

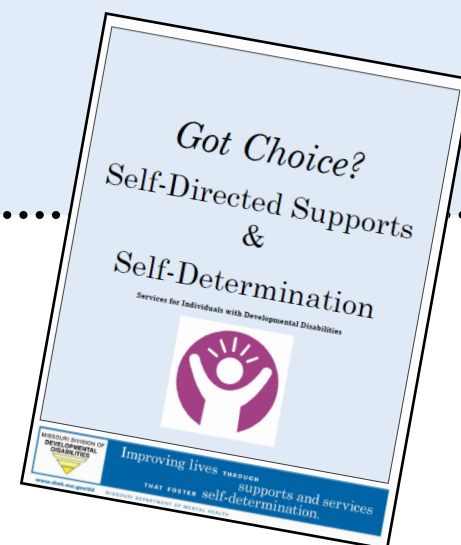
For more information on  
**SELF-DIRECTED  
SERVICES**  
VISIT

[http://dmh.mo.gov/dd/progs/  
selfdirect.htm](http://dmh.mo.gov/dd/progs/selfdirect.htm)

Or

Ask your Support Coordinator

# Guide to Understanding Reviews for Individuals and Families Self- Directing Supports



Improving lives THROUGH  
supports and services  
THAT FOSTER self-determination.

[www.dmh.mo.gov/dd](http://www.dmh.mo.gov/dd) MISSOURI DEPARTMENT OF MENTAL HEALTH


DATE : 4/26/17

# WHERE CAN I LEARN MORE ABOUT THE REVIEW?

The review is based on *Guideline #64*.

The *Guideline* and the exact review tool being used is available on the Division website:  
<http://dmh.mo.gov/dd/guidelines.html>

This guide is to help you through the process of Service Reviews that are required for all individuals choosing the option of self-directed supports.

 Improving lives <small>THROUGH</small> supports and services THAT FOSTER self-determination.		SELF-DIRECTED SUPPORTS Improvement Plan		
Name of Individual:		Designated Representative:	Guardian:	
Self-Directed Support Coordinator:		Support Coordinator:	Plan requested by:	
Date of Request:		Individuals Attending:		
Date of Meeting:		Future Meeting Dates:		
ISSUE	ACTION STEPS	RESPONSIBLE PARTY	DATE TO COMPLETE	PROGRESS/DATE COMPLETED
<b>A. A. DOCUMENTATION</b> THE DESIGNATED REP HAS NOT BEEN MEETING WITH THE SC FOR QUARTERLY MEETINGS. IT HAS BEEN OVER 6 MONTHS SINCE THE LAST SERVICE MONITORING MEETING. AUTHORITY * GOT CHOICE? * PPL AGREEMENT * MEETING REQUIREMENTS ARE FOUND THE DMH-DD WAIVER MANUAL AUTHORITY	Not being able to meet employer/designated representative responsibilities can result in termination of the SDS option and you will be offered agency managed services. 1.) 1. Designated Rep. will complete monthly summaries as required. 2.) Designated Rep. will meet with the SC every 3 months to review service documentation requirements (SDS documentation guidebook) and establish a system to ensure documentation requirements are fulfilled. 3.) 4.)			
	1.) 2.) AUTHORITY			

## WHAT IS AN IMPROVEMENT PLAN?

If there are multiple issues identified, patterns of issues repeatedly occurring, or serious situations that must be corrected, the SC and/or Regional Office staff will discuss this with the individual/designated representative.

A Self-Directed Supports Improvement Plan will be jointly developed for addressing those issues.

Improvement plan information needs to be specific to the identified issue and identify specific strategies and time frames for improvement.

The goal of a corrective action plan is to focus on needed supports to ensure the individual/designated representative succeeds in using the SDS option.

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Not being able to meet employer/designated representative responsibilities can result in termination of the SDS option.

## WHAT IS THE REVIEW ABOUT?



- The review will look at how you as the employer of record or designated representative are managing your services.
- The review looks for core program requirements that need to be in place in order remain in the program and pass an audit.
- Every individual enrolled in self-directed supports must have a review at least every three years.

## WHO COMPLETES THE REVIEW?

The review is completed by your local regional office staff. These are members of the Provider Relations team. It might be the Self-Directed Support Coordinator or it could be another team member such as a Vendor Service Coordinator or Community Living Coordinator.

## WHERE WILL THE REVIEW TAKE PLACE?

- Most of the review is completed at the Regional Office through review of information on Fiscal Management Service online system. If the information is not available online, an in home review will be required.
- A component of the review requires interviewing the employer and/or designated representative. Therefore the reviewer will make an appointment conduct a phone interview.

## HOW WILL I KNOW WHEN I HAVE A REVIEW COMING?

- The reviewer will contact you 2-4 weeks before the review to schedule a call at your convenience.



## HOW WILL I KNOW WHAT THE REVIEWER FOUND?

The reviewer will talk with you about what they observed during their pre-review at the Regional Office during the phone interview.

You will also receive a copy of the final results in the form of a checklist and a contact summary.

## WHAT IF THERE ARE DOCUMENTS MISSING DURING MY REVIEW??

Missing documentation may result in:

- An in person appointment with the Self Directed Service Coordinator to develop an Improvement Plan.
- A referral to the Missouri Medicaid Audit and Compliance Unit.
- A situation where you will have to pay for those services out of pocket.
- Termination of the option of SDS .

## HOW CAN I PREPARE FOR THE REVIEW?

- Be sure your documentation meets requirements:
  - Be aware of program requirements
  - Use approved documentation formats for monthly reports and progress notes
  - Train your staff on documentation requirements:  
Guide to Documentation  
<http://dmh.mo.gov/dd/progs/selfdirect.htm>
  - Review your staff documentation to ensure they are completing progress notes for every time period on their timesheet
- Maintain and report your updated staff training with the Fiscal Management Service.
- Have a way to store your service documentation for 6 years.

## WHAT IS THE REVIEWER LOOKING FOR?

There are four outcomes/objectives to the review process. The records underlined are those that you must have present at your home at the time of the review or available by way of the FMS web portal.

**Outcome 1: A system is in place to ensure that staff are qualified and trained to meet people's needs.**

⇒ This outcome reviews:

- ⇒ Staff educational requirements  
(These records are on file with Public Partnership.)
- ⇒ Staff training to ensure that it is on file and is being maintained, unless there is an exemption. (These records are on file with Public Partnership.)

## WHAT IS THE REVIEWER LOOKING FOR?

**Outcome 2:** A system exists to ensure documentation is in place.

This outcome reviews:

- ⇒ Required components of the Individualized Support Plan  
*(This will be reviewed electronically.)*
- ⇒ Monthly Summary and Budget tracking form.  
*(This will be reviewed electronically when available.)*
- ⇒ Documentation is maintained for 6 years  
*(This will be discussed via phone interview if appropriate.)*
- ⇒ Back Up Plan  
*(This will be discussed via phone interview if appropriate.)*

## WHAT IS THE REVIEWER LOOKING FOR?

**Outcome 3:** A system is in place to ensure progress notes are completed and match what has been entered on timesheets.

⇒ This outcome reviews:

- ⇒ Documentation progress notes are available
- ⇒ Progress notes are completed according to requirement
- ⇒ There are progress notes for every employee timesheet entry reviewed.

*(This will be reviewed electronically when available.)*

**Outcome 4: Other Waiver Requirements.**

⇒ This outcome reviews:

- ⇒ Whether the individual lives in their own home or a family member's home. *(This will be discussed via phone)*