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ASPIRE to Excellence

Something to think about…

“Change has considerable psychological impact on the human mind. To the fearful, it is threatening because it means that things may get worse. To the hopeful, it is encouraging because things may get better. To the confident, it is inspiring because the challenge exists to make things better.”

King Whitney, Jr.

ASPIRE to Excellence

• Excellence cannot be achieved if static
• To be relevant to stakeholders, organizations must change
• Leaders endorse and drive change
• Personnel identify, support, and execute change
• Feedback loops exist between all (leaders, personnel, persons served, stakeholders) to identify needed change and effect appropriate response
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ASPIRE to Excellence®

- Achievement of excellence:
  - Practical
  - Continuous improvement has to be integrated easily into all the organization’s work and have mechanisms to engage stakeholders
  - Action oriented so that an organization’s purpose, planning, and activity result in the desired performance

Performance Improvement Cycle

PLAN
ACT
DO
CHECK
REFLECT

Improvement is an ongoing cycle

ASPIRE to Excellence®

System for organizing standards into logical, action-oriented framework

- Emphasizes continuous improvement & integration
- Reaffirms importance of input of stakeholders to inform processes
- Helps ensure that organization’s purpose, planning, and activity result in positive outcomes
ASPIRE to Excellence®

Assess the Environment

1.A. Leadership
- Mission and vision
- Roles and responsibilities
- Business structure
- Corporate responsibility:
  - Ethical practices
  - Awareness of and engagement in the community

1.B. Governance
- Accountability to stakeholders
- Delineation of roles/functions (Board vs. Management)

1.A. Leadership

- Identify leadership structure, and responsibilities of each level
- A person-centered philosophy:
  - Is demonstrated by:
    - Leadership
    - Personnel
  - Guides the service delivery
  - Is communicated to stakeholders in an understandable manner

1.A. Leadership

- The identified leadership guides:
  - Establishment of mission/direction
  - Promotion of value and achievement of outcomes in the programs and services offered
  - Balancing expectations of person served/stakeholders
  - Financial solvency
  - Risk management
  - Ongoing performance improvement
  - Development/implementation of corporate responsibilities
  - Compliance with legal/regulatory requirements
  - Annual review of the organization’s policies
  - Health and safety
  - Succession Planning

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1.A. Leadership

• Leadership of the organization is accessible to the persons served and personnel

1.A. Leadership

• Implements a cultural competency and diversity plan that:
  – Addresses persons served, personnel, and stakeholders
  – Is based on:
    • Culture
    • Age
    • Gender
    • Sexual orientation
    • Spiritual beliefs
    • Socioeconomic status
    • Language
  – Is reviewed at least annually for relevance
  – Is updated as needed

1.A. Leadership

• Corporate responsibility efforts at a minimum include written ethical codes of conduct for:
  – Business and marketing
  – Contractual relationships
  – Service delivery
    • Conflicts of interest and setting boundaries
    • Exchanges of gifts, money, and gratuities
    • Personal fundraising and personal property
    • Witnessing of legal documents
  – Professional responsibilities
  – Human resources
  – Prohibition of waste, fraud, abuse and other wrongdoing
1.A. Leadership

• Corporate responsibility efforts at a minimum include:
  – Written procedures to deal with allegations of violations of ethical codes:
    • No-reprisal approach for personnel reporting
    • Time frames that are adequate for prompt consideration and results in timely decisions
  – Education on ethical codes of conduct for personnel and other stakeholders
  – Advocacy efforts for the persons served
  – Corporate citizenship

• Organizations in the United States receiving federal funding demonstrate corporate compliance through:
  – Implementation of a policy on corporate compliance that has been adopted by leadership
  – Written designation of staff a member to serve as primary point of contact for monitoring, assessing risks, and reporting on matters pertaining to corporate compliance
    • That is documented

• Organizations in the United States receiving federal funding demonstrate corporate compliance through:
  – Training of personnel on corporate compliance including:
    • Role of compliance officer
    • Organization’s procedures for allegations of fraud, waste, abuse, and other wrongdoing
  – Internal auditing activities
1.A. Leadership

• Leadership provides resources and education for personnel to stay current in the field to assist in demonstrating that program strategies and interventions are based on:
  – Accepted practices in field
  – Current research
  – Evidence-based practice
  – Peer-reviewed scientific and health-related publications
  – Clinical practice guidelines
  – Expert professional consensus

Governance Standards

• VOLUNTARY for most
• Apply only to board vested with legal authority to direct the affairs and business of the organization’s corporate entity.
• Good recognition of Board and their governance structure as scrutiny increases

1.B. Governance

• The board has governance policies that:
  – Facilitate ethical governance practices
  – Assure stakeholders that governance is active and accountable in the organization
  – Meet the legal requirements of governance
• Address:
  • Membership criteria, selection, and exit processes
  • Board member orientation
  • Board development and education
  • Leadership selection
  – Chair
  – Committee chairs
1.B. Governance
• The board has governance policies that address structure:
  – Size
  – Composition
  – Definition of independent, unrelated board representation
  – Duration of membership

1.B. Governance
• The board has governance policies that address performance, including:
  – Financial matters, if any, regarding individual board members including:
    • Compensation
    • Loans
    • Expense reimbursement
    • Stock ownership
    • Other matters of financial interest
  – Use of external resources, as applicable:
    • External auditors
    • Executive compensation advisors
    • Other advisors, as needed

1.B. Governance
• The board has governance policies that address performance, including:
  – Annual self-assessment of the entire board
  – Periodic self-assessment of individual members
  – Annual written and signed conflict of interest declaration
  – Annual written and signed ethical code of conduct declaration
  – External linkage or interaction (advisors, regulators, investors, press, consumers, customers)
1.B. Governance

• Board relationship with executive leadership includes:
  – Delegation of authority/responsibility to executive leadership
  – As appropriate, access to personnel
  – Support of governance by the organization

• Board processes include:
  – Agenda planning
  – Developing and distributing meeting materials
  – Overseeing the following committee work, as applicable:
    • Governance development and management
    • Financial audit
    • Executive compensation
    • Other pertinent activities, as defined by the board

1.B. Governance

• Policies address executive leadership development and evaluation including:
  – Formal annual written review of executive leadership performance in relation to:
    • Overall corporate performance versus target
    • Individual performance versus target
    • Professional development, accomplishments, and opportunities
  – Annual review of written executive leadership succession plan

1.B. Governance

• Policies address executive compensation including:
  – Written statement of total executive compensation philosophy
  – Review by an authorized board committee composed of independent, unrelated board members
  – Defined total compensation mix, up to and including as warranted:
    • Base pay, incentive and benefit plans, and perquisites
  – Total compensation references to:
    • Market comparator data
    • Functionally comparable positions
1.B. Governance

- Policies address executive compensation including:
  - A documented process that outlines:
    - Terms of the compensation arrangements
    - Date of approval
    - Names of board members on the committee who approved the compensation decision
    - Data used in the compensation decision
    - Disclosures of conflict of interest, if any
    - Annual review of executive compensation records
    - Authority of board members to exercise executive compensation actions
  - Board annually reviews its governance policies

1.C. Strategic Integrated Planning

- Develop plans to accomplish mission and meet expectations of stakeholders
- Identify internal strengths and weaknesses
- Identify external opportunities and threats
- Capitalize on strengths and opportunities
- Minimize weaknesses and threats

1.C. Strategic Planning

- Sets framework for direction of organization
- Integrated planning is supported by:
  - Financial planning
  - Environmental scans
  - Engagement in opportunities
- Planning validates, supports, and enhances mission
1.C. Strategic Planning

- Ongoing planning includes:
  - Expectations of person served and stakeholders
  - Competitive environment
  - Financial opportunities and threats

- Organizational capabilities: (examples)
  - Human resources
  - Research and development
  - Development or integration with new segments of continuum
  - Technology

1.C. Strategic Planning

- Planning considers:
  - Service area needs
  - Demographics
  - Relationships with external stakeholders
  - Regulatory and legislative environments
  - Use of technology to support efficient operations, effective service delivery, and performance improvement
  - Information from the analysis of performance

1.C. Strategic Planning

- Written strategic plan:
  - Developed with input from:
    - Person served
    - Personnel
    - Stakeholders
  - Reflects financial position:
    - At the time the plan is written
    - At projected point(s) in the future
    - With respect to allocating resources necessary to support accomplishment of the plan
## 1.C. Strategic Planning

- Written strategic plan:
  - Sets goals and priorities
  - Is implemented
  - Is reviewed at least annually and updated as needed
  - Is shared, as relevant to the needs of the specific group, with:
    - Persons served
    - Personnel
    - Stakeholders

## ASPIRE to Excellence®

### 1.D. Persons Served and Other Stakeholders

- Solicit, collect, analyze, and use input on an ongoing basis to create and deliver services that meet or exceed the expectations of persons served, personnel, and other stakeholders

### 1.D. Input from Persons Served and Other Stakeholders

- Input obtained on an ongoing basis from:
  - Persons served
  - Personnel
  - Stakeholders
- Input obtained from a variety of mechanisms: (examples)
  - Input forums
  - Surveys
  - Complaint, grievance, incident summaries
  - Performance improvement
  - Strategic planning
  - Program/service development
1.D. Input from Persons Served and Other Stakeholders

- Leadership analyzes input and uses it in:
  - Program planning
  - Performance improvement
  - Strategic planning
  - Organizational advocacy
  - Financial planning
  - Resource planning

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Implement the Plan

1.E. Legal and Regulatory Requirements
- Plans and actions to meet requirements at all levels

1.F. Financial Planning and Management
- Supports mission and objectives
- Follows generally accepted accounting principles
- Demonstrates stewardship

1.G. Risk Management
- Plans and actions necessary to manage risk and mitigate losses

1.H. Health and Safety
- Plans and actions necessary to minimize risk of harm to all stakeholders

1.I. Human Resources
- Demonstrate value of human resources
- Involve and engage personnel in the success of the organization
- Ensure qualified staff
- Provide adequate training to ensure quality of services
ASPIRE to Excellence®

Implement the Plan

1.J. Technology
- Incorporate technology to support information management and performance improvement activities
- Plans and actions to maintain system integrity

1.K. Rights of Persons Served
- Protect and promote
- Communicate rights with persons served
- Plans and actions to provide methods for problem resolution

1.L. Accessibility
- Promote accessibility and remove barriers
- Includes both physical and attitudinal

Implementation Areas

• Business Practices
  – Legal Requirements
  – Financial Planning and Management
  – Risk Management
  – Health and Safety
• People Practices
  – Human Resources
• Technology Practices
  – Technology
• Service Practices
  – Rights of Persons Served
  – Accessibility

1.E. Legal Requirements

• Demonstrate a process to comply with following obligations:
  – Legal and regulatory
  – Confidentiality
  – Reporting
  – Licensing
  – Contractual
  – Debt covenant
  – Corporate status
  – Rights and privacy of persons served
  – Employment practices
  – Mandatory employee testing
1.E. Legal Requirements

- Implement written procedures to guide personnel in responding to:
  - Subpoenas
  - Search warrants
  - Investigations
  - Other legal action

1.E. Legal Requirements

- Policies and written procedures address:
  - Confidential administrative records
  - Records of the persons served
  - Security of all records
  - Confidentiality of records
  - Compliance with applicable laws concerning records
  - Time frames for documentation in the records of persons served

1.F. Financial Planning and Management

- Financial planning and management activities are designed to meet:
  - Established outcomes for the persons served
  - Organizational performance objectives
1.F. Financial Planning and Management

• Written budgets prepared prior to the fiscal year start are approved by the identified authority and include:
  – Reasonable projections of revenues, expenses, and capital expenditures
  – Input from various stakeholders, as required
  – Comparison to historical performance
  – Consideration of necessary cash flow
  – Consideration of external environment information
• Budgets are disseminated, as appropriate, to personnel and other stakeholders

1.F. Financial Planning and Management

• Actual financial results are:
  – Compared to budget
  – Reported, as appropriate, to:
    • Personnel
    • Persons served
    • Other stakeholders
  – Reviewed at least monthly

1.F. Financial Planning and Management

• Identify and review at a minimum:
  – Revenues and expenses
  – Internal and external reviews of:
    • Financial trends
    • Financial challenges
    • Financial opportunities
    • Management information
    • Industry trends
  – Financial solvency, with the development of remediation plans if appropriate
1.F. Financial Planning and Management

• If organization has related entities, it identifies:
  – Types of relationships
  – Financial reliance on related entities
  – Legal, contractual, and other responsibilities between related entities and the organization
  – Any material transactions

• Implement fiscal policies and procedures that include:
  – Internal control practices
  – Provision of initial and ongoing training for appropriate personnel

• If billing for services provided, review of a representative sample:
  – Conducted quarterly
  – Documents that dates of services coincide with billed episodes of care
  – Bills accurately reflect services provided
  – Identify corrective action, if necessary

• If responsible for fee structures:
  – Identifies basis of fee structures
  – Demonstrates:
    • Review and comparison
    • Modification, when necessary
    • Disclosure of all fees to the person served for which they will be responsible
1.F. Financial Planning and Management

• If responsible for the funds of person served, written procedures are implemented that define how:
  – Informed consent for expenditure of funds
  – Person served has access to records of their funds
  – Funds are segregated for accounting purposes
  – Safeguards ensure funds are used for designated and appropriate purposes
  – Interest will be credited to account of person served (unless subject to guidelines that prohibit interest bearing accounts)
  – Monthly account reconciliation is provided to person served

1.F. Financial Planning and Management

• Evidence of an annual review or audit of financial statements of the organization by an independent accountant authorized by appropriate authority
• If review or audit generates management letter:
  – Provide letter during the survey for review
  – Provide evidence of corrective actions taken or reasons why corrective actions not taken

1.G. Risk Management

• Risk management plan implemented that includes:
  – Identification of loss exposures and how to rectify
  – Analysis of loss exposures
  – Implementation of actions to reduce risk
  – Monitoring of actions to reduce risk
  – Reporting results of actions taken
  – Inclusion of risk reduction in performance improvement activities
• Plan is reviewed at least annually and updated as needed
1.G. Risk Management

- Insurance package:
  - Reviewed annually for adequacy
  - Protects assets
  - Includes:
    - Property coverage
    - Liability coverage
    - Other coverage, as appropriate
- Written communication procedures that address media relations and social media

1.H. Health and Safety

- Organization maintains a healthy and safe environment
- Written procedures to promote safety of:
  - Persons served
  - Personnel
- Persons served receive education designed to reduce identified physical risks

1.H. Health and Safety

- Personnel receive documented competency-based training upon hire and annually in:
  - Health and safety practices
  - Identification of unsafe environmental factors
  - Emergency procedures
  - Evacuation procedures, if appropriate
  - Identification of critical incidents
  - Reporting of critical incidents
  - Medication management, if appropriate
  - Reducing physical risks
1.H. Health and Safety

- Written emergency procedures for:
  - Fires
  - Bomb threats
  - Natural disasters
  - Utility failures
  - Medical emergencies
  - Violent or other threatening situations
- Emergency procedures satisfy requirements of applicable authorities and practices appropriate for locale

1.H. Health and Safety

- Emergency procedures address:
  - When evacuation is appropriate
  - Complete evacuation from physical facility
  - Temporary shelter, when applicable
  - Identification of essential services
  - Continuation of essential services
  - Emergency phone numbers
  - Notification of appropriate emergency authorities
  - Safety of all persons involved
  - Accounting for all persons involved
  - Continuation of essential services

1.H. Health and Safety

- Organization evacuation routes are:
  - Accessible
  - Understandable to:
    - Persons served
    - Personnel
    - Other stakeholders, including visitors
1.H. Health and Safety

• Unannounced tests of emergency procedures:
  – Are conducted at least annually on each shift at each location
  – Include complete actual or simulated physical evacuation drills
  – Are analyzed for performance that addresses:
    • Areas needing improvement
    • Actions to be taken
    • Results of performance improvement plans
    • Necessary education and training of personnel
  – Are evidenced in writing, including the analysis

• Immediate access to:
  – First aid expertise
  – First aid equipment and supplies
  – Relevant emergency information on the:
    • Person served
    • Personnel

• Written procedures regarding critical incidents include:
  – Prevention
  – Reporting
  – Documentation
  – Remedial action
  – Timely debriefings

• Incidents:
  – Medication errors
  – Use of seclusion or restraint
  – Injury
  – Communicable disease
  – Infection control
  – Aggression or violence
  – Use and possession of weapons
  – Wandering and/or elopement
  – Vehicular accidents
  – Biohazardous accidents
  – Use and possession of legal or illegal substances
  – Abuse and/or neglect
  – Suicide or attempted suicide
  – Sexual assault
  – Other sentinel events
1.H. Health and Safety

• An annual written analysis of all critical incidents provided to or conducted by leadership that addresses:
  – Causes
  – Trends
  – Actions for improvement
  – Results of performance improvement plans
  – Necessary education and training of personnel
  – Prevention of recurrence
  – Internal/external reporting requirements

1.H. Health and Safety

• Organization implements procedures for infection prevention and control that include:
  – Training regarding:
    • Infections
    • Communicable diseases
  – Appropriate use of standard or universal precautions
  – Guidelines for addressing procedures with person served, personnel, and stakeholders

1.H. Health and Safety

• When transportation is provided for person served there is evidence of:
  – Appropriate licensing of all drivers and regular review of their driving records
  – Insurance covering vehicles and passengers
  – Vehicle safety features/equipment and accessibility
  – Training of drivers in:
    • Organization’s transportation procedures
    • Unique needs of person served
  – Written emergency procedures, communication devices, and first aid supplies in vehicles
  – Vehicle maintenance records according to manufacturers’ recommendations
  – If services are contracted, an annual review of the contract against the elements listed in standard
1.H. Health and Safety

• Comprehensive health and safety inspections:
  – Are conducted at least annually by an external authority
  – Result in a written report that identifies:
    • Areas inspected
    • Recommendations for improvement
    • Actions taken to respond to the recommendations

• Comprehensive health and safety self-inspections:
  – Are conducted at least twice a year on each shift
  – Result in a written report that identifies:
    • Areas inspected
    • Recommendations for improvement
    • Actions taken to respond to the recommendations

• If applicable, there are written procedures concerning hazardous material that provide for safe:
  – Handling
  – Storage
  – Disposal
1.I. Human Resources

• There are an adequate number of personnel to:
  – Meet established outcomes of the persons served
  – Ensure the safety of person served
  – Deal with unplanned absences of personnel
  – Meet performance expectations of the organization

1.I. Human Resources

• Implementation of written procedures for verification of:
  – Backgrounds of personnel, if required in following areas:
    • Criminal checks
    • Immunizations
    • Fingerprinting
    • Drug testing
  – Credentials of all applicable personnel (including licensure, certification, and registration):
    • With primary sources
    • When applicable, in all states/provinces or other jurisdictions where personnel will deliver services

1.I. Human Resources

• Written procedures address:
  – Timeframes for verification, including:
    • Prior to delivery of services to the persons served or to the organization
    • Throughout employment
  – Actions to be taken in response to information received concerning background issues and credentials verification
1.I. Human Resources

- The organization:
  - Demonstrates:
    - Recruitment and retention efforts
    - Identification of any trends in personnel turnover
  - Identifies competencies personnel need to:
    - Assist the person served to meet their outcomes
    - Support the organization to meet its mission and goals
  - Assesses the current competencies of personnel at least annually
  - Provides resources to personnel for professional development

1.I. Human Resources

- Organization provides documented personnel training at orientation and regular intervals that addresses at a minimum:
  - Identified competencies needed by personnel
  - Confidentiality requirements
  - Customer service
  - Diversity
  - Ethical codes of conduct
  - Promoting wellness of the persons served
  - Person-centered practice
  - Reporting of suspected abuse and/or neglect
  - Rights of the persons served and personnel
  - Unique needs of the persons served

1.I. Human Resources

- Performance management:
  - Job descriptions reviewed and/or updated annually
  - Performance evaluations:
    - Based on job functions and identified competencies
    - Evident in personnel files
    - Conducted in collaboration with supervisor with evidence of input from personnel being evaluated
    - Used to assess performance related to objectives established
    - Used to establish measurable performance objectives for next year
1.I. Human Resources

• Annual reviews of all contract personnel utilized by the organization that:
  – Assess performance of their contracts
  – Ensure that they follow P&Ps of the organization
  – Ensure that they conform to CARF standards applicable to services they provide

1.I. Human Resources

• If students or volunteers used, there is a system of management that includes:
  – Signed agreement
  – Identification of:
    • Duties
    • Scope of responsibility
    • Supervision
  – Orientation and training
  – Assessment of performance
  – Policies and written procedures for dismissal
  – Confidentiality policies
  – Background checks, when required

1.I. Human Resources

• Personnel policies are accessible, reviewed annually, and updated as needed and address, at a minimum:
  – Employee relations, including:
    • Grievance and appeal procedures for all personnel
    • Disciplinary action and termination
  – Employee selection, including:
    • Promotions and job postings
  – Nondiscrimination in the areas of:
    • Employment, compensation, assignment of work, and promotion
1.I. Human Resources

• Provision of services by personnel are consistent with relevant:
  – Legislation governing practices
  – Licensure requirements
  – Registration requirements
  – Certification requirements
  – Professional degrees
  – Professional training to maintain established competency levels
  – On-the-job-training requirements
  – Professional standards of practice

1.J. Technology

• Implemented technology and system plan that:
  – Includes:
    • Hardware
    • Software
    • Security
    • Confidentiality
    • Backup policies
    • Assistive technology
    • Disaster recovery preparedness
    • Virus protection
  – Supports:
    • Information management
    • Performance improvement activities for:
      – Program/service delivery
      – Business functions
  – Is reviewed at least annually for relevance
  – Is updated as needed

If your organization uses information and communication technologies to deliver services, the following apply:

• Implements written procedures that address:
  – Consent of the person served
  – Audio recording, video recording, and photographing the person served
  – Decision making about when to use information and communication technologies versus face-to-face services
  – Decision making about when to use monitoring devices
1.J Technology

- Written procedures:
  - To confirm prior to the start of each session that all necessary technology and/or equipment:
    - Is available at:
      - Originating site
      - Remote site
    - Functions properly at:
      - Originating site
      - Remote site

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1. J Technology

- As appropriate, personnel who deliver services via information and communication technologies receive competency-based training on equipment:
  - Features
  - Set up
  - Use
  - Maintenance
  - Safety considerations
  - Infection control
  - Troubleshooting

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1. J Technology

- As appropriate, instruction and training are provided to persons served, members of the family/support system and others on equipment:
  - Features
  - Set up
  - Use
  - Maintenance
  - Safety considerations
  - Infection control
  - Troubleshooting
1. J. Technology

- Service delivery includes:
  - Online information 24 hours a day, 7 days a week
  - Personnel to provide assistance with accessing services provided by the organization

- Based on identified need:
  - An appropriate facilitator at the site where the persons served is located
  - Modification to:
    - Treatment techniques/interventions
    - Equipment
    - Materials
  - Environment of the remote site including:
    - Accessibility
    - Privacy
    - Usability of the equipment

- Prior to the start of each session:
  - All participants in the session are identified, including those at:
    - Originating site
    - Remote site
  - The organization provides information that is relevant to the session
  - Organization maintains equipment in accordance with manufacturers' recommendations
1. J. Technology

• Emergency procedures address the unique aspects of service delivery via information and communication technologies, including:
  – The provider becoming familiar with the emergency procedures of the remote site, if procedures exist
  – Identification of local emergency resources, including phone numbers

1. K. Rights of Persons Served

• Rights of the persons served are:
  – Communicated to the persons served in an understandable way:
    • Prior to the beginning of service delivery or at initiation of service delivery
    • Annually for persons served in a program longer than one year
  – Available at all times for review and clarification

• Organization implements policies promoting the following rights of persons served:
  – Confidentiality of information
  – Privacy
  – Freedom from:
    • Abuse and/or neglect
    • Financial or other exploitation
    • Retaliation
    • Humiliation
  – Access to own records and pertinent information in sufficient time to facilitate his or her decision-making
1.K. Rights of Persons Served

• Policies:
  – Informed consent or refusal or expression of choice:
    • Service delivery
    • Release of information
    • Concurrent services
    • Composition of service delivery team
    • Involvement in research projects, if applicable
  – Access or referral to:
    • Legal entities for appropriate representation
    • Self-help support services
    • Advocacy support services
  – Adherence to research guidelines and ethics when persons served involved
  – Investigation and resolution of alleged infringements of rights
  – Other legal rights

The organization implements a policy and written procedure by which persons served may formally complain to the organization that specifies:
  – Action will not result in retaliation or barriers to services
  – How efforts will be made to resolve the complaint
  – Levels of review, which include availability of external review
  – Time frames that are adequate for prompt consideration and result in timely decisions for the person served
  – Procedures for written notification of actions to be taken
  – Rights and responsibilities of each party
  – Availability of advocates or other assistance
1.K. Rights of Persons Served

• The organization:
  – Makes complaint procedures and any applicable forms readily available and understandable to the persons served
  – Documents formal complaints received

1.K. Rights of Persons Served

• A written analysis of all formal complaints:
  – Is conducted annually
  – Determines:
    • Trends
    • Actions needing performance improvement
    • Actions to be taken

1.L. Accessibility

Promote accessibility and the removal of barriers

• Organization’s leadership assesses the accessibility needs of the:
  – Person served
  – Personnel
  – Other stakeholders
1.L. Accessibility

- The organization’s leadership implements an ongoing process for identification of barriers in the following areas:
  - Architecture
  - Environment
  - Attitude
  - Finances
  - Employment
  - Communication
  - Technology
  - Transportation
  - Community integration, when appropriate
  - Any other barrier identified by the persons served, personnel, or other stakeholders

- Implements an accessibility plan that:
  - Includes, for all identified barriers:
    - Actions to be taken
    - Time lines
  - Is reviewed at least annually for relevance, including:
    - Progress made in the removal of identified barriers
    - Areas needing improvement
  - Is updated as needed

- Requests for reasonable accommodation are:
  - Identified
  - Reviewed
  - Decided upon
  - Documented
1.M. Performance Management and Measurement

- Organization has a written description of its performance measurement and management system that includes at a minimum:
  - Mission
  - Program/services seeking accreditation
  - Objectives of the programs/services seeking accreditation
  - Personnel responsibilities related to performance measurement and management

- Data collected by the organization include:
  - Financial information
  - Accessibility information
  - Resource allocation
  - Surveys, if applicable
  - Risk management
  - Governance reports, if applicable
  - Human resources activities
  - Technology
  - Health and safety reports
  - Strategic planning information
  - Field trends, including research finding, if applicable
  - Service delivery
1. M. Performance Management and Measurement

- Data collected by the organization:
  - Address the needs of the persons served, needs of other stakeholders, and business needs of the organization
  - Allow for comparative analysis
  - Are used to set written business function and service delivery:
    • Objectives
    • Performance indicators
    • Performance targets

1. M. Performance Management and Measurement

- The organization measures:
  - Business function performance indicators
  - Service delivery performance indicators for each program/service in the following areas:
    • The effectiveness of services
    • The efficiency of services
    • Services access
    • Satisfaction and other feedback from:
      - The persons served
      - Other stakeholders

1. M. Performance Management and Measurement

- Organization collects data about the persons served at:
  - The beginning of services
  - Appropriate intervals during services
  - The end of services
  - Point(s) in time following services
1.M. Performance Management and Measurement

• Organization demonstrates how its data collection system addresses:
  – Reliability
  – Validity
  – Completeness
  – Accuracy

Data Integrity

• Reliable data
  – Staff involved in data collection need to be trained on data collection process and data integrity
  – Inter-rater reliability
  – Proper measurement
  – Study sample must be representative of the total group served

Data Integrity

• Validity matters!

• Age and culturally appropriate measurements
  – Example: Geriatric depression scale

• Using the proper measurement
Data Integrity

- Completeness — What to Look For:
  - Organization has a documented procedure to ensure data are complete
    - All programs are included in analysis
    - All groups are included in analysis
    - Includes all indicators
    - Database is checked for completeness before final analysis
    - Staff are trained on the importance of including all participants in data

Meaningful Objectives

- Direct service interventions
  - Effectiveness of services (i.e., community integration, reduction of symptoms)
  - Efficiency of services (i.e., length of stay, service utilization)
  - Access to services (i.e., waiting time)
- Consumer and stakeholder satisfaction (i.e., satisfaction with service effectiveness, satisfaction with staff)
- Administrative Systems
- Finances/Program cost
- Quality improvement
- Program fidelity
List of Examples

- **Effectiveness of services**
  - Community integration
  - Reduction of symptoms
  - Improvement of physical health
  - Improvement in mental health
  - Reduction in hospitalization
  - Increased confidence
  - Increased functional capability

- **Efficiency of services**
  - Length of stay
  - Service utilization
  - Program Cost

- **Access to services**
  - Waiting time
  - Convenience of locations
  - Follow-up time
  - Referral success

- **Consumer and stakeholder satisfaction**
  - Satisfaction with service effectiveness
  - Satisfaction with staff
  - Satisfaction with facilities, fees, access, efficacy, effectiveness

1.M. Performance Management and Measurement

- For each service delivery performance indicator, the organization determines:
  - To whom the indicator will be applied
  - The person(s) responsible for collecting the data
  - The source from which data will be collected
  - A performance target based on an industry benchmark, the organization’s performance history, or established by the organization or other stakeholder

Walker Grid
1. N. Performance Improvement

- Utilize information gathered to improve clinical and business services
- Develop quality improvement plan

1. N. Performance Improvement

- An annual written performance analysis is completed that analyzes performance indicators in relation to performance targets for:
  - Business functions
  - Service delivery, including:
    - Effectiveness of services
    - Efficiency of services
    - Service access
  - Satisfaction and other feedback from:
    - Persons served
    - Other stakeholders
  - Extenuating or influencing factors

1. N. Performance Improvement

- The analysis:
  - Identifies areas needing performance improvement
  - Results in an action plan to address the improvement needed to reach established or revised performance targets
  - Outlines actions taken or changes made to improve performance
1.N. Performance Improvement

- The analysis of performance indicators is used to:
  - Review implementation of mission and core values of organization
  - Improve the quality of programs and services
  - Facilitate organizational decision making
  - Review or update the organization’s strategic plan

1.N. Performance Improvement

- Accurate performance information is communicated:
  - To persons served, personnel, and other stakeholders
  - According to needs of the specific group, including:
    - Format
    - Content
    - Timeliness

1.N. Performance Improvement

- To consumers, staff, and stakeholders