



**CARF**  
**Survey Report**  
**for**  
**Clausen House,**  
**Incorporated**

**Organization**

Clausen House, Incorporated  
88 Vernon Street  
Oakland, CA 94610

**Organizational Leadership**

Nan Butterworth, Executive Director  
Mary Frankel, SE Program Director

**Survey Dates**

February 10-11, 2011

**Survey Team**

William Sandonato, M.R.A., Administrative Surveyor  
Curtis E. Tatum, Program Surveyor

**Programs/Services Surveyed**

Employment Services: Community Employment Services: Job Development  
Employment Services: Community Employment Services: Job Supports  
Employment Services: Community Employment Services: Job-Site Training  
Employment Services: Employment Planning Services

**Previous Survey**

February 21-22, 2008  
Three-Year Accreditation

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**Survey Outcome**

**Three-Year Accreditation**  
**Expiration: March 2014**

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# SURVEY SUMMARY

## **Clausen House, Incorporated has strengths in many areas.**

- The board of directors is comprised of an active and involved group of community leaders that clearly understand and support the purpose of the organization and their fiduciary and governance roles.
- The executive director has a long and distinguished tenure with the organization and appears to provide effective, mission-driven leadership. She appears to have the respect of the staff members, the board of directors, and other stakeholders. She is accessible, involved in the community, and is a strong advocate for persons served.
- The leadership team is experienced, dedicated, and committed to the needs of the persons served by the organization; supportive of growth; and appears to work well as a cohesive, mission-focused team.
- It is evident that the staff members of Clausen House are hardworking and professional. They are dedicated, responsive, and engaged in the work they do to improve the quality of life for persons served.
- The board and leadership are acknowledged for the thoroughness of the process utilized in developing the recently completed organizational strategic plan. Many stakeholders were involved, and input was obtained from a variety of sources and through varied methodologies. It is noted that the diversification of funding through new resources, such as social enterprise, is prominently recognized as an organizational goal.
- For a relatively small organization, Clausen House is acknowledged for its utilization of technology to support business and service delivery. The technology plan is thoughtful and comprehensive.
- The organization has developed a very attractive and informative website that promotes a positive image related to the organization and the persons served.
- The organization understands the importance of advocacy, as demonstrated during the survey visit by a group of persons served from the organization being at the state capitol meeting with their representatives.
- Leadership is complimented for appearing to maintain a stable financial position in a difficult economy and despite years of budget crises in California. This is in no small part due to the high quality of services provided and the organization's demonstrated value to the funders/referral sources.
- The administrative and business functions are effectively performed despite reductions in staff due to funding decreases. Notwithstanding being stretched beyond what may be considered reasonable, the dedication to mission prevails.
- The importance of fundraising is recognized by the organization and continues to be a significant revenue stream. Development is multifaceted and includes special events, annual and planned giving, and seeking grants.

- Human resource management is highly evolved and a definite strength and enhancement to organizational quality.
- Clausen House treats all persons served with respect and dignity. Persons served express that they are extremely pleased with the services they are receiving.
- The organization has a very strong relationship with its Regional Center and other stakeholders in the community.
- Clausen House has uniform and easy to follow case files that are consistently updated and organized.
- The longevity and consistency of staff members providing job coaching is recognized. Staff members have a genuine interest in helping persons served become as independent and self-sufficient as possible. Persons served work in a variety of jobs.

**In the following area Clausen House demonstrates exemplary conformance to the standards.**

- One of the ways that Clausen House demonstrates its commitment to safety is by annually scheduling a Disaster Preparedness Week. During this week, persons served and personnel participate in various events and activities to increase their knowledge related to emergency preparedness. Engaging and interesting presentations by outside speakers are included in the week-long event, and all activities are documented. Setting aside this designated time reinforces the strong message regarding the organization's commitment to the safety and well-being of everyone involved in its programs and services.

**Clausen House should seek improvement in the areas identified by the recommendations in the report. Consultation given does not indicate nonconformance to standards but is offered as a suggestion for further quality improvement.**

On balance, Clausen House has made a commitment to conform to the CARF standards and provides effective services. The leadership and the staff members are acknowledged for their efforts on behalf of the persons served. They continue to offer quality services despite the pervasive cuts in public funding and uncertain financial times. The organization offers a wide array of residential and activity programs, in addition to its employment programs, that meet a wide variety of needs of persons served. The organization has a long and distinguished history of service to the community and is valued as a community resource. Clausen House has evolved to meet changing needs, is well positioned for continued growth and diversification, and yet has been successful in maintaining a familylike atmosphere. The organization is urged to address the opportunities for improvement noted in this report. The leadership and staff members are complimented for the positive attitude with which they prepared for and participated in the survey. Their receptivity to the consultation and recommendations that were offered instills confidence that the organization will use the results of this survey to further improve organizational and service quality.

Clausen House, Incorporated has earned a Three-Year Accreditation. The organization should be very proud of the very high quality of services provided to the persons served. It is obvious that the staff members are dedicated to the mission of the organization. The organization is encouraged to continue to use the CARF standards for quality improvement.

# SECTION 1. ASPIRE TO EXCELLENCE®

## A. Leadership

### Principle Statement

CARF-accredited organizations identify leadership that embraces the values of accountability and responsibility to the individual organization's stated mission. The leadership demonstrates corporate social responsibility.

### Key Areas Addressed

- Leadership structure
  - Leadership guidance
  - Commitment to diversity
  - Corporate responsibility
  - Corporate compliance
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### Recommendations

#### A.6.a.

#### A.6.b.

Although corporate compliance is woven into many policies, procedures, and practices, it is recommended that a policy on corporate compliance be adopted by the organization's leadership, including a formal resolution or other document that authorizes establishment of the compliance program and written designation of a staff member to serve as the organization's primary point of contact for monitoring and reporting on matters pertaining to corporate compliance.

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## C. Strategic Integrated Planning

### Principle Statement

CARF-accredited organizations establish a foundation for success through strategic planning focused on taking advantage of strengths and opportunities and addressing weaknesses and threats.

## Key Areas Addressed

- Strategic planning considers stakeholder expectations and environmental impacts
  - Written strategic plan sets goals
  - Plan is implemented, shared, and kept relevant
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## Recommendations

There are no recommendations in this area.

## Consultation

- The organization has just completed a comprehensive process leading to the development of a thoughtful and dynamic strategic plan. It is suggested that the leadership develop time lines for each objective to increase measurability. This process could also be enhanced by developing time-defined substrategies for the established objectives.
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## D. Input from Persons Served and Other Stakeholders

### Principle Statement

CARF-accredited organizations continually focus on the expectations of the persons served and other stakeholders. The standards in this subsection direct the organization's focus to soliciting, collecting, analyzing, and using input from all stakeholders to create services that meet or exceed the expectations of the persons served, the community, and other stakeholders.

### Key Areas Addressed

- Ongoing collection of information from a variety of sources
  - Analysis and integration into business practices
  - Leadership response to information collected
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## Recommendations

There are no recommendations in this area.

## Consultation

- It is suggested that the organization consider revising its participant satisfaction survey to utilize cognitively appropriate formats to enable the persons served to express their own thoughts about satisfaction. The methodology could involve a format with smiling and frowning representations at the high and low ends of a Likert scale, which may help with more accurate responses.

- The programs surveyed are at the size where anecdotal data appears the most valued way of receiving input. Anticipating future growth, the organization may want to look at other ways of obtaining input from stakeholders, such as telephone interviews, informal meetings, and/or methodologies such as focus groups.
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## **E. Legal Requirements**

### **Principle Statement**

CARF-accredited organizations comply with all legal and regulatory requirements.

### **Key Areas Addressed**

- Compliance with all legal/regulatory requirements
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### **Recommendations**

There are no recommendations in this area.

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## **F. Financial Planning and Management**

### **Principle Statement**

CARF-accredited organizations strive to be financially responsible and solvent, conducting fiscal management in a manner that supports their mission, values, and annual performance objectives. Fiscal practices adhere to established accounting principles and business practices. Fiscal management covers daily operational cost management and incorporates plans for long-term solvency.

### **Key Areas Addressed**

- Budget(s) prepared, shared, and reflective of strategic planning
- Financial results reported/compared to budgeted performance
- Organization review
- Fiscal policies and procedures
- Review of service billing records and fee structure
- Financial review/audit
- Safeguarding funds of persons served

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## **Recommendations**

### **F.2.c.(2)**

In light of the continued fiscal crisis in California and its high level of dependency on public funds, the organization has chosen to present budgets for approval by the board in January, one month after the start of its fiscal year. In the interim, the organization operates utilizing a reasonable estimated budget. Although this appears to be reasonable and practical for Clausen House, it is recommended that the organization strive for approval of the budget by the board of directors prior to the end of the previous fiscal year.

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## **G. Risk Management**

### **Principle Statement**

CARF-accredited organizations engage in a coordinated set of activities designed to control threats to their people, property, income, goodwill, and ability to accomplish goals.

### **Key Areas Addressed**

- Identification of loss exposures
  - Development of risk management plan
  - Adequate insurance coverage
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## **Recommendations**

### **G.1.a. through G.1.g.**

Clausen House leadership is aware of its risks facing the organization and is committed to managing them. However, the organization has not yet developed a cohesive plan that identifies risks that are specific and timely to its current operational and programmatic realities in addition to those more global risks. It is recommended that the organization have a risk management plan that includes identification of loss exposures, evaluation and analysis of loss exposures, identification of how to rectify identified exposures, implementation of actions to reduce risk, monitoring of actions to reduce risk, reporting results of actions taken to reduce risks, and inclusion of risk reduction in performance improvement activities. The organization could consider providing this analysis in a matrix format for ease of development and monitoring.

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## **H. Health and Safety**

### **Principle Statement**

CARF-accredited organizations maintain healthy, safe, and clean environments that support quality services and minimize risk of harm to persons served, personnel, and other stakeholders.

## Key Areas Addressed

- Inspections
  - Emergency procedures
  - Access to emergency first aid
  - Competency of personnel in safety procedures
  - Reporting/reviewing critical incidents
  - Infection control
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## Recommendations

### H.7.d.(11)

### H.7.d.(13)

The organization's policies and written procedures regarding critical incidents should be expanded to address the unauthorized use or possession of licit or illicit substances as well as suicide or attempted suicide.

### H.8.a. through H.8.b.(6)

A written analysis of all critical incidents identified should be conducted by or provided to the leadership, at least annually, that addresses causes, trends, actions for improvement, results of performance improvement plans, necessary education and training of personnel, and prevention of recurrence. This is currently done informally and could be elevated to a written analysis even if the analysis shows there are no patterns or trends.

### H.10.j.

### H.10.k.

In the programs seeking accreditation, the amount of transportation of persons served in personal vehicles of staff members is limited. However, as it does occur, the organization should ensure that road warning/hazard equipment and a communication device, such as a mobile phone, are carried in the vehicle when a person served is being transported. In the case of the employment specialist who could most likely be transporting, these could be provided by the organization. For incidental use, a backpack containing a first aid kit, triangles, and other appropriate supplies could be stored at the Grand Avenue location and signed out when needed. Although personal cellular phones are in the possession of the majority of, if not all, staff members who could be involved in transporting persons served, to ensure that a device is always present, the organization could establish appropriate policy indicating that communication devices will be required by any staff member who is transporting a person who is receiving services from the organization and that a mobile phone also be available for sign out.

### **H.13.a. through H.13.e.**

The organization should conduct unannounced tests of all emergency procedures at least once a year on each shift. Tests should include actual or simulated physical evacuations, when included in the procedures. Tests should be in writing, analyzed for performance improvement, and result in improvement of or affirm satisfactory current practice. Desktop drills and/or simulations appear to be a good addition to the activities included in Clausen House's annual Disaster Preparedness Week.

### **Exemplary Conformance**

#### **H.4.b.(3)**

One of the ways that Clausen House demonstrates its commitment to safety is by annually scheduling a Disaster Preparedness Week. During this week, persons served and personnel participate in various events and activities to increase their knowledge related to emergency preparedness. Engaging and interesting presentations by outside speakers are included in the week-long event, and all activities are documented. Setting aside this designated time reinforces the strong message regarding the organization's commitment to the safety and well-being of everyone involved in its programs and services.

### **Consultation**

- There is ample evidence of health and safety inspections being conducted by qualified external authorities at least annually. It is suggested that a more consistent practice be developed by having the risk manager of the organization's insurance carrier conduct comprehensive safety inspections on an annual basis.
  - The new form that has been developed for internal health and safety inspections does not have a place to indicate that identified actions have been completed. The organization could consider adding columns to the form indicating who is responsible for the action and dating its completion to facilitate tracking of those actions by the safety committee.
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## **I. Human Resources**

### **Principle Statement**

CARF-accredited organizations demonstrate that they value their human resources. It should be evident that personnel are involved and engaged in the success of the organization and the persons they serve.

### **Key Areas Addressed**

- Adequate staffing
- Verification of background/credentials
- Recruitment/retention efforts

- Personnel skills/characteristics
  - Annual review of job descriptions/performance
  - Policies regarding students/volunteers, if applicable
- 

### **Recommendations**

There are no recommendations in this area.

### **Consultation**

- The executive director annually provides the board with a report on the status of objectives and operations. Although there is evidence that the board is engaged in evaluating her performance, there is some inconsistency in terms of performing this function annually. The board is encouraged to achieve greater consistency in meeting this important governance function.
  - The organization is encouraged to continue to develop relationships with local colleges and universities and utilize them as a resource. This could include practicum and internships in related disciplines and opportunities for class and individual projects to meet some identified administrative needs. An example might be a project researching viable social enterprises.
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## **J. Technology**

### **Principle Statement**

CARF-accredited organizations plan for the use of technology to support and advance effective and efficient service and business practices.

### **Key Areas Addressed**

- Written technology and system plan
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### **Recommendations**

There are no recommendations in this area.

### **Consultation**

- Clausen House has developed an excellent website. A further enhancement is encouraged to review the website to maximize accessibility for persons with disabilities that could be accommodated by reasonable technology solutions. Features such as the ability to enlarge print could be helpful.
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## **K. Rights of Persons Served**

### **Principle Statement**

CARF-accredited organizations protect and promote the rights of all persons served. This commitment guides the delivery of services and ongoing interactions with the persons served.

### **Key Areas Addressed**

- Communication of rights
  - Policies that promote rights
  - Complaint, grievance, and appeals policy
  - Annual review of complaints
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### **Recommendations**

There are no recommendations in this area.

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## **L. Accessibility**

### **Principle Statement**

CARF-accredited organizations promote accessibility and the removal of barriers for the persons served and other stakeholders.

### **Key Areas Addressed**

- Written accessibility plan(s)
  - Status report regarding removal of identified barriers
  - Requests for reasonable accommodations
- 

### **Recommendations**

#### **L.2.b.**

#### **L.2.c.**

The accessibility plan is a narrative regarding broad topics within each of the areas of consideration. The accessibility plan should identify time lines for removal of identified barriers and actions for removal of identified barriers. Future accessibility plans could also be more specific in identifying barriers to be addressed.

### **L.3.c.(1)**

### **L.3.c.(2)**

The annual accessibility plan status report is a generic narrative related to the broad topics identified in the plan. The organization's annual written status report about the removal of barriers should include the progress made in the removal of identified barriers and the areas for improvement. If the plan is developed in a matrix format, the progress section could be included as two additional boxes and therefore include the plan and the progress report.

### **Consultation**

- The organization may want to consider periodically engaging an external resource, such as a local Center for Independent Living (CIL) and persons with varying disabilities in accessibility and safety inspections of its offices and homes. In addition, written accessibility guidelines, such as the ADA checklist, could be periodically downloaded from the Internet and utilized. Persons served and staff members could be encouraged to express those accommodations that may improve accessibility that are over and above what might be included in formal surveys.
  - The organization makes a conscious and proactive effort to address requests for reasonable accommodation. It is suggested that these identified requests be listed in some sort of log or in a format that aggregates them so that they can be reviewed.
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## **M. Information Measurement and Management**

### **Principle Statement**

CARF-accredited organizations are committed to continually improving their organizations and service delivery to the persons served. Data are collected and information is used to manage and improve service delivery.

### **Key Areas Addressed**

- Information collection, use, and management
  - Setting and measuring performance indicators
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### **Recommendations**

#### **M.4.c.(3) through M.4.c.(4)(b)**

For service delivery improvement, the data collection system should measure for indicators regarding service access and satisfaction and feedback from the persons served and other stakeholders for the employment services program. Service access could include setting objectives related to new referrals.

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## **N. Performance Improvement**

### **Principle Statement**

The dynamic nature of continuous improvement in a CARF-accredited organization sets it apart from other organizations providing similar services. CARF-accredited organizations share and provide the persons served and other interested stakeholders with ongoing information about their actual performance as a business entity and their ability to achieve optimal outcomes for the persons served through their programs and services.

### **Key Areas Addressed**

- Proactive performance improvement
  - Performance information shared with all stakeholders
- 

### **Recommendations**

There are no recommendations in this area.

### **Consultation**

- Clausen House has recently added employment planning services to the programs for which it is seeking accreditation. The organization is encouraged to establish separate measures and objectives for this program.
  - As performance information is gathered, the organization is encouraged to look at additional methodologies for sharing that information with persons served and other stakeholders. A chart or poster, an inexpensive in-house produced annual report with bulleted highlights, charts, and success stories could be considered. These could also be included on the organization's website.
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## **SECTION 2. QUALITY INDIVIDUALIZED SERVICES AND SUPPORTS**

### **A. Program/Service Structure**

#### **Principle Statement**

A fundamental responsibility of the organization is to provide a comprehensive program structure. The staffing is designed to maximize opportunities for the persons served to obtain and participate in the services provided.

## **Key Areas Addressed**

- Services are person-centered and individualized
  - Persons are given information about the organization's purposes and ability to address desired outcomes
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## **Recommendations**

There are no recommendations in this area.

## **Consultation**

- It is suggested that Clausen House develop a formal method of documenting meeting announcements for upcoming individual habilitation service planning meetings. This could be accomplished by developing a form letter or by sending an e-mail to all participants of the person's planning team.
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## **B. Individual-Centered Service Planning, Design, and Delivery**

### **Principle Statement**

Improvement of the quality of an individual's services/supports requires a focus on the person and/or family served and their identified strengths, abilities, needs, and preferences. The organization's services are designed around the identified needs and desires of the persons served, are responsive to their expectations, and are relevant to their maximum participation in the environments of their choice.

The person served participates in decision making, directing, and planning that affects his or her life. Efforts to include the person served in the direction or delivery of those services/ supports are evident. The service environment reflects identified cultural needs, practices, and diversity. The person served is given information about the purposes of the organization.

### **Key Areas Addressed**

- Complete, confidential records are maintained
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### **Recommendations**

There are no recommendations in this area.

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## D. Employment Services Principle Standards

### Principle Statement

The standards in this subsection assert basic principles that should be demonstrated by any organization seeking accreditation in the area of employment services.

### Key Areas Addressed

- Goals of the persons served
  - Personnel needs of local employers
  - Community resources available
  - Economic trends in the local employment sector
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### Recommendations

There are no recommendations in this area.

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## SECTION 3. EMPLOYMENT SERVICES

### Principle Statement

An organization is free to choose which of its services it will seek to have accredited, but when a service has been selected, all locations at which the service is provided must be included in the survey. CARF will not accredit only a portion of a program or service. CARF does not consider the funding or referral entities or the populations served as differentiating a service so as to exclude portions of it from being included in the survey.

If the geographical service area is extensive, however, CARF may choose to impose geographical limitations on the extent of a single survey in order to ensure that the most meaningful survey will be conducted.

Each organization is encouraged to submit all applicable services and supports for accreditation in order to be identified as a quality organization by potential recipients of services and to facilitate funding arrangements. All accredited programs and services and organizational contact information are identified on the CARF website ([www.carf.org](http://www.carf.org)) to assist persons in connecting to your quality services and supports.

## C. Employment Planning Services

### Principle Statement

Employment planning services are designed to assist a person seeking employment to learn about employment opportunities within the community and to make informed decisions. Employment planning services are individualized to assist a person to choose employment outcomes and/or career development opportunities based on his or her preferences, strengths, abilities, and needs.

Employment planning uses some type of employment exploration model. This may involve one or more of the following:

- Situational assessments
- Paid work trials
- Job tryouts (may be individual, crew, enclave, cluster, etc.)
- Job shadowing
- Simulated job sites
- Staffing agencies/temporary employment agencies
- Volunteer opportunities
- Transitional employment

### Key Areas Addressed

- Employment opportunities within the community
- Informed decision making by participants
- Referrals to services to implement employment plan

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### Recommendations

There are no recommendations in this area.

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# I. Community Employment Services

## Principle Statement

### Job Development

Successful job development concurrently uses assessment information about the person seeking employment to target the types of jobs available from potential employers in the local labor market. Typical job development activities include reviewing local employment opportunities and developing potential employers/customers through direct and indirect promotional strategies. Job development may include facilitating a hiring agreement between an employer and a person seeking employment. Some persons seeking employment may want assistance at only a basic, informational level such as self-directed job search.

### Job-Site Training

Job-site training services vary according to the needs of the new employee and the complexity of the job. Training can include assisting the employee with performance on the new job task and helping the person to understand the job culture, industry practices, and work behaviors expected by the employer. It may also include training the employer and coworkers to understand the training methods and accommodations needed by the worker. Job-site training is intensive for the initial orientation of an employee to the job tasks. Job-site training may consist of customizing the job to meet the needs of the new employee and employer, task analysis, counseling, and supports with the intent of leading to natural supports and/or reduced external job coaching. These services are typically not long-term, ceasing after the individual has become stabilized on the job.

### Job Supports

Ongoing job support services are activities that are employment-related and needed to promote job adjustment, retention, and advancement. These services are based on the individual needs of the employee with focus on long-term retention of the person in the job after the initial training period.

Routine follow-up with the employer and the employee is crucial to continued job success. Supports are a critical element of the long-term effectiveness of community employment. Support services address issues such as a decrease in productivity of the person served, assistance in training a person to complete new tasks, changes in work schedule or work promotion, adjusting to new supervisors, and managing changes in nonwork environments or other critical life activities that may affect work performance.

### Key Areas Addressed

- Integrated employment choice
- Integrated employment obtainment
- Integrated employment retention

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### Recommendations

There are no recommendations in this area.

## Consultation

- The organization is encouraged to continue striving toward the development of a business advisory council as this could be an enormous benefit in assisting with job development opportunities.
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# PROGRAMS/SERVICES BY LOCATION

## **Clausen House, Incorporated**

88 Vernon Street  
Oakland, CA 94610

Administrative Location Only

## **Clausen House Community Center**

650 Grand Avenue  
Oakland, CA 94610

Employment Services: Community Employment Services: Job Development  
Employment Services: Community Employment Services: Job Supports  
Employment Services: Community Employment Services: Job-Site Training  
Employment Services: Employment Planning Services