

Ensuring the Quality of Self-Directed
Supports:
Safety and Risk

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CMS Context

- Risk is the potential for realization of unwanted, adverse consequences to human life, health, property or the environment.
- Categories of risk:
 - Health
 - Behavioral
 - Personal safety

CMS Context (contd.)

- Successful risk management includes three steps:
 - Identify and document risks, develop plans
 - Ongoing monitoring, staff training
 - Analysis of individual risk and risk management strategies

- Goal of risk management system: improve quality of services

Oregon Context: DD waivers

- Support Services (for individuals with DD living on their own or with their family whose annual waiver costs do not exceed \$20,000)
- Comprehensive services (for individuals with DD living in out of home settings or whose in-home annual costs exceed \$20,000)
- Client-Employed Provider Program (for seniors and people with physical disabilities living in their own homes)

Oregon Context: Identifying and responding to risk

DD population

- Revised and enhanced ISP process, including Risk Tracking system (24-hour residential)
- Consumer Survey and Support Services process (CSSS, for Brokerage participants)
- Serious Event Review Team system--- (SERT)

Aging & Physical Disabilities

- CA/PS
- Adult Protective Services reporting

Oregon Quality Assurance Project

“ . . . to improve processes for assuring that three populations served by Seniors and People with Disabilities (SPD) are safe, healthy, and satisfied with in-home supports they receive.”*

HSRI, OTAC, Loki

*from Summary of the Oregon SPD Quality Assurance Project, HSRI, May 2004

Goals of the QA Study

- ❖ Improve DHS' strategies for quality assurance around **health, safety, & consumer satisfaction**
- ❖ Increase consistency and connections among the service systems for **three populations** (seniors, people with physical disabilities, and people with development disabilities)
- ❖ Focus on **in-home supports** – balancing person centered planning and health, safety and risk management

Oregon QA Project activities

- Review of current tools across three populations to determine
 - Existing data elements and tools that might be used to monitor and measure health and safety
 - Identify major data gaps
- Development of quality indicators
- Consumer satisfaction survey
- Emergency and safety planning
- Exploration of potential for greater information integration for CQI

Priorities for Study

- Consumer survey (satisfaction, experiences)
- Personal emergency and safety planning

Consumer survey

- SPD, APD and DD QA committees and QA Stakeholders develop consumer survey questions
- Two Surveys established - APD and DD
- Field testing was completed across three populations, using 3 methods: face-to-face interview, paper-and-pen mail survey, and through the internet

Field Test participation

- Conducted in 5 locations:
 - 2 Brokerages
 - 2 county in-home comprehensive programs
 - 1 senior services program
 - 1 disability services program (same as seniors)
- Number of respondents by survey method and population

	Face-to-Face	Mail Survey	Internet
DD	26	24	1
SPD	23	59	2

Consumer satisfaction survey

17 questions focused on

- support planning
- choices
- friendships
- emergency planning
- health needs
- timeliness of services
- case management support

Results and Recommendations

Survey process:

- Feasible to use face-to-face or mail survey
- Keep an eye on patterns of proxy responses
- Viable to use agency staff or volunteers/self-advocates

Survey questions:

- Needed to make minor wording changes
- Final report of consumer survey task is in process

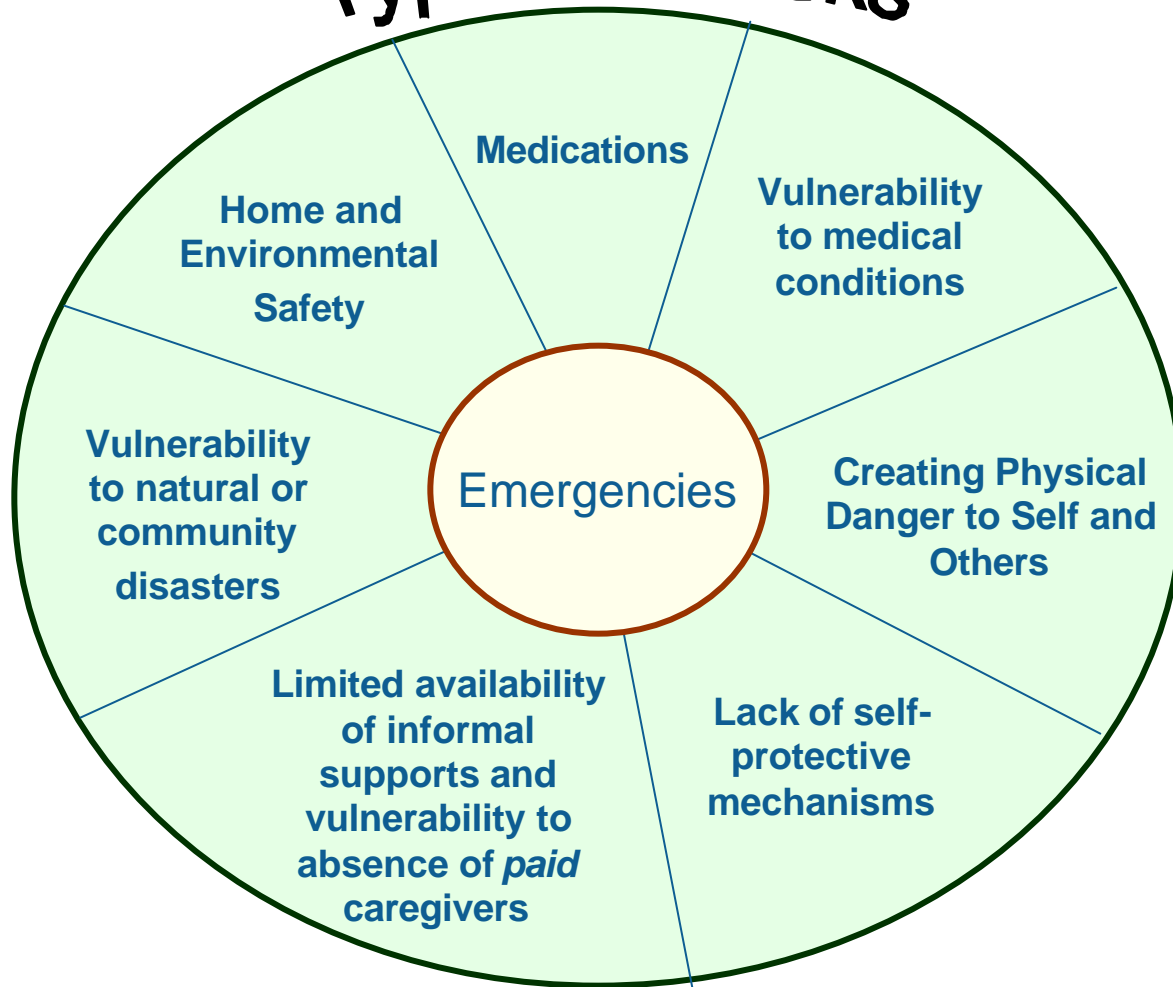
Personal Emergency and Safety Planning (PESP)

- Critical issue for SPD, raised in CMS review and more pressing in light of recent national disasters
- Important to differentiate from overall risk management, which is encompassed in the individualized planning processes : want to flag only those risks that are most likely to lead to emergency (because the system can't respond to everything)

Categories of Emergency Risk

- Medications
- Vulnerability to medical conditions that could lead to hospitalization
- Creating physical danger to self and others
- Lack of self-protective mechanisms (could lead to abuse, exploitation)
- Limited availability of informal supports and vulnerability to absence of paid caregivers
- Vulnerability to natural or community disasters
- Home and Environmental Safety

Types of Risks

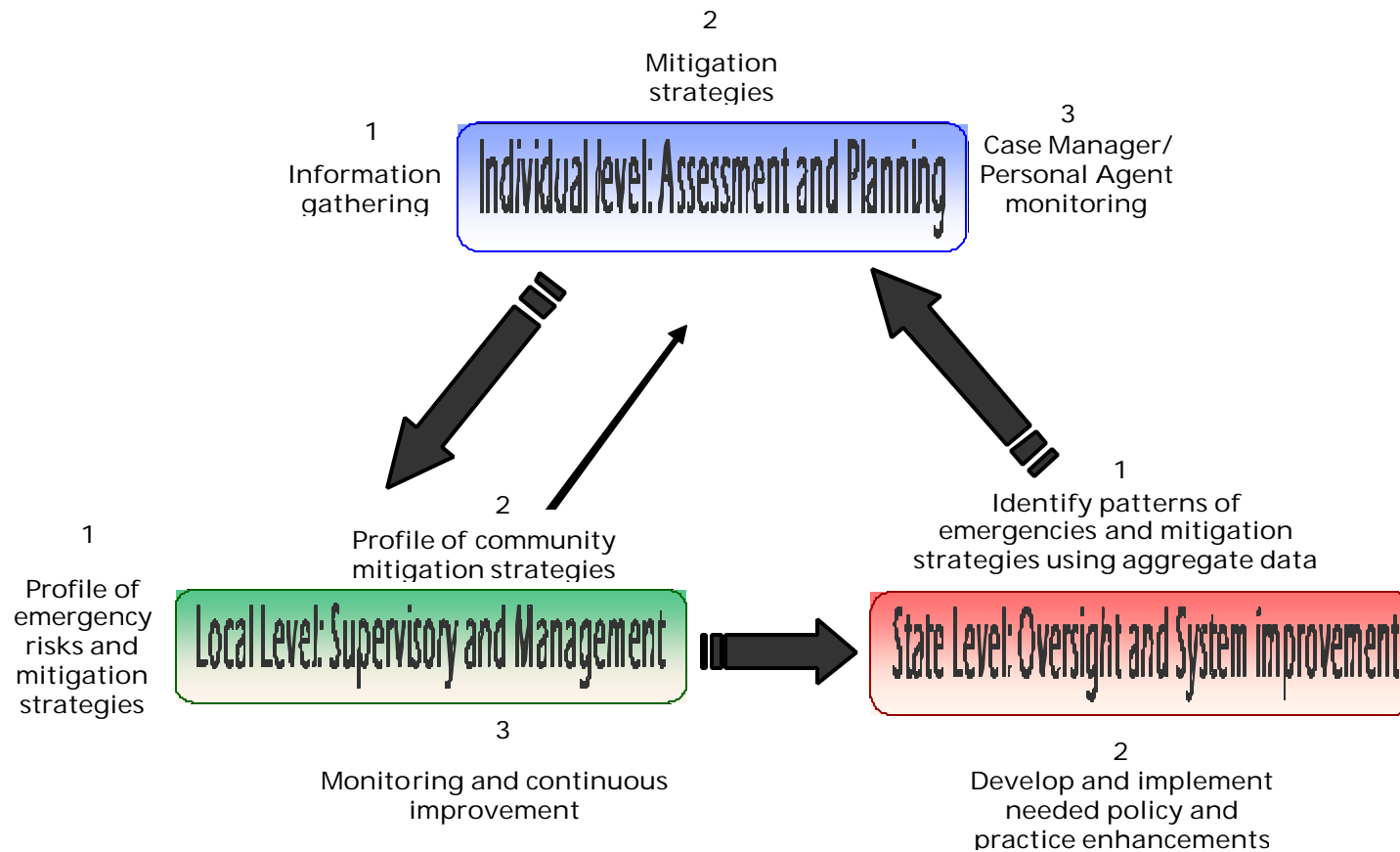


Core Personal Emergency and Safety Planning (PESP) definitions

- Emergency refers to a situation or event that places an individual's health or life in danger and requires immediate action or medical attention to prevent physical harm or hospitalization.
- Personal safety planning refers to what needs to happen *proactively* (i.e., steps that need to be in place to prevent an emergency from happening) to ensure that an individual is healthy and safe, reducing the likelihood of an emergency.
- Personal emergency planning refers to what needs to happen in *reaction* to an emergency situation (i.e., steps individual/others will take during an emergency) to increase individual safety and reduce the likelihood of physical harm or hospitalization

PESP: Ideal Information Flow

Protecting Against Emergencies



PESP: Ideal Information Flow

- *Case level:* need a way for the case manager to consistently gather emergency risk information on individual; build on the existing case planning processes – *guidelines* and *summary profile*.
- *Local agency level:* consolidate individual-level information regarding emergency risk; reviewed by local management to identify highest risk areas and to develop appropriate mitigation strategies; ongoing monitoring of risk factors as part of CQI.
- *State level:* review aggregate information from local agencies, to identify patterns of emergencies and mitigation strategies across the state; potentially lead to policy and regulatory changes to enhance practice.

Summary Profile

- Purpose: to bring together information on the situations/risk factors which are most likely to lead to an emergency for an individual; to document whether there is information regarding these situations/risks being consistently collected; and to identify mechanisms currently in place to address these risks
- To be completed by case manager at initial assessment and periodically as appropriate
- Can be used to: (a) provide staff with quick access to summary information that flags individual risk of encountering an emergency situation; and (b) provide managers/supervisors with a tool for oversight and monitoring of risk strategies and emergency occurrences.

Sample excerpt from draft Profile

RISK AREA 1: Medications

<p>. If this person does not take medications as prescribed or directed, would he/she be in immediate danger of experiencing serious physical harm or hospitalization? If “Yes”, complete this section. If “No”, skip this section.</p>	<input type="checkbox"/> Yes	<input type="checkbox"/> No
<p>. Does he/she need support (e.g., visual or verbal cues, pre-pouring) to take medication(s) as prescribed?</p>	<input type="checkbox"/> Yes	<input type="checkbox"/> No
<p>. Is there a clearly defined plan or procedure to follow if serious side effects or adverse reactions occur? (whether medication is correctly administered or not, e.g. missed a dose, took incorrectly, refused to take)</p>	<input type="checkbox"/> Yes	<input type="checkbox"/> No
<p>. Do individual/caregiver/informal supports know how to respond if any of the above situations occurs?</p>	<input type="checkbox"/> Yes	<input type="checkbox"/> No
<p>. In the past year, has he/she faced a medication-related emergency, leading to hospitalization?</p>	<input type="checkbox"/> Yes	<input type="checkbox"/> No

Accompanying Guidelines for Case Managers

- Provides question prompts, as suggestions for further information needed
- Identifies existing tool and question/topic area where additional information could be entered
- Reinforces the recording of information for emergency and safety planning purposes

Oregon SPD QA project next steps

- Suggested modifications to existing tools, data collection processes, and training
- Field test Personal Emergency and Safety Planning process
- Detailed plan outlining the sustainability and continuity of revised QA tools and processes

Questions

