



Positive Behavioural Support

USER GUIDE

For

**The Evaluation Matrix for Challenging
Behaviour Services**

The PBS Standards Measure for Wales

Practice Leader Competencies in PBS

LDAG Subgroup

**Transforming Care in Wales for People with Learning Disabilities and Challenging Behaviour
March 2018**

Using this Guide

This guide has been designed for assessors who use the Evaluation Matrix for Challenging Behaviour Services, the PBS Standards Wales Measure and the Practice Leader Competencies Assessment.

It contains instructions on how to use all three measures and it includes comprehensive Appendices that provide clear examples of the types of evidence assessors will need to identify in order to complete the scales.

It is important that this Guide is available to all assessors and that they become familiar with its contents.

**This Guide was developed by members of the
All Wales Challenging Behaviour Community of Practice and the LDAG
SubGroup ‘Transforming Care in Wales for People with Learning
Disabilities and Challenging Behaviour’:**

Professor Kathy Lowe, Dr Edwin Jones, Dr Sarah Hawkins, Wendy James, Wendy Williams (ABMU Health Board)
Louise Albert, Nick Haake (National Autistic Society)
Lisa Morgan (Dimensions)
Sharon Donovan (Perthyn)
Rhian Jones, Mark Slater (Drive)
Claire Pritchard (Care Management Group)
Keith Jones (Fieldbay)
Tina Donovan, Richard Tiplady (Newbridges)
Jonathan Crabb (BCU Health Board)
Tina Hawkins (Walsingham)
Simon Clarke, Paul Copp (Elliotshill)
Diane Jones (Community Lives Consortium)
Jim Crowe (Learning Disability Wales)
Gareth Matthews, Claire Dunkerton (Mirus)
Sue Jones, Adrian Roper, Hilary Jones (Cartrefi Cymru)
Debbie Edwards (Carmarthen County Council)
Nicola Watts, Margaret Dixon (Bridgend County Council)

Rebecca Evans AC/AM
Gweinidog Iechyd y Cyhoedd a Gwasanaethau Cymdeithasol
Minister for Social Services and Public Health



Llywodraeth Cymru
Welsh Government

Ein cyf/Our ref RE/05486/16

Professor Ruth Northway and Sophie Hinksman
Co-chairs
Learning Disability Advisory Group

Ruth.northway@southwales.ac.uk
Sophie85hinksman@yahoo.co.uk

12 October 2016

Dear Ruth & Sophie,

Thank you for your letter of 29 September and attachments.

I am pleased to endorse the Positive Behavioural Support Measures and Guidance developed by a sub-group of the Learning Disability Advisory Group (LDAG) with the Challenging Behaviour Community of Practice. My officials will have a separate discussion with you and your colleagues about the publication and distribution of the documents.

I am grateful to the LDAG sub-group and Community of Practice for their work in developing these documents which will improve the care of people with a learning disability and challenging behaviour and help them to achieve their well-being outcomes.

Yours,
Rebecca

Rebecca Evans AC/AM
Gweinidog Iechyd y Cyhoedd a Gwasanaethau Cymdeithasol
Minister for Social Services and Public Health

Bae Caerdydd • Cardiff Bay
Caerdydd • Cardiff
CF99 1NA

Canolfan Cyswllt Cyntaf / First Point of Contact Centre:
0300 0604400
Correspondence.Rebecca.Evans@gov.wales
Gohebiaeth.Rebecca.Evans@llyw.cymru

Rydym yn croesawu derbyn gohebiaeth yn Gymraeg. Byddwn yn ateb gohebiaeth a dderbynnir yn Gymraeg yn Gymraeg ac ni fydd gohebu yn Gymraeg yn arwain at oedi.

We welcome receiving correspondence in Welsh. Any correspondence received in Welsh will be answered in Welsh and corresponding in Welsh will not lead to a delay in responding.

CONTENTS	PAGE
-----------------	-------------

INTRODUCTION	4
STATEMENT OF PRINCIPLE	4
ABOUT THE EVALUATION MATRIX	5
ABOUT THE PBS STANDARDS MEASURE	5
ABOUT THE PRACTICE LEADERS COMEPETNCIES ASSESSMENT	
HOW TO USE THE THREE TOOLS	6

APPENDICES	9
-------------------	----------

1. What a good Functional Assessment should include	10
2. What a good Behavioural Assessment Report should contain	11
3. What a good Positive Behavioural Support (PBS) Plan should contain	12
4. Goodness of Fit Checklist`	13
5. PBS Plan Checklist	14
6. Positive Monitoring	15
7. Periodic Service Review	16
8. The Three-Stage training Model (Verbal, Role Play and In Situ)	17
9. Interactive Training Observation Sheet	18
10. Social Validity Tests: ‘In their Shoes” and “Sainsbury’s”	19
11. Functional Assessment Measures (ABS, ABC, BBAT, FAI, MAS, CAI)	20
12. PCP Thinking Tools	23
13. Benchmarking results – Evaluation Matrix	29

14. Benchmarking results – PBS Standards Measure

35

15. Benchmarking results – Practice Leader Competencies Assessment

NB ANY OTHER APPENDICES NEEDED??

INTRODUCTION

POSITIVE BEHAVIOUR SUPPORT (PBS) is the best current evidence-based practice in supporting people with learning disabilities and challenging behaviour. It is a comprehensive term that covers a wide range of approaches. Its origins are in Normalisation (or Social Role Valorisation), Applied Behaviour Analysis and Person-Centred Planning. PBS can be seen as a toolkit for behaviour change which is based on contemporary service values.

STATEMENT OF PRINCIPLE

Any specialist service for people with learning disability and challenging behaviour also should be underpinned by the following key characteristics of **Positive Behavioural Support (PBS)**:

- It is values led
- It focuses on quality of life gains
- It is inclusive
- It is based on functional analysis
- It has a systems focus
- It emphasises ecological and antecedent intervention
- It is concerned with enhancing competence and teaching new skills
- It is constructional and developmental
- Reduction in challenging behaviour is a side effect of intervention
- It is proactive and enables people to develop more appropriate behaviours
- It has a long-term focus
- It involves multi-component intervention
- It avoids the use of punitive approaches
- It distinguishes between proactive and reactive approaches
- It involves stakeholders

Any service for people with learning disability and challenging behaviour should also:

- contain clear guidelines on service user capacity, consent and decision making, in line with current legal requirements and government policy, in relation to specific assessment and intervention for challenging behaviour, i.e. conducting functional analysis, developing PBS plans and use of reactive strategies, etc.;
- adapt physical environments to the needs of the service users residing in them;
- be integrated within a wider multi-disciplinary system in which service users can access clinical and therapeutic input from specialist health professionals in the Community Support Team (CST) including: psychiatrists, learning disability nurses, clinical psychologists, speech and language therapists, occupational therapists and physiotherapists.

ABOUT THE MEASURES

All three measures were developed in response to stated service need expressed by providers, commissioners and clinicians working to improve the overall quality of service delivery in line with Positive Behavioural Support (PBS) as the most effective, evidence-based, contemporary best practice. They were developed, piloted, refined and benchmarked between 2007 and 2017. This pack of measures and supporting documents represents the final version, authored by members of the All Wales Community of Practice and the Learning Disability Advisory Group, and endorsed by the Welsh Government.

The measures are complementary to one another but all three can be used independently. Each of has an accompanying Evidence Template to facilitate gathering the necessary documentation. This separate User Guide supports the administration of all three measures. This Guide also includes a substantial set of Appendices which give detailed examples of good practice related to the measures. Assessors need to refer to these Appendices to ensure consistent interpretation of evidence,

The measures have been designed as service development tools, in that each generates an overall rating or score as well as an action plan to highlight specific areas for further improvement. Repeated administrations can help to track and demonstrate where improvements have been achieved. A brief description of each measure is given below, followed by guidance that applies to all three measures.

Evaluation Matrix

The Evaluation Matrix was designed for individual service settings to assess the extent to which they have the necessary infrastructure to be able to deliver high quality Positive Behaviour Support. It measures capacity not performance: that is, high quality infrastructure does not guarantee high quality provision. It may be used by commissioners to assess the potential suitability of services prior to purchase, and by providers for self-evaluation and service development.

The Matrix focuses exclusively on 5 sets of standards for services for people with learning disabilities and challenging behaviour, that is: standards that are over and above the requirements for non-specialist services. Therefore, to avoid duplication with other monitoring or inspection systems, aspects to do with generic service quality are not included as it is assumed that the service being assessed meets the National Minimum Standards for Domiciliary Care Agencies in Wales: these standards are referred to briefly where relevant under each of the Matrix headings. **If the service does not fully meet the minimum standards, then that section of the Matrix should not be scored.**

It is also assumed that the service being assessed upholds the following values that underpin good quality, contemporary learning disability services:

- The setting has a clear statement on its values base, making direct reference to Normalisation or Social Role Valorisation (SRV), or O'Brien's Service Accomplishments (Community presence, Competence, Choice, Participation, and Respect).
- The Values statement indicates a person-centred, proactive focus, promotion of self-advocacy, citizen advocacy, and access to mainstream services.
- The values base is a main focus of staff orientation & induction to service.

THE PBS Standards Measure

Following the successful implementation of the Evaluation Matrix, the need for a complementary tool that assesses the quality of service delivery to individuals was identified by providers. This led to the

PBS Standards Measure which is designed to be administered for individual service users. It comprises a set of 14 PBS Standards that are mapped directly to the nine Wellbeing Outcomes in the National Outcomes Framework 2014. All items are rated on the basis of clear evidence and scored on a four-point scale. The higher the score, the higher the quality of PBS. Benchmark scores for this measure are provided in the Appendix for reference.

Practice Leader Competencies

A key factor in providing high quality provision is Practice Leadership. This measure focuses on the Competencies required to achieve the outcomes outlined in the PBS Standards of Wales measure. There are 15 competencies, 14 of which are mapped against the PBS Standards. Again, all are rated on the basis of evidence and scored on a four-point scale.

A key purpose of this measure is to aid the development of practice leaders within an organisation. Used in this way, administration of the measure doesn't have to be rigid, but can be a more organic process integrated with management or clinical supervision. Observations can be naturalistic so the assessor can gain a realistic perspective of practice in-situ. There is no set time scale for completion of the measure as some evidence may take a while to collect and may not be an everyday occurrence. The measure is also flexible and can be used in parts only to reflect the style or requirements of the service provided.

A key requirement is for the assessor to be confident and competent in practice so they can act as Practice Leader/Coach/Mentor for the Practice leader in training. The assessor should discuss the evidence and scoring with the practice lead being assessed for each section, and give positive and constructive feedback. Peer review using this measure may also be a positive way to support development.

This measure can be complementary to other management training and assessment. Duplication with generic management skills has been avoided where possible so that the focus of this tool is on the competencies required to manage and lead the PBS approach.

HOW TO USE THE THREE TOOLS

Who should administer the Tools?

Assessors need to have a detailed knowledge of PBS, ideally in terms of clinical intervention, direct support or management. Suitable assessors are those who have a considerable amount of experience in PBS and/or hold a specialist PBS qualification, such as:

- the BTEC Professional Diploma/Certificate in Positive Behavioural Support (Level 4 or 5) or similar
- the Post Graduate Diploma in Positive Approaches to Challenging Behaviour (Cardiff University/University of Wales College of Medicine) or similar

Ideally, the assessor should be external to the setting being assessed. However, even if employed within the same organisation, the assessor should not normally be assessing their own place of work or a staff member they have direct management responsibility for. However, the Practice Leader Competencies Assessment may be used by line managers as a developmental tool for staff in training as Practice Leaders.

How many assessors should there be?

One assessor per setting is acceptable, providing they have access to the necessary information. However, when used internally, it is best for more than one person to complete the assessment, to avoid bias. Some organisations find it helpful to have one external and one internal assessor working together: this has the benefit of providing an objective perspective as well as facilitating access to the necessary evidence.

What documents are included in this suite of tools?

1. This User Guide – that describes the background and structure of the tools, outlines how to use them and provides an explanation of some of the key terms and processes in a series of Appendices, to which assessors should refer to ensure consistency in interpretation.
2. The Evaluation Matrix – for assessing one service setting. This contains a set of standards in 5 separate domains, a Score Sheet, Summary of Findings, a section where descriptions of the setting being assessed and the assessor can be recorded, and an Action Plan.
3. The PBS Standards Measure – for assessing service delivery to one individual. This contains a series of Performance Indicators under fourteen Standards that are mapped to the Health and Social Care Wellbeing Outcomes, a Score Sheet and an Action Plan.
4. The Practice Leader Competencies Assessment – for assessing one Practice Leader. This contains a series of Performance Criteria under fifteen Standards, fourteen of which are also mapped to the Health and Social Care Wellbeing Outcomes, a Score Sheet and an Action Plan.
5. Three Evidence Templates [one for each tool] - for assessors' use in collecting and tracking evidence, and keeping notes.

How to gather and rate the evidence

Assessors should gather information from a variety of sources, including staff at different levels. This is because different parts of any organisation are likely to represent different perspectives. For example, senior managers may be aware of certain key policies, while direct care staff, who hold responsible for implementing them, may not, thereby questioning the value of these policies. Broadening the sources of information is likely to provide a richer and more considered picture.

EACH STANDARD MUST BE RATED ON THE BASIS OF EVIDENCE. The type of evidence required is noted in each section: this can include documents or records, direct contact with staff to find out their views or understanding of particular issues, and direct observation of practice. Service settings may find it useful to use the templates to compile files of evidence for the different sections: these can then be updated on an ongoing basis to aid internal or external evaluation.

Assessors need to consider the evidence carefully and objectively and also need to keep a clear record of what evidence was used to arrive at each rating. Space is provided on the Score Sheet for assessors to give a brief account of how the evidence was gathered.

In brief, the steps are:

1. Work through the Evidence Template, collecting the relevant evidence indicated for each standard.
2. Pay attention to the type of evidence to look for.
3. Refer to the Appendix in this User Guide for sample documents and descriptions of specialist processes to help identify the correct evidence.

4. File or carefully reference the evidence in the relevant section in the Evidence template.
5. Once all the evidence is collected, the measure itself can be completed.
6. Systematically compare the evidence against each of the standards in all five sections of the Matrix or fourteen PBS standards or fifteen PL Competencies, as appropriate.
7. Make sure the evidence is valid – i.e. documents, records or direct feedback from staff assessors have talked to (not third party reports).
8. Check that the evidence matches the types of evidence suggested in the measures.
9. Use the check boxes/ratings to keep a clear record of which standards are met/and to what degree.
10. Based on the available evidence, rate each section on the Score Sheet and make a brief note of the supporting evidence used to arrive at that rating.

Note: In the Evaluation Matrix, the rating hierarchy of GOOD, VERY GOOD, and EXCELLENT is cumulative:

- To be rated **GOOD**, the service must achieve fully ALL the standards in the GOOD column for that section.
- To be rated **VERY GOOD**, the service must achieve fully ALL the standards in the GOOD column plus ALL the standards in the VERY GOOD column for that section.
- To be rated **EXCELLENT**, the service must achieve fully ALL the standards in the GOOD and VERY GOOD columns plus ALL the standards in the EXCELLENT column for that section.

NB. It is likely that many services will achieve a mixture of GOOD, VERY GOOD and, possibly, even some EXCELLENT ratings in some sections. However, it is important that the above conventions are adhered to for the overall rating.

If any service does not achieve all the GOOD standards in a section, then that section must not be rated. If a service achieves all the GOOD standards, with some VERY GOOD, that section should be rated GOOD, even if some of the EXCELLENT standards are attained, and so on.

NB. The PBS Standards measure and the Practice Leader Competencies Assessment include no overall rating for each standard, requiring only total and percentage scores, plus an overall score for the whole measure.

What the ratings mean

This Matrix is designed to assess a service's capacity to provide specialist challenging behaviour support, by considering its organisational structures and systems. The Matrix does not aim to reflect actual outcomes.

It is important to emphasise that none of the ratings reflects a poor quality service. Only those characteristics associated with good quality support for people with learning disabilities and challenging behaviour have been included. Therefore, for a setting to rate at all on this Matrix means that it possesses some of the aspects of current best practice.

Comparison with the general standard of services currently being provided for people with challenging behaviour is important for meaningful interpretation of results. The benchmarking analysis undertaken in 2013 revealed the percentage of settings currently meeting each standard. These results are given in Appendix 10, while the following descriptors are given as a general guide:

- **GOOD:** This represents a good quality of service for people with challenging behaviour. It demonstrates an understanding of the complexity of support required and shows that the service has put much effort into developing a comprehensive approach to training, assessment, staff and service user support. **A GOOD rating on all domains would indicate a sound, reliable service for people with challenging behaviour.**

- **VERY GOOD:** This rating shows that the service is above average in its achievement of standards related to challenging behaviour. It demonstrates a more sophisticated understanding of current issues to do with specialist challenging behaviour services and an awareness of best practice concerns. **Few services are likely to rate at the VERY GOOD level on all aspects.**
- **EXCELLENT:** This rating shows that the service is of an exemplary standard. For each domain, an EXCELLENT rating demonstrates the highest level awareness of evidence-based practice, with complex and advanced systems in place to sustain this level of achievement. **Few services are likely to attain an EXCELLENT rating on any of the domains.**

The scores on the PBS Standards Measure and the Practice Leader Competencies can be compared with the benchmarked scores provided in this User GUIDE. It is important to note that both these measures also represent aspirational standards and so top scores should not be expected at this stage of service development.

The Measures as Developmental Tools

One of the key functions of these measures is to act as a developmental tool to promote service improvement. At the end of each tool there is space for assessors to summarise their findings and list recommendations. These can form the basis of an Action Plan for future development. The measures can then be re-administered after a suitable time period to assess whether any improvement plan has achieved its aims.

NB. It is important to keep in mind that the Evaluation Matrix is intended to assess the capacity of a service to provide high quality support for people with challenging behaviour. It is not designed to assess actual service user outcomes. Even if a service is rated EXCELLENT on most standards, it may not support every person with challenging behaviour successfully. Other issues, such as compatibility, may be key factors. Assessors need to keep this issue in mind at all times when assessing the service: the ratings are based on organisations structures and systems, and not on individual outcomes.

In contrast to this the PBS Standards Measure is designed for administration with individual service users, and focuses on actual outcomes achieved. In order to judge the success of a service setting, all or a representative sample of service users should be assessed.

