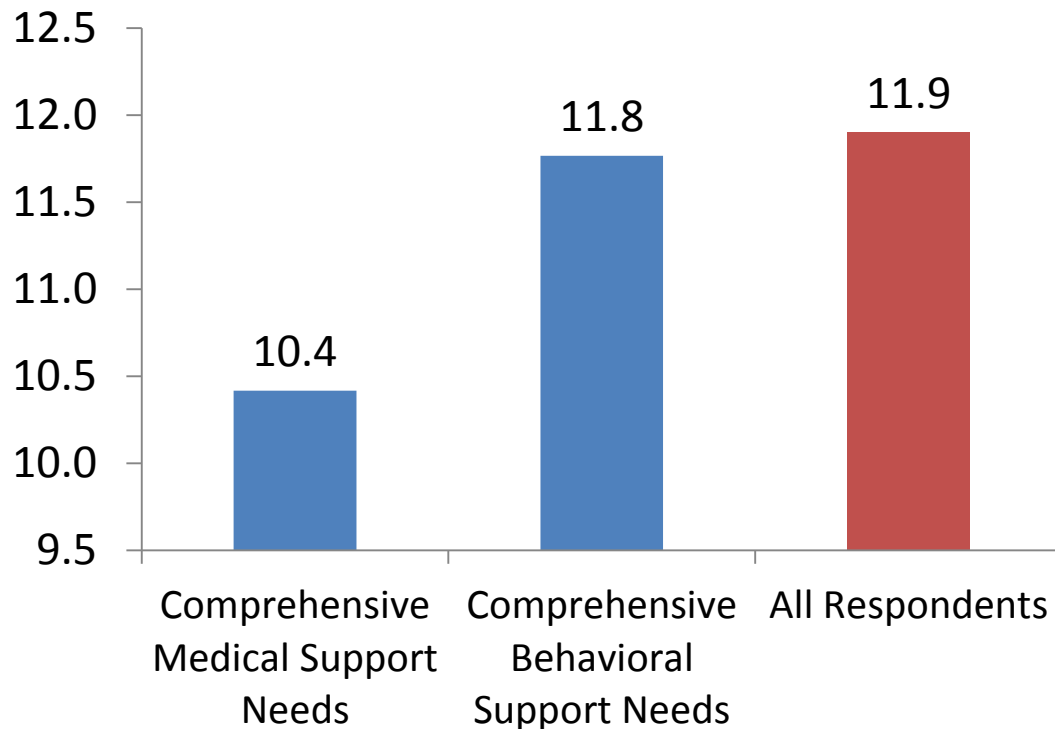
Basic Assurances - Factor 10

Using data in decision-making

Average Outcomes by Size of Residence



Average Outcomes by Comprehensive Support Needs



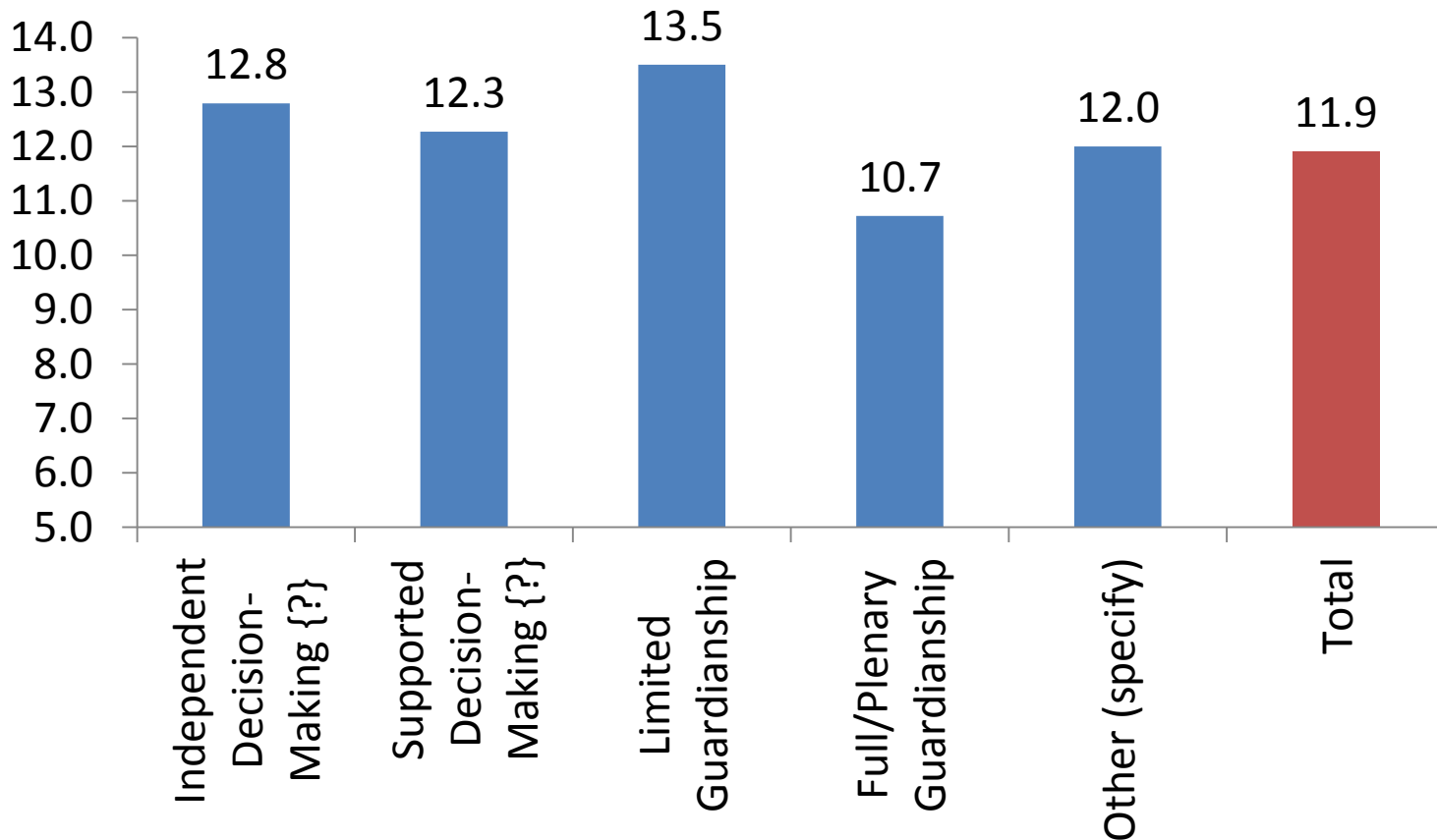
Factor 8: Positive Services & Supports

Basic Assurances - Factor 10

Using data in decision-making

Average Outcomes by Decision-Making Authority

Factor 1:
Rights
Protection
Factor 2:
Dignity and
Respect
Factor 8:
Positive
Services &
Supports

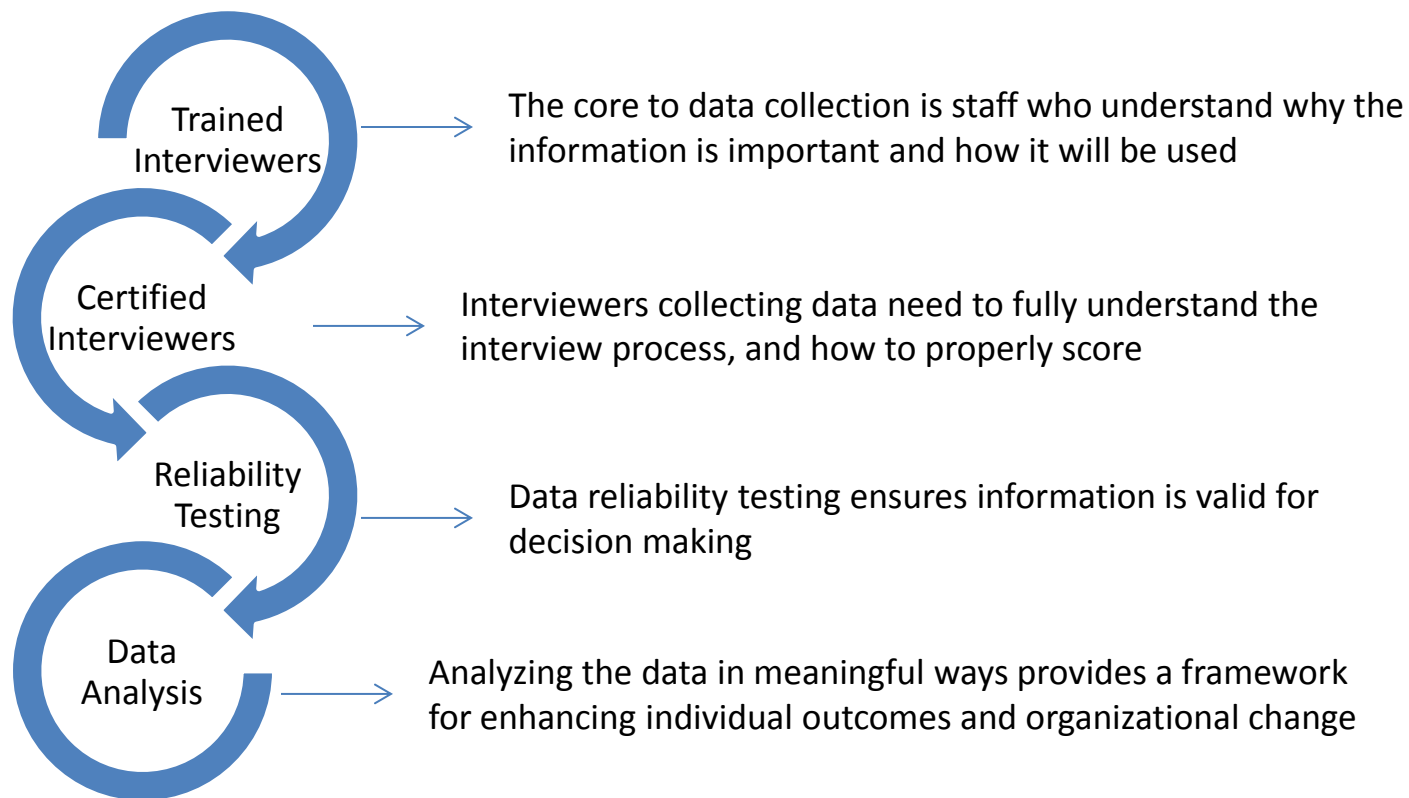


Basic Assurances - Factor 10

Collecting Reliable Data

Overview of Data Collection

- Keys to quality data:

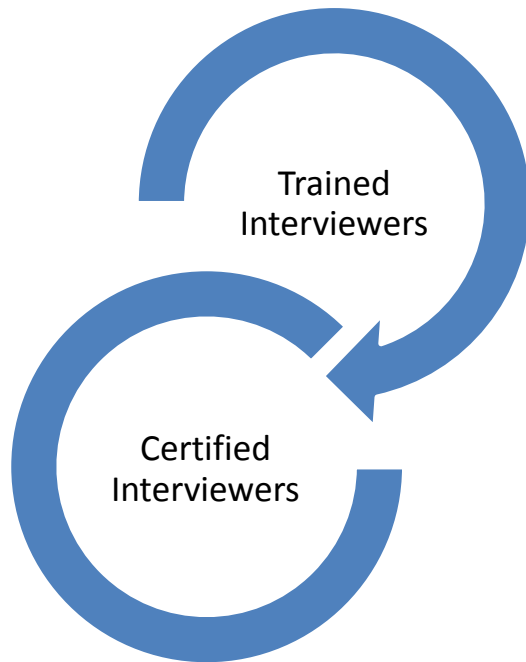


Basic Assurances - Factor 10

Collecting Reliable Data

Overview of Data Collection

- Keys to quality data:



Developing strong interviewers allows for:

- Effective and efficient data collection
- Strength in the type and usability of data
- Consistency in information overtime

Key Elements: Consistent

Basic Assurances - Factor 10

Collecting Reliable Data

Overview of Data Collection

CQL requires that certified Personal Outcome Measures® interviewers maintain certification by completing annual inter-rater reliability testing.



What is inter-rater reliability testing:

- A test which measures that two interviewers participating in the same interview score results similarly
- A proven approach to ensuring consistency and accuracy in data collection

CQL's requirements in inter-rater reliability

- Annual review
- IRR score of 0.85 (85%) match rate
- Conducted by CQL trained staff

Key Elements: Consistent, Reliable,
Trusted

Basic Assurances - Factor 10

Collecting Reliable Data

Overview of Data Collection

Collecting data is only valuable if you do something meaningful with it.

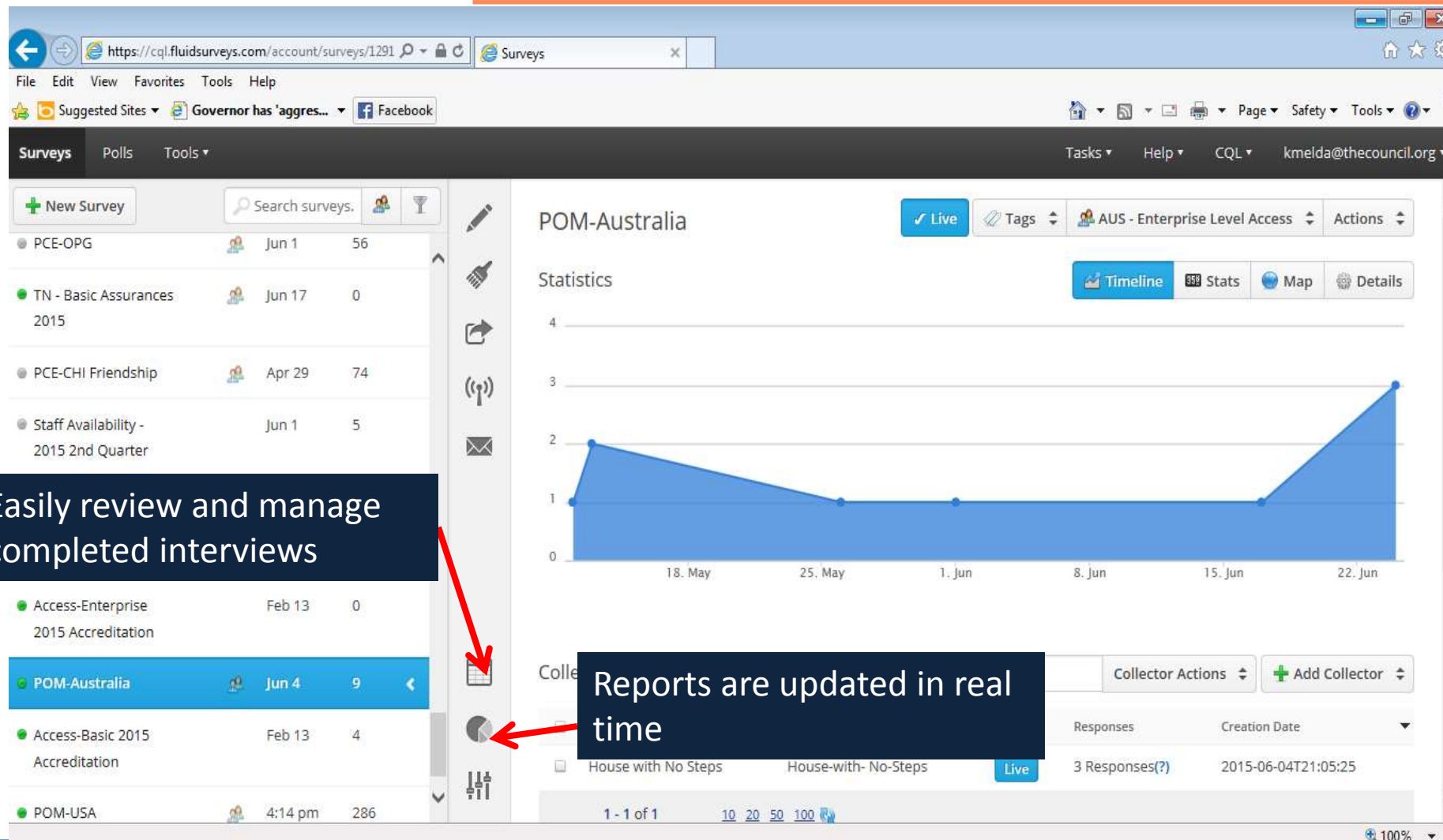


- Data analysis provides critical information for promoting and improving individual outcomes
- Provides agencies strong information for imposing organizational change
- Requires reliable inputs to translate to meaningful outputs.

In January 2015, CQL introduced a new online POM data collection system. The new system increases the amount of data collected and provides greater structure to the interview process. Although no changes were made to the scoring of the overall outcome indicators, the new system provides agencies with a depth of information not previously available.

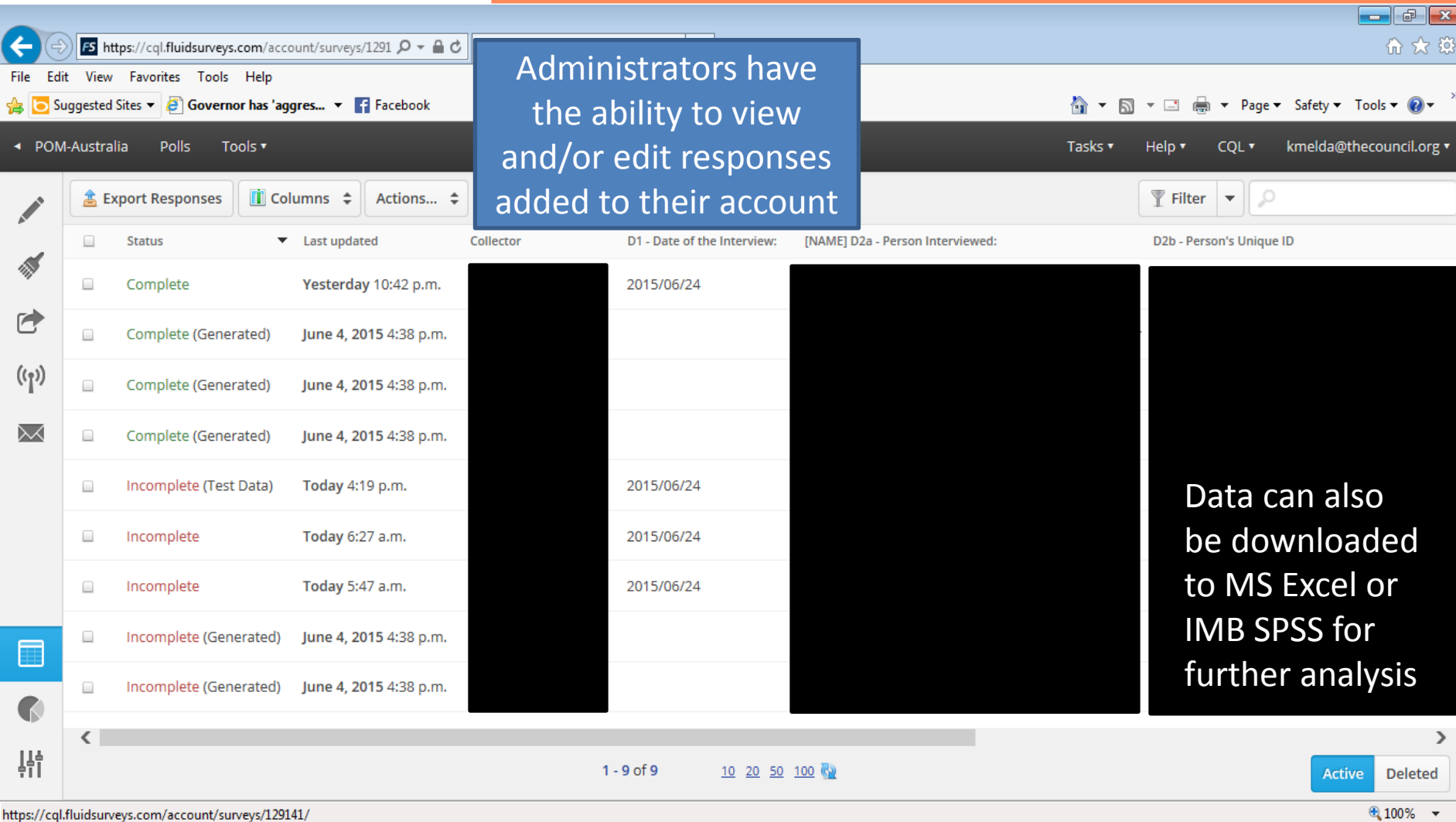
Basic Assurances - Factor 10

Overview of the new online POM data collection tool



Basic Assurances - Factor 10

Overview of the new online POM data collection tool



The screenshot shows a web browser window with the URL <https://cql.fluidsurveys.com/account/surveys/1291>. The interface includes a top navigation bar with links for Home, Suggested Sites, Governor has 'aggres...', and Facebook. Below this is a secondary navigation bar with links for POM-Australia, Polls, and Tools. The main content area displays a table of survey responses with columns for Status, Last updated, Collector, D1 - Date of the Interview, [NAME] D2a - Person Interviewed, and D2b - Person's Unique ID. The table lists several responses, some marked as 'Complete' and others as 'Incomplete (Test Data)' or 'Incomplete (Generated)'. A blue callout box highlights that administrators can view and/or edit responses. A large black box on the right side of the table indicates that data can be downloaded to MS Excel or IMB SPSS for further analysis. The bottom of the interface shows a pagination bar with '1 - 9 of 9' and a '100%' zoom level.

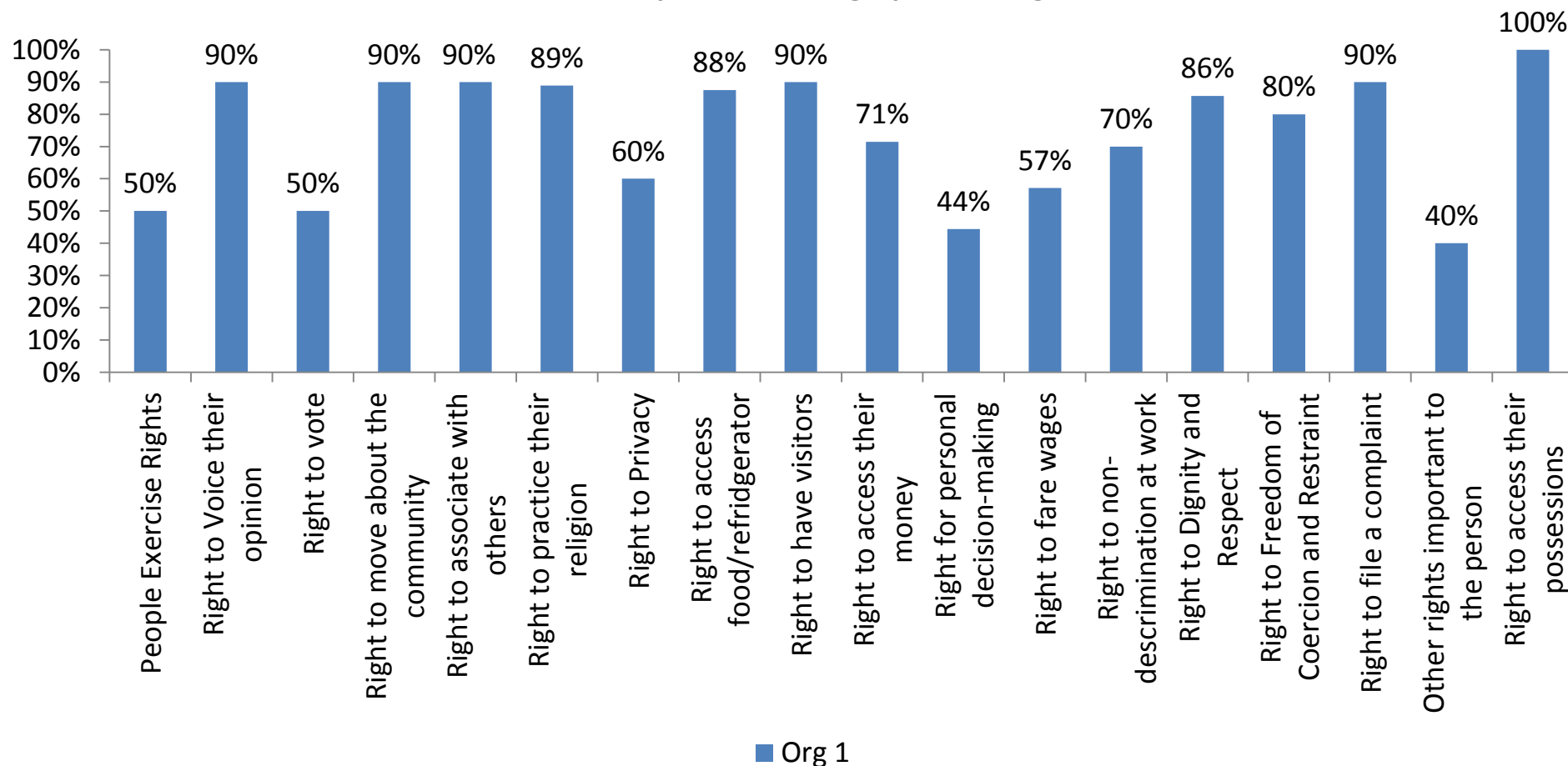
Administrators have the ability to view and/or edit responses added to their account

Data can also be downloaded to MS Excel or IMB SPSS for further analysis

Basic Assurances - Factor 10

Rights

% of People Exercising Specific Rights



Basic Assurances - Factor 10

Rights - Continued

People Exercise Rights

5.1 - Indicate whether the person exercises this right as a citizen?

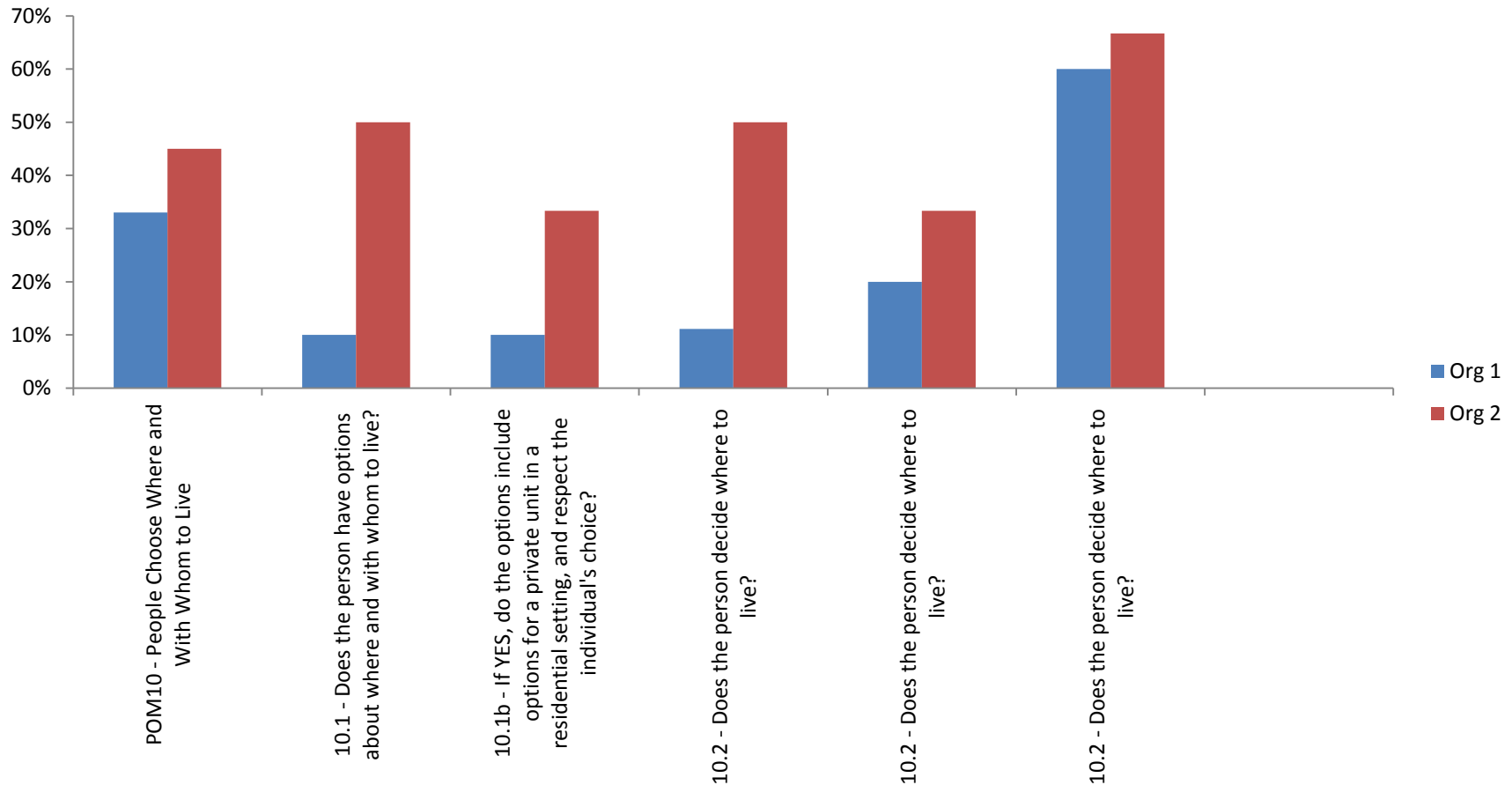
	Yes	No	Total Responses
Right to voice their opinion	58 (80.6%)	14 (19.4%)	72
Right to vote	42 (61.8%)	26 (38.2%)	68
Right to move about the community	54 (78.3%)	15 (21.7%)	69
Right to associate with others	57 (81.4%)	13 (18.6%)	70
Right to practice their religion	53 (77.9%)	15 (22.1%)	68
Right to privacy	50 (73.5%)	18 (26.5%)	68
Right to access their possessions	58 (81.7%)	13 (18.3%)	71
Right to access food/refrigerator	45 (65.2%)	24 (34.8%)	69
Right to have visitors at any time	53 (75.7%)	17 (24.3%)	70
Right to access their money	46 (65.7%)	24 (34.3%)	70
Right for personal decision-making	48 (68.6%)	22 (31.4%)	70
Right to fair wages	35 (58.3%)	25 (41.7%)	60
Right to non-discrimination at work	45 (78.9%)	12 (21.1%)	57

5.1 – Who, if anyone, most limits the person's ability to exercise this right?

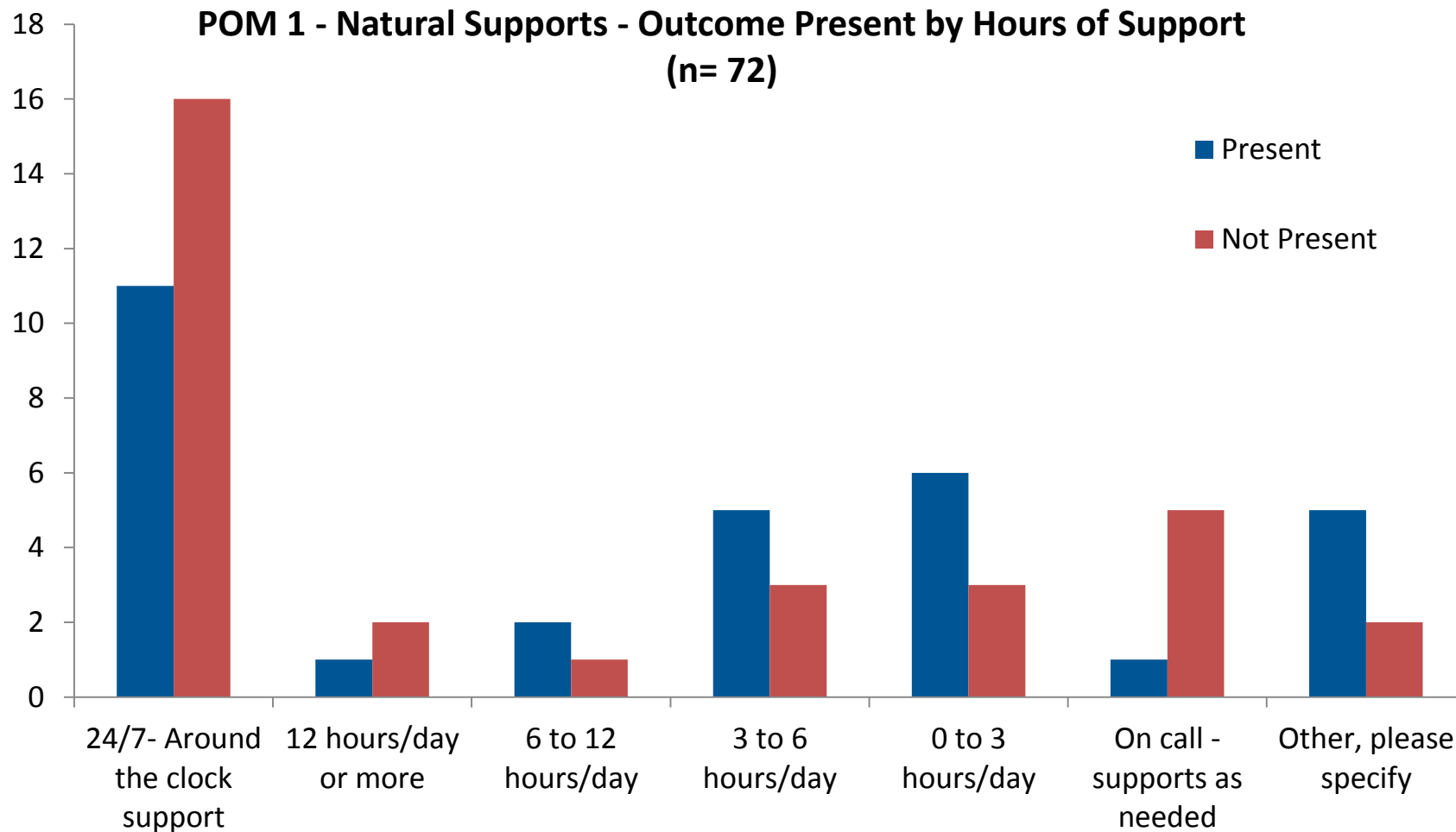
	Guardian	Family	Provider org./support staff	Employer/co-worker	Other	Total Responses
Right to voice their opinion	3 (14.3%)	2 (9.5%)	2 (9.5%)	6 (28.6%)	8 (38.1%)	21
Right to vote	6 (19.4%)	4 (12.9%)	8 (25.8%)	3 (9.7%)	10 (32.3%)	31
Right to move about the community	2 (7.1%)	5 (17.9%)	14 (50.0%)	2 (7.1%)	5 (17.9%)	28
Right to associate with others	5 (23.8%)	5 (23.8%)	7 (33.3%)	2 (9.5%)	2 (9.5%)	21
Right to practice their religion	4 (23.5%)	5 (29.4%)	3 (17.6%)	2 (11.8%)	3 (17.6%)	17
Right to privacy	10 (40.0%)	4 (16.0%)	9 (36.0%)	1 (4.0%)	1 (4.0%)	25
Right to access their possessions	9 (39.1%)	7 (30.4%)	6 (26.1%)	0 (0.0%)	1 (4.3%)	23
Right to access food/refrigerator	9 (33.3%)	3 (11.1%)	10 (37.0%)	2 (7.4%)	3 (11.1%)	27
Right to have visitors at any time	5 (25.0%)	3 (15.0%)	4 (20.0%)	2 (10.0%)	6 (30.0%)	20
Right to access their money	3 (10.3%)	3 (10.3%)	11 (37.9%)	2 (6.9%)	10 (34.5%)	29
Right for personal decision-making	11 (39.3%)	6 (21.4%)	4 (14.3%)	2 (7.1%)	5 (17.9%)	28
Right to fair wages	11 (39.3%)	2 (7.1%)	10 (35.7%)	2 (7.1%)	3 (10.7%)	28
Right to non-discrimination at work	2 (11.8%)	2 (11.8%)	3 (17.6%)	3 (17.6%)	7 (41.2%)	17

Basic Assurances - Factor 10

Choice – People choose where and with whom they live



Basic Assurances - Factor 10



Basic Assurances - Factor 10

Identifying Other Data Sources

- Use information you already have available:
 - CQL tools
 - Health Monitoring Data
 - Claims data
 - Therap
 - Internal assessment tools
 - Level of Care (LOC) assessments



Basic Assurances - Factor 10

Examples of Factor 10 Plans – AHRC NASSAU (NY)

Basic Assurances Monitoring & Enhancement Report
Basic Assurances monitoring data is used for continuous learning and improvement.

BA Leader:
C. Tapia

Data Report Period

From

1/2013

To 12/2013

FACTOR 1: RIGHTS, PROTECTION, & PROMOTION

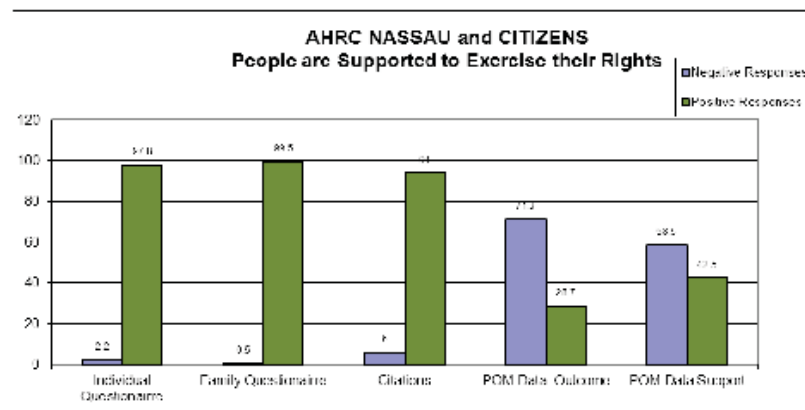
1. Review of CQL Self-Assessment for this Factor (key systems and practices/ activities that relate to maintenance of these Basic Assurances) to ensure systems and practices remains current and relevant and effective. Please document results on the Excel self-assessment form; summarized below.

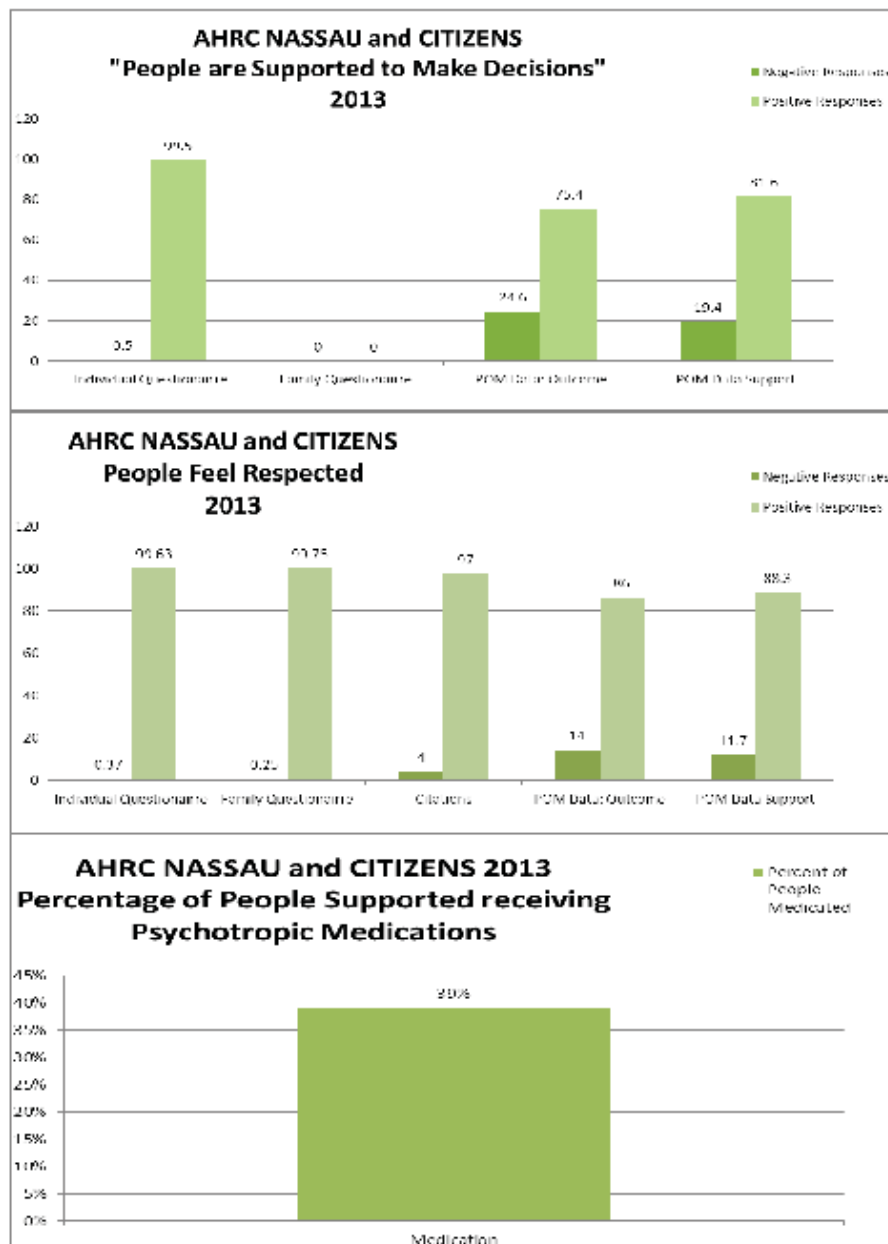
a. The organization supports people to exercise their rights and responsibilities.	System Present <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Practice Present <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
b. Staff recognizes and honor people's rights.	System Present <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Practice Present <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
c. The organization upholds due process requirements.	System Present <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Practice Present <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
d. Decision-making supports are provided to people as needed.	System Present <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	*Practice Present <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No *Stronger Plan under development.

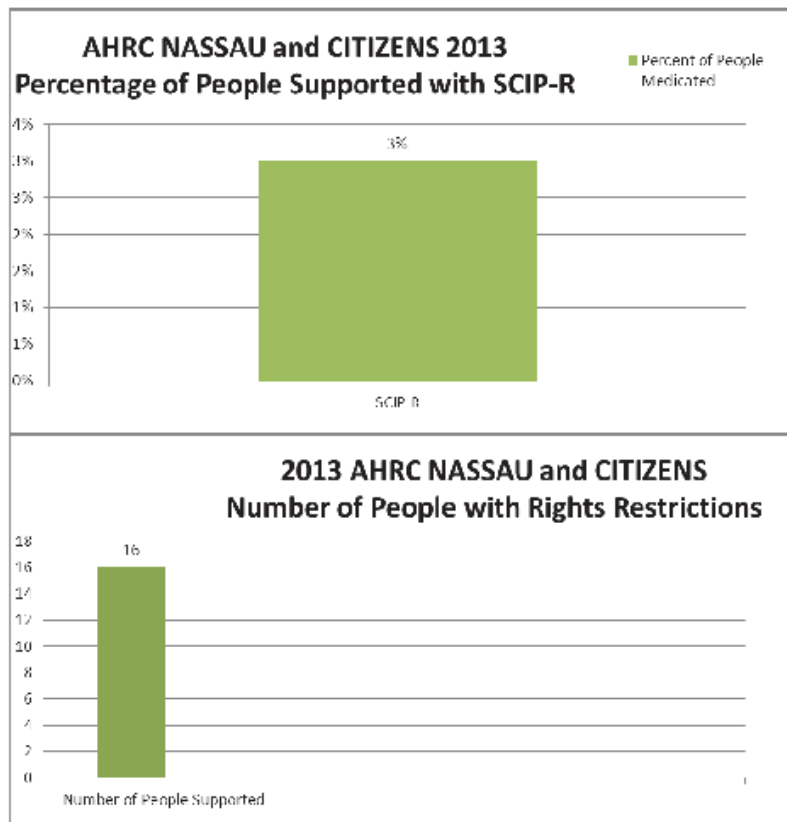
2. Qualitative Data & Analysis: Personal Outcome Measures

People exercise rights	Outcome Data: 28.7	Supports Data: 42.5
People realize personal goals	Outcome Data: 20.8	Supports Data: 23.1
People are treated fairly	Outcome Data: 86.4	Supports Data: 88.84

3. Quantitative Data & Analysis (see Basic Assurances policy/procedure & Attachment A for data to be reported)







4. BA Leader & Committee Analysis

- a. Current Review Information/Assessment: AHRC Nassau and Citizens implement the following policies and procedures that promote people's rights.
 - Individual Rights (P&P and packet)-completed upon enrollment and annually. Includes Grievance procedure, Bill of Rights and Human Rights)
 - Annual Rights Assessment (results included in persons ISP and IPOP focusing on the rights that are important to the person)
 - Advocacy and Guardianship: People are supported to make decisions with the level of support needed. Discussed at the ISP.
 - Monthly Rights Training (council(s), house and day meetings)
 - Individual Rights training (Orientation and Annual) and Staff Attestation
 - Human Rights Committee (Policy, Systems and Training – New – HRC Empowerment Training)
 - Person Centered Support Plan and Committee (Policy, Systems and Training) – Christine Schulte
 - IPOP&ISP (includes the rights that are important to the person).
 - Dignity in Life Committee

- AHRC Nassau and Citizens supports people to exercise their rights and responsibilities.
 - Individual Rights P&P (rights assessment, Personal Outcome Interviews, ISP, IPOP, Advocacy Councils, Monthly Rights Training, house meetings, annual satisfaction questionnaires and forums such as My World, My Day, Stand-up and Speak Out, Rights Rally, Council Celebrations, self-advocate of the year award, Rights Ambassador Initiative.)
 - On an annual basis people supported report to the Board of Directors.
 - Grievance Procedure and Complaint Process
 - Rights that are important to the person incorporated into ISP/IPOP.
 - Dignity in Life Committee
- b. **Follow-Up from Prior Review:** Not Applicable this year.
- c. **Committee Comments (to include if progress made and plan for continued enhancement as indicated):**
 Staff remain tentative about the rights initiatives due to the responsibilities attached to exercising many rights. Therefore, enhancement of monthly rights training to emphasize responsibility as well will be completed during the next review year. Use of social media will be explored to promote rights. Additionally, a picture per right will be offered and used as a springboard for discussion. A poster to communicate the due process system is underway and the supportive decision making initiative will be further enhanced over the coming year. The committee is in agreement with the quality measures in place and/or recommended.
- d. **Priorities for monitoring the presence of this factor:**
- Revise questionnaires to include asking families about their awareness of due process and supporting their family members to make decisions as capacity allows.
 - Request data from QA for incidents relating to powers struggles with staff
 - Regulatory Affairs to specifically site privacy issues under privacy (share personal information). It can also fall under other tags.
 - Request Chairs(s) of Human Rights to obtain data on all initial requests for a psychiatric referral and subsequent referral for a POM interview in order to deter the use of psychiatric medication.
 - The Agency has adopted a philosophy that the use of supine control as means to controlling behavior be banned.
 - Collect baseline data on the amount of behavior support plans that include supine control.
- e. **Goals and objectives:**
- People feeling supported to exercise their rights will increase to 33% by April 2015 based on data from Personal Outcome Interviews.
 - The use of supine control as it relates to individual behavior supports will be reduced to zero by April 2015 or sooner.
 - The use of rights restrictions in behavior support plans will be reduced by 5% through the use of proactive measures within individual support plans by April 2015.
 - Obtain baseline data on the number of people who have created their own health care proxy.
 - Collect baseline data on newly enrolled people for 2014 that have court appointed legal guardians vs. those that do not.
- f. **Recommended changes/modifications to the comprehensive enhancement plan:** None at this time.

Submitted By: Colleen Tapia

Basic Assurances - Factor 10

Examples of Factor 10 Plans – Aspire, Inc (SD)

Aspire Inc. Quarterly Data 2013

Factor One: Rights, Protection, and Promotion

5. People exercise rights.	Qtr 1 Outcome:	97%	Qtr 1 Sppt:	100%	2012 Q1 Outcome:	95%	2012 Q1 Sppt:	92%
18. People realize personal goals.	Qtr 1 Outcome:	71%	Qtr 1 Sppt:	68%	2012 Q1 Outcome:	84%	2012 Q1 Sppt:	87%

Rights Restrictions/Supports

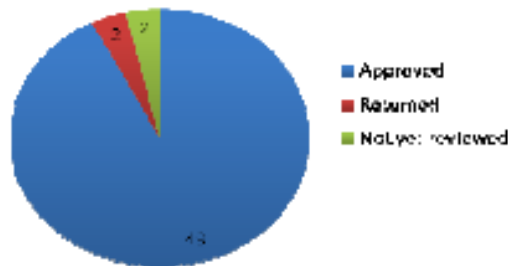
Human Rights Committee Chairperson

Quarter 1

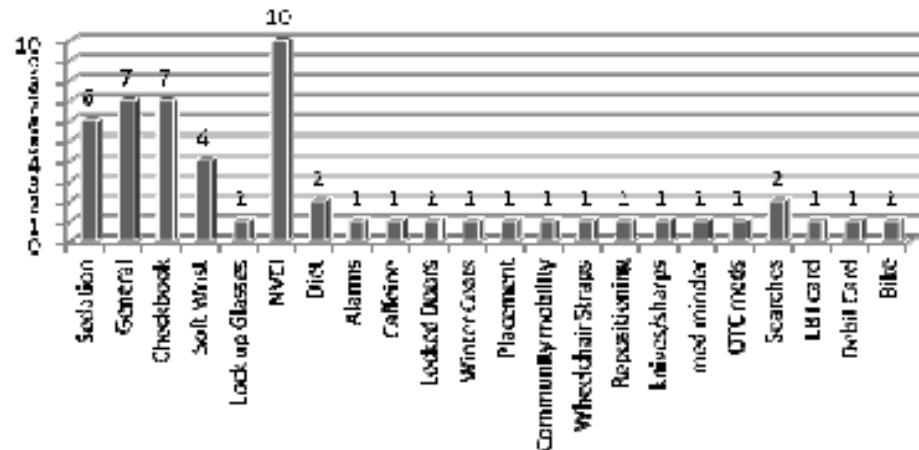
The committee reviewed 46 restrictions. Three of the 46 were returned during the quarter and 8 have been submitted to the committee later in the quarter so have not been through the process yet. The reasons for returns are broken down into: one had missing protocol for NVCI, has been corrected and approved during this period; another one had no restoration plan identified, and the other one needed clarification on the restoration plan.

There were 22 different types of restriction submitted the top 5 were NVCI (9 behavioral, 1 medical), general anesthesia (7), checkbook (7), sedation (6), and soft wrist restraints (4).

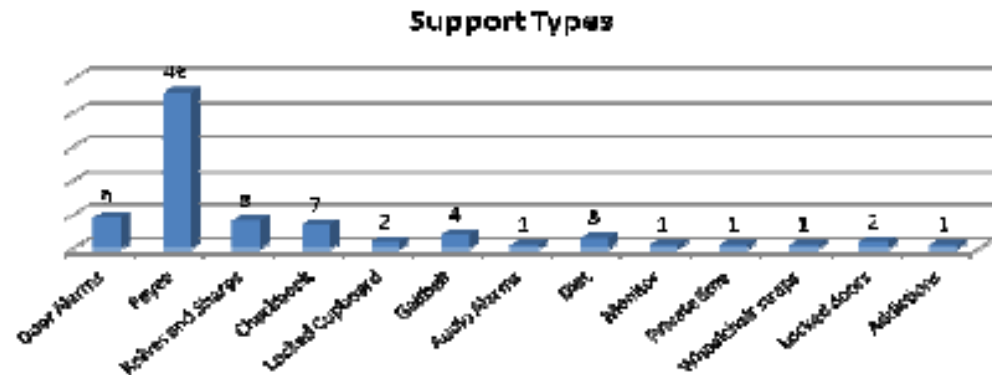
Restrictions through PBSC



Restriction types



We had a total of 86 supports submitted and approved in the first quarter; there were 13 different types of supports submitted. The supports submitted were payee (46), door alarms (9), knives and sharps (9), checkbook (6), gait belt (4), diet (3), locked cupboards (2), locked doors (2), audio alarms (1), monitors (1), private time (1), wheelchair straps (1), and addictions (1).



The data was collected from the Positive Behavior Support Committee tracking sheets that recorded the length of time it is taking Service Coordinators to submit to the committee the updated rights restrictions/supports following an ISP meeting. The analysis shows that it is taking an average of 62 days. The average days have increased due to delay in getting some of the 2012 ISPs completed.

Organizational Response

1st quarter 2012 had 38 restrictions and 58 supports reviewed. The difference in restrictions was the 8 that were turned in late in the quarter and had not been reviewed. The difference in supports could partly be due to locked doors/cupboards and door alarms to support someone who just moved into 15. Also the differences in numbers for supports could be that there were quite a few turned in late during the 1st quarter that should have been reviewed in the 3rd or 4th quarters last year, which will skew some data in following quarters as well. Restrictions and supports also DO NOT need to wait to be turned in until after oversight process is done.

Factor Two: Dignity and Respect

6. People are treated fairly.	Qtr 1 Outcome:	92%	Qtr 1 Sppt:	97%	2012 Q1 Outcome:	87%	2012 Q1 Sppt:	84%
9. People decide when to share personal information.	Qtr 1 Outcome:	95%	Qtr 1 Sppt:	97%	2012 Q1 Outcome:	92%	2012 Q1 Sppt:	95%
13. People live in integrated environments.	Qtr 1 Outcome:	63%	Qtr 1 Sppt:	84%	2012 Q1 Outcome:	63%	2012 Q1 Sppt:	87%
14. People interact with other members of the community.	Qtr 1 Outcome:	76%	Qtr 1 Sppt:	97%	2012 Q1 Outcome:	79%	2012 Q1 Sppt:	95%
19. People participate in the life of the community.	Qtr 1 Outcome:	100%	Qtr 1 Sppt:	100%	2012 Q1 Outcome:	87%	2012 Q1 Sppt:	87%

Basic Assurances - Factor 10

A few parting thoughts

- You cannot count what you do not measure
- Goals and objectives should be: relevant, realistic, measurable
- Quality monitoring and enhancement is ongoing...there is no point in time when the job should feel “complete”
- Develop research questions with a meaningful goal in mind. Data which is collected simply to be collected will never turn in to information.



Basic Assurances - Factor 10

ADDITIONAL RESOURCES

20 Years of Personal Outcome Measures®

www.c-q-l.org/resource-library/publications



New Online POM Data System

www.c-q-l.org/data



Questions?





CQL | The Council on
Quality and Leadership

CQL is dedicated to the
definition, measurement
and improvement of
personal quality of life for
people receiving human
services and supports.

DREW SMITH
CQL | *Director of Research and Data*

dsmith@thecouncil.org

www.c-q-l.org