

Mini ESTA Assessment

The Mini ESTA Assessment is a condensed version of the Employment Supports Transformation Assessment (ESTA) tool and links to guidance on the Employment Supports Transformation website (www.esta-ny.com) website and provides general numerical feedback on an agency's status relative to the 9 domains of the ESTA. Status relative to these domains is determined by a numerical (Likert Scale) self-assessment of the progress being made to transform services toward greater community inclusion and employment for individuals with disabilities. Lower scores in a domain represent opportunities for improvement and the total score can provide feedback on overall agency progress. These domains include: Leadership, Strategic Planning, Financial Sustainability, Strategic Partnerships, Corporate Structure, Continuous Quality Improvement (CQI) Process, Strategies for Community Inclusion, Workforce Preparation and Human Resources, and Participant & Family Collaboration.

The following Likert scale is used for all questions (*after each question enter your score in the space provided*):

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

Domain One

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 successful transformation.

1) The agency leadership understands the framework of the culture change and has organized an agency-wide strategy in response to these expectations. Score: ____

2) The agency has established a clear process of communication that includes a network of individuals participating in programs, family members, direct service staff, residential and day program staff, and leadership to promote the process and progress of transitioning to competitive integrated employment. Score: ____

Average Score for Domain One: ____

Domain Two

STRATEGIC PLANNING: The Strategic Planning domain assesses the agency's process of strategic planning to incorporate the successful transformation to integrated community-based employment opportunities.

3) 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 participating in programs. Score: ____

4) The agency has completed a comprehensive analysis of the anticipated additional employment supports and/or the Work Center transformation informed by representatives from all areas of agency operations (billing/finance, direct support, residential and day program staff; HR, IT, etc.) incorporating considerations such as staff schedules, caseloads, competencies, individuals' transportation needs, and the continued provision of employment services. Score: ____

Average Score for Domain Two: ____

Domain Three

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 the financial implications of the proposed changes.

- 5) The agency has reviewed product lines and conducted fiscal modeling to align costs with strategic plan objectives related to selected employment services and/or integrated business models and incorporated findings in the strategic planning process.

Score: ____

- 6) The agency demonstrates an understanding of the implementation of governmental programs, tax benefits, small business development incentives, and other incentives/initiatives that promote integrated employment.

Score: ____

- 7) The agency has performed an assessment of pre-transformation financial stability and has “start-up” funds and/or cash reserves to support competitive employment for individuals with disabilities.

Score: ____

Average Score for Domain Three: ____

Domain Four

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.

- 8) The agency has included key partners, such as One Stop Career Centers, Manufacturing Extension Partnerships (MEPs), current business partners, area employers, Economic Development Councils, and other economic development entities in the transformation planning process.

Score: ____

- 9) The agency has established new business partnerships which have the potential to evolve into fiscally sustainable employment options for individuals with disabilities.

Score: ____

Average Score for Domain Four: ____

Domain Five

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

- 10) The agency has evaluated the various alternate corporate structures available to address changes as part of the transformation, including the impact on individual’s benefits and factors involved in the decision to establish any new entity as a for-profit vs. a not-for-profit.

Score: ____

- 11) The agency has reviewed and modified the organization’s mission and/or exempt purpose to reflect changing structure and program services.

Score: ____

Average Score for Domain Five: ____

Domain Six

CONTINUOUS QUALITY IMPROVEMENT (CQI): The CQI 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 service-specific Quality Assurance models by focusing on the broader organizational and systems changes that lead to successful transformation.

12) 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.

Score: ____

13) The agency has identified clear performance goals, metrics, outcomes, and measurable objectives to support the implementation of all aspects of the Strategic Plan.

Score: ____

14) 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.

Score: ____

Average Score for Domain Six: ____

Domain Seven

Strategies for Community Inclusion: This domain assesses the agency’s partnerships with community organizations that support inclusion.

15) The agency demonstrates the use of person-centered planning processes focused on individuals’ involvement in community life; including housing, employment, education, faith communities, transportation, independent living, fitness, recreation, social support, creative arts, advocacy, etc.

Score: ____

16) The agency has an established network of partners and community resources designed to meet each individual’s goals for community inclusion and integrated employment and provides frequent opportunities for individuals to share their talents and experiences via this network.

Score: ____

Average Score for Domain Seven: ____

Domain Eight

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.

17) The agency’s Human Resources leadership has been involved in planning for the transformation and provides support and guidance for the potential transition of individuals from “program participants” to “employees” with new roles and responsibilities and has taken steps to ensure that HR policies support this transition.

Score: ____

18) The agency has ensured that identified staff are sufficiently knowledgeable to discuss the planned transformation with individuals and their families (i.e., knowledge of vocational assistance, impact of work on benefits, use of Home and Community Based Services, etc.).

Score: ____

Average Score for Domain Eight: ____

Domain Nine

INDIVIDUAL & FAMILY COLLABORATION: The Participant 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.

19) 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.

Score: ____

20) 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.

Score: ____

Average Score for Domain Nine: ____

TOTAL SCORE =

Domain One	Domain Two	Domain Three	Domain Four	Domain Five	Domain Six	Domain Seven	Domain Eight	Domain Nine	TOTAL SCORE

Mini ESTA Scoring and Use

Step 1/Total Score: Add the total of all questions scored on the Likert scale from 1-5 (with “1” being “Strongly Disagree” and “5” being “Strongly Agree”). This gives you the total ESTA-mini score out of 100. The total score on the ESTA-mini can be used as a “pre” and “post” measure to evaluate overall progress with transformation efforts.

Step 2/Prioritize Interventions: Record the average of the scores under each of the 9 domains. If you have a score of “3” or below in Leadership, Strategic Planning, Fiscal Sustainability, and/or Strategic Partnership, it is recommended that you start with these domains first since they are foundational to planning efforts and should be given priority status. It is also recommended that you follow the numerical order of the domains when planning interventions since each domain builds upon the previous ones.

Step 3/Refer to Discussion Questions: The Employment Supports Transformation website (www.esta-ny.com) website contains discussion questions to facilitate your planning for interventions under each domain. It is recommended that the agency transformation planning team utilize these questions and record the steps you will take to accomplish your objectives in the Transformation Workplan (see below).

Step 4/Complete Transformation Workplan: The Employment Supports Transformation website (www.esta-ny.com) website contains a sample workplan that can be used as a resource by the agency to document and track the key objectives, persons responsible, and time frames needed to accomplish steps in the transformation process. All elements of the workplan contribute to the goal of increasing the level of competitive employment and community inclusion for individuals receiving services.