

## **EMPLOYMENT SUPPORTS TRANSFORMATION ASSESSMENT (ESTA)**

### ***An organizational self-assessment survey to support employment change initiatives***

The ***Employment Supports Transformation Assessment (ESTA)*** is a tool that provides an opportunity for you to self-assess your organization's endeavors around transforming to a focus on competitive, integrated employment opportunities for persons with disabilities in a broader, all-inclusive context. It is designed to help organizations identify areas that may have been overlooked or present challenges and barriers.

The ESTA is comprised of nine (9) specific domains

- Leadership
- Strategic Planning
- Financial Sustainability
- Strategic Partnerships
- Corporate Structure
- Continuous Quality Improvement
- Strategies for Community Inclusion
- Workforce Preparation and Human Resources
- Individual and Family Collaboration

### **ESTA Scoring**

Each domain includes a quantitative assessment of transformation progress. Questions are to be answered using a five (5) point Likert scale, using the following with point values (scores):

1-----2-----3-----4-----5  
Strongly Disagree                  Disagree                  Neutral                  Agree                  Strongly Agree

Each of the Domains includes an area where the agency may calculate and enter the average score for the domain. Individual scores may be transferred to the below table for a complete view of all domains.

### **Scoring Summary:**

<b>DOMAIN</b>	<b>SCORE</b>	<b>HIGH-MEDIUM-LOW</b>
Leadership		
Strategic Planning		
Financial Sustainability		
Strategic Partnerships		
Corporate Structure		
Continuous Quality Improvement		
Strategies for Community Inclusion		
Workforce Preparation and Human Resources		
Individual and Family Collaboration		
<b>TOTAL SCORE:</b>		
<b>AVERAGE SCORE (TOTAL/9):</b>		

Interpreting Scores:

Scores will fall into a **High – Medium – Low** Scoring Range. Agencies should view the score within each individual domain to help identify areas of strength or those that need improvement. It is recommended that agencies being the process with a focus on solidifying the foundational domains of Leadership, Strategic Planning and Financial Sustainability. It is also recommended that you follow the sequential order of domains when planning interventions as each domain builds upon the previous ones. Within each domain, pay attention to the lower scoring questions, using focused efforts to develop strategies and actions to support improvement in key areas.

**High Score Range:** Score value of 4 – 5

*Significant progress made in transformation; some additional attention may be required*

**Medium Score Range:** Score value of 2.1 – 3.9

*Moderate progress made in transformation; continued attention needed in key areas*

**Low Score Range:** Score value of 1 – 2

*Minimal progress made in transformation; significant attention required*

Please refer to the “tips” found on the [esta-ny.org](http://esta-ny.org) site before beginning this process.

Date Completed: \_\_\_\_\_

Name of Team Completing Survey: \_\_\_\_\_

Team Members & Role in the Organization:

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**Domain 1: Leadership**

The Leadership Domain assesses the agency leadership’s process for understanding, communicating, and implementing the changes necessary for a successful transformation of current employment support services and business operations to community-based models that offer opportunities for integrated competitive employment. Include the efforts of the Board of Directors, Executive Team, and various Program Directors in the assessment of the activities that promote success transformation.

For each statement, please consider the extent to which you agree or disagree:

Statement	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
Leadership considers itself primarily responsible for the success of this change and has included representatives from all levels of the organization (individuals receiving services, families, direct service staff, program supervisors/managers, administrative/management - Finance, Corporate Compliance, CQI/QA, Human Resources, etc. - support staff, and the Board) in the transformation process.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Leadership understands the conceptual framework of the culture change and the implications for the current and future individuals who access the agency’s services.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Leadership incorporates an understanding of the needs of individuals receiving services and the culture change into the agency’s strategic planning process.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Leadership has established a clear communication network of individuals receiving services, family members, agency staff (direct service staff, residential and day program staff, management, etc.) to promote the process and progress of transitioning to competitive integrated employment.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Leadership has established a clear and consistent process for eliciting and responding to questions/concerns expressed by individuals, family members, and agency staff.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Leadership recognizes the potential need for policy changes in the organization and has begun to review and update/revise policies as necessary.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

1-----2-----3-----4-----5  
 Strongly Disagree                  Disagree                  Neutral                  Agree                  Strongly Agree

**TOTAL SCORE (add each individual item score):** \_\_\_\_\_

**AVERAGE SCORE (total score/6):** \_\_\_\_\_

**Domain 2: Strategic Planning**

The Strategic Planning Domain assesses the agency’s process of strategic planning to incorporate the successful transformation of employment supports into integrated community-based employment opportunities. The focus is on overall agency Strategic Planning.

For each statement, please consider the extent to which you agree or disagree:

Statement	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
The agency has established a diverse transition team comprised of internal and external stakeholders, including individuals receiving services and their family members, community business members, and representatives of community resources such as One-Stop Career Centers, to guide the strategic planning process.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The agency has completed a comprehensive analysis of the anticipated impact of employment supports transformation informed by representatives from all areas of agency operations (Billing/Finance, direct support, residential and day program staff; HR, IT) incorporating considerations such as staff schedules, caseloads and competencies, transportation needs, and continued provision of employment services.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The agency has developed a strategic plan that identifies the potential program options, time frames, objectives and people needed to accomplish a successful transformation to a sustainable business and/or the creation of community-based, integrated employment opportunities while continuing to acknowledge and support the personal goals of individuals receiving services.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The agency has a strategic plan that includes attention to potential program options (internal or external) and considers Federal and State guidance to accommodate individuals served who are unable to, or choose not to, participate in the employment opportunities or who choose to retire.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The agency has a strategic plan that has been vetted and approved by the agency’s Board of Directors.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

1-----2-----3-----4-----5  
 Strongly Disagree                  Disagree                  Neutral                  Agree                  Strongly Agree

**TOTAL SCORE (add each individual item score):** \_\_\_\_\_

**AVERAGE SCORE (total score/5):** \_\_\_\_\_

**Domain 3: Financial Sustainability**

The Financial Sustainability Domain assesses the steps the agency has taken to evaluate the financial implications of transformation and in developing viable business plans that take into account all considerations.

For each statement, please consider the extent to which you agree or disagree:

Statement	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
The agency has conducted fiscal modeling to align costs with strategic plan objectives related to selected employment services and/or integrated business models.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The agency has delineated revenue sources and projections to support costs for selected model(s) that takes into consideration anticipated changes to state and federal funding sources.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The Strategic Plan incorporates an understanding of the governmental programs, tax benefits, small business development incentives, and other incentives/initiatives that promote integrated employment.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The agency has reviewed the currently contracted product lines and potential profit/loss ratios relative to these product lines and has developed plans for future service delivery should funding for employment supports no longer be available.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The agency utilizes federal, state, and local labor market data to inform planning for community-based business models.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The agency has performed an assessment of pre-transformation financial stability and has "start-up" funds and/or cash reserves to support the transformation of the work center to a small business model.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

1-----2-----3-----4-----5  
 Strongly Disagree      Disagree      Neutral      Agree      Strongly Agree

**TOTAL SCORE (add each individual item score):** \_\_\_\_\_

**AVERAGE SCORE (total score/6):** \_\_\_\_\_

**Domain 4: Strategic Partnerships**

The Strategic Partnerships Domain assesses the extent to which the agency has identified and engaged key stakeholders (e.g., external entities involved in business operations) in the transformation to integrated, community-based employment opportunities

For each statement, please consider the extent to which you agree or disagree:

Statement	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
The agency has included key partners (i.e., One Stop Career Centers, current business partners, area employers, Economic Development Councils, and other economic development entities) in the transformation planning process.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The agency has conducted a comprehensive environmental analysis of the community's economic and business environment and employment market.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The agency has incorporated key findings from the above analysis into work center transformation planning and into the development of any prevocational and supported employment models.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The agency has developed a strategy for communicating the financial benefits, tax incentives, and interpersonal benefits of hiring individuals with disabilities to potential business partners.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The agency has established new business partnerships which have the potential to evolve into sustainable models for the transformed work center's business/product lines.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The agency has partnerships that have evolved to include opportunities for internships, apprenticeships, on the job training and actual jobs.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

1-----2-----3-----4-----5  
 Strongly Disagree                  Disagree                  Neutral                  Agree                  Strongly Agree

**TOTAL SCORE (add each individual item score):** \_\_\_\_\_

**AVERAGE SCORE (total score/6):** \_\_\_\_\_

**Domain 5: Corporate Structure**

The Corporate Structure Domain assesses how well the agency has been able to define the corporate structure that optimize its position for successful transformation of employment supports to integrated, community-based employment opportunities.

For each statement, please consider the extent to which you agree or disagree:

Statement	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
The agency has evaluated the various alternate corporate structures available to address changes as part of the work center transformation.	○	○	○	○	○
The agency has examined both the benefits and downside of establishing any new entity as a for-profit vs. a not-for-profit.	○	○	○	○	○
The agency has reviewed and modified the organization's mission and/or exempt purpose to reflect changing structure and program services.	○	○	○	○	○

1-----2-----3-----4-----5  
 Strongly Disagree          Disagree                  Neutral                  Agree                  Strongly Agree

**TOTAL SCORE (add each individual item score):**          \_\_\_\_\_

**AVERAGE SCORE (total score/3):**                                  \_\_\_\_\_

**Domain 6: Continuous Quality Improvement (CQI)**

The Continuous Quality Improvement Domain assesses the agency’s implementation of a CQI process to support strategic planning and measure the transformation of services to integrated, community-based employment opportunities. The CQI process builds upon Quality Assurance models by focusing on the broader organizational and systems changes that lead to successful transformation.

For each statement, please consider the extent to which you agree or disagree:

Statement	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
The agency has designated CQI staff and established processes in place to manage and monitor progress in transformation planning and implementation relative to strategic planning goals, business plans, and other transformation initiatives.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The agency has identified clear performance goals, metrics, and outcomes for the process of culture change and transformation of employment services to more community-based, integrated models. These elements have also been broken down to step-wise, logically sequenced and clearly measurable objectives.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The agency has established processes to collect and analyze data that measure progress on key metrics related to strategic planning and transformation, including a process to use these data to modify or adjust actions as necessary to achieve desired outcomes.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The agency has a person-centered plan for each program participant that includes measurable objectives/outcomes related to each person’s vocational goals, exploration of and participation in career opportunities, and identification of the supports and services necessary to achieve these goals.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The agency has implemented a CQI process to regularly review and revise participants’ individualized services plans, recognizing the changes as a result of the transformation for each person.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

1-----2-----3-----4-----5  
 Strongly Disagree                  Disagree                  Neutral                  Agree                  Strongly Agree

**TOTAL SCORE (add each individual item score):** \_\_\_\_\_

**AVERAGE SCORE (total score/5):** \_\_\_\_\_



**Domain 7: Strategies for Community Inclusion**

The Strategies for Community Inclusion Domain assesses the agency’s established partnerships with community organizations that support inclusion. Such provider and community partnerships may include Independent Living Centers, Peer and Family Mentors, faith-based communities, public facilities, advocacy groups, health and fitness, transportation resources, etc.

For each statement, please consider the extent to which you agree or disagree:

Statement	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
The agency demonstrates use of person-centered planning processes leading to an individual’s involvement in community life; including housing, employment, education, faith communities, transportation, independent living, fitness, recreation, social support, creative arts, advocacy, etc.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The agency has an established network of partners designed to meet individual, CMS, and state agency goals for community inclusion and integrated employment.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The agency revisits the availability of resources at regular intervals to ensure that a network of essential supports is in place and reflects the impact of the changing service system.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The agency provides frequent opportunities for individuals to share their talents and experiences with available community resources and explore additional opportunities as their personal needs evolve.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The agency considers this network of partnerships in the ongoing strategic planning process.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

1-----2-----3-----4-----5  
 Strongly Disagree                  Disagree                  Neutral                  Agree                  Strongly Agree

**TOTAL SCORE (add each individual item score):** \_\_\_\_\_

**AVERAGE SCORE (total score/5):** \_\_\_\_\_

**Domain 8: Workforce Preparation and Human Resources**

The Workforce Preparation and Human Resources Domain assesses the agency’s understanding of the role of the Human Resources leadership in transformation and the agency employees’ understanding of, participation in, and commitment to the transformation of employment supports to integrated, community-based employment opportunities.

For each statement, please consider the extent to which you agree or disagree:

Statement	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
The agency has provided education for all employees, including leadership, mid-level supervisory and support staff, ensuring that employees are knowledgeable about the potential impact of the transformation to integrated, community-based employment and have opportunities to ask questions, contribute to the planning process, and express concerns.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The agency has established a professional development plan to provide training to all staff members to assure competency in person-centered planning and Evidence-based Practices (EBPs) in order to facilitate competency in working with people with disabilities within integrated, community-based business settings.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The agency has ensured that identified employees are sufficiently knowledgeable to discuss the planned transformation with individuals receiving services and their families (i.e., knowledge of vocational assistance, impact of work on benefits, use of Home and Community Based Services, etc.).	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The agency’s Human Resources leadership has been involved in planning for the transformation and provides support and guidance for potential employee transition to new roles and responsibilities.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The agency recognizes that individuals who have received services from the agency may become agency employees in new business settings and has taken steps to ensure that HR policies are in alignment with the anticipated models.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The agency has provided employees with the technological tools, resources, and training (i.e., laptops, software applications, wireless connectivity, etc.) necessary to provide services in community-based locations.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

1-----2-----3-----4-----5  
 Strongly Disagree                  Disagree                  Neutral                  Agree                  Strongly Agree

**TOTAL SCORE (add each individual item score):** \_\_\_\_\_

**AVERAGE SCORE (total score/6):** \_\_\_\_\_

**Domain 9: Individual and Family Collaboration**

The Individual and Family Collaboration domain assesses the success of the agency’s efforts in engaging and collaborating with individuals and family members around the transformation to integrated, community-based employment opportunities.

For each statement, please consider the extent to which you agree or disagree:

Statement	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
The agency has established a protocol to engage and collaborate with individuals and their families to share concrete factual information about the evolving process of the transformation to competitive integrated employment models.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The agency provides on-going opportunities for individuals and their families to ask questions, express concerns, and explore additional resources for information around the transformation.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The agency provides and/or links individuals receiving services from the agency with Peer Mentors or Peer Support services throughout the transformation process.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The agency has conducted a person-centered employment assessment for all individuals receiving services and service plans include family input as appropriate and each reflect the supports the individual will need to navigate these changes.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The agency provides resources that will be helpful to individuals and families in understanding the transformation and how to access necessary supports, including information about alternative employment and service options as well as personal benefits management.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

1-----2-----3-----4-----5  
 Strongly Disagree                  Disagree                  Neutral                  Agree                  Strongly Agree

**TOTAL SCORE (add each individual item score):** \_\_\_\_\_

**AVERAGE SCORE (total score/5):** \_\_\_\_\_