Improving lives through supports and services that foster self-determination.

SELF-DIRECTED SUPPORTS
Support Broker Training

11/02/16
Welcome!

- Introductions
- Who are you?
- What is your experience?
- Why are you here?
Improving lives through supports and services that foster self-determination.

SELF-DIRECTED SUPPORTS
Support Broker Training

www.dmh.mo.gov/dd  MISSOURI DEPARTMENT OF MENTAL HEALTH
Training Objectives

- Understanding Self-Determination and Self-Directed Supports (SDS)
- Your Role as a Support Broker Overview
- Designing SDS through the Person-Centered Planning Process (PCP)
- Understanding the individual budget and establishing pay rates
- Working with the Fiscal Management Service (FMS)
- Creating quality and monitoring SDS
- Tools for an Individual/Designated Representative (DR) to be the Employer
What is Self-Directed Supports?

Self-directed supports (SDS) is an option for service delivery for individuals, who live in their own private residence or that of their family member & who wish to exercise more choice, control and authority over their waiver supports. SDS is firmly grounded in the principles of self-determination.
SDS is based on Self-Determination and the premise that the individual and their representative knows best about their needs and how to address those needs.

The individual must be empowered to make decisions about the services they receive, including having choice and control over the type of supports they receive, who provides the supports and when and where the supports are delivered.
Although the terms self-determination and self-directed supports are often used interchangeably, they are two distinct concepts.
What is Self-Determination at the individual level?

Individuals are the primary decision maker of their lives, pursue what is important to them and have a meaningful role in the community.
“If individuals and families have control of the resources, quality will go up and cost will go down.”

Self-Determination System Level

Freedom  Authority  Responsibility  Confirmation

Support
**Shifting Power**

**From**
- Professionals planning for individuals
- Reliance on paid professions who are only temporarily part of an individual's life
- A view that only professional can be responsible
- Service Coordination as a means to let people into existing services

**To**
- Individuals and families planning for themselves
- Reliance on the lifelong commitment of individuals and families to manage their own lives
- Respect for the fact that individuals and families have a vested interest in acting responsible on their own behalf
- Support Coordination & Support Brokerage as a means for individuals and families to create services in response to their needs and dreams
The Ballad of Self-Directed Joe.... Peter Leidy

http://peterleidy.com/
Self-Determination Resources

1. "A Guide to Understanding MIEhealthnet (Medicaid) Services"
   - Adobe Print: [Link]
   - Online Viewing: [Link]

   - Adobe Print: [Link]
   - Online Viewing: [Link]

3. "A Guide for Individuals with Developmental Disabilities to Help Understand Housing Options"
   - Coming soon to [Link]

   - Adobe Print: [Link]
   - Online Viewing: [Link]

5. LifeBooks
   - Visit the MO-SDA website at [Link]
   - Contact your Regional Office Advocacy Specialist at [Link]

6. Success in Telling Your Story
   - Visit the National Gateway to Self-Determination website at [Link]
   - Contact your Regional Office Advocacy Specialist at [Link]

7. Self-Determined Career Development Model
   - Visit the National Gateway to Self-Determination website at [Link]
   - Contact: George Otto, Ph.D., UMBC Institute for Human Development, 215 W. Panting, 4th Flr, Kansas City, MO 64108; Office: (816)233-5334; gottot@umkc.edu

www.dmhf.mo.gov/dd/docs/asguidesandpublications.pdf
Self-Determination Success Stories

Self-Directed Supports

ARE SELF-DIRECTED SUPPORTS RIGHT FOR YOU?

Ask yourself the following questions: Would you like to have more authority to plan your supports based on the lifestyle you choose? Do you want to be more involved in your community and in those activities that interest you? Would you like to hire the staff of your choice and have more say in how your budgeted dollars are spent?

If you are saying "yes" to any of these questions, then the Division of Developmental Disabilities in Missouri has a Self-Directed Service option for you.

Self-Directed Supports are based upon the principles of Self Determination, which are:

- Freedom to make choices in your life which will impact your life goals and desires.
- Authority to plan control over your life so you are able to choose what makes your life meaningful.
- Support that is natural and offers community experience and opportunities.
- Responsibility to develop your own unique gifts and talents so you have meaningful ways to contribute to your community.
- Confirmation which happens when your community learns to respect you for your abilities and accomplishments.

Self-determination can begin for you when you make the choice to find out what options are available through Self Directed Services.

Services available through the Self-directed services option can provide you with the opportunity to try new things through a variety of key components which include:

- Developing a Person Centered Plan (PCP) which describes the supports and services you need to be independent in your daily life. You can choose to facilitate the plan yourself, have friends or family facilitate for you, with the help of your Support Coordinator, or hire a Plan Facilitator to develop a plan that fits your needs.
- Support Brokerage offers a trained Support Broker who will work under your direction to assist you with hiring and managing direct care staff, locating resources and community connections and assisting with supports related to your needs.
- Your Individual Budget will be the total dollar value that directly relates to the services and supports associated in your Person Centered Plan. You exercise control over your own budget and will be responsible for using those dollars wisely to meet your needs.
- Personal Assistants (PA) are those people who you choose to hire to meet your one-on-one support needs during activities of daily living, making sure you are able to access your community as needed to increase independence, productivity and inclusion in your community.
- Financial Management Services are available through Consumer Direct to assist with payroll responsibilities, support you with billing and documentation of financial services as well as tracking and monitoring your individual budget and expenditures. The Consumer Direct website at http://consumerdirectmo.com/contains more information about its role.
- Your Back Up Plan will be designed to ensure you are covered in the event that your staff does not show up as scheduled, leave without notice, or a situation arises which would put you at risk. The Back Up Plan can involve paid and non-paid staff who have stated they will support you should an issue arise.
- Quality Assurance is provided to make certain you are not alone when you decide to self-direct your services and supports. The local Regional Office will continue to ensure your health and safety, work with your support circle and responding to problems and concerns to maintain accountability.

SHARING SUCCESS

Chuck Comstock started asking these questions years ago and made the choice to self-direct his supports as you will see through the personal story he is about to share with you.

A little over 10 years ago I suffered a spinal cord injury that left me with quadriplegia. After living with my parents in their home for five years, I found myself asking these very questions. What did I want out of life? How could I have more control and be more independent? I just wanted and needed more freedom. Then I heard about self-directed services through the local independent living center and made the choice to self-direct my supports and take charge of my life. That decision changed my life.

By self-directing, I am able to completely manage the care I receive. One aspect of this is hiring and firing of staff. Self-direction allows me to choose who is going to work for me, so I’m not stuck with a personal assistant that just doesn’t quite gel along with me. Over the past several years I’ve made a few mistakes with my hiring choices, but luckily, through the self-directed program, I had the authority to replace those people with staff who are much more in tune with who I am. Each of my current staff has worked for me for more than two years and I am very satisfied with all of them.

Through self-direction, I also have the opportunity to train my own staff. That way, my care is tailored to my individual needs. For example, I have an accessible van and I’ve trained a number of staff and friends to operate it in order to get me where I want to go. Each of us has different requirements and should have the right to train our own staff.

Another feature of self-directing that I really appreciate is being able to adjust the times of day my staff works. If I need to go shopping at 2pm on Saturday or go to church at 10 am on Sunday, I can adjust my staffs schedule to match my own. I’m not stuck at home staring at the wall. I can go out and have fun with friends and family when I choose.

Thanks to self-directed supports and self-determination, I was able to attend classes on campus at Truman State University and I earned my Bachelor’s degree in English in 2006 graduating with a 3.8 grade point average. Taking charge of my own life has enabled me to get a good job and be a part of the community where I live. In June 2011, I married my beautiful wife Melissa and we purchased our new home in March 2012. We were blessed in July 2012 and January 2013, with the birth of our daughter Arianna and Bianca. All my dreams have been fulfilled and I could not ask for a better life. It is a decision I am glad to have made.

To share the success of other individuals and families, visit www.dmho.mo.gov/dd/spotlight.
Individual/Designated Representative has both budget and employment authority and must follow both Medicaid and Department of Labor regulations.
The Employer of Record (EIN Holder/Household employer) is the individual receiving services through a Medicaid program.

For individuals under the age of 18 the parent/guardian is the Employer of Record (EIN holder).
The individual or guardian may select a designated representative (DR) in the event the individual is unable to direct and manage the day to day activities of their employees.

• The Designated Representative (DR) will be the **responsible party**
• Designated Representative is unpaid
• Acts on the individual’s behalf and in their best interest
• Cannot be an employee for any services
Direct & Manage the Workers’ Day to Day Activities

Got Choice Handbook

When self-directing your supports you and/or your designated representative are required to:

- Complete and submit for processing all required employer paperwork to establish the person served as an ‘employer of record’ and send to the FMS (FPL);
- Hire your employee(s); interview your employees and review their references;
- Once selected, have each potential employee fill out an Employment packet found on http://www.publications.mo.gov/programs/disability/dd/program.asp. The packet is sent to FMS organization (FPL);
- Receive ‘Good to Go’ notice from the FMS organization (FPL) that your employee candidate has passed the criminal background check before hiring him or her and allowing them to do any work for you;
- Hire your employee(s);
- Train your employees based on the ISP;
- Establish a work schedule for your employee(s). Employees working more than 40 hours per week cannot be billed to the Medicaid program. Time worked over 40 hours per week is the responsibility of the employer/Designated representative to pay and must be paid through the FMS (FPL) in order to ensure employer related taxes are withheld;
- Establish a list of tasks to be performed by your employees that is based on your ISP;
- Manage your employee(s);
- Review your employees’ performance and provide feedback either to acknowledge good performance and/ or point out areas that may need improvement;
- Fire your employees when necessary and report to the FMS (FPL);
- Review, approve, and submit your employee’s on-line time sheets and service documentation to the FMS (FPL) organization. If you feel a time submitted does not correctly reflect the authorized hours worked, you must report any differences to the FMS organization (FPL) and work with your employee(s) to correct any errors;
- Ensure that your employee(s) complete all on-line Service Documentation;
- Complete the Mandatory Monthly Summary on the FPL website. This form describes the progress you have made towards achieving your ISP goals and objectives and provides an overall picture of how things are going for you;
- Make sure your employees have received and keep up with all required training and send to the FMS (FPL), who will help you track this. If training and certification are not maintained, the employee will not be able to enter time, any hours worked during an expired certification are the responsibility of the employer/Designated representative to pay and must be paid through the FMS (FPL) in order to ensure employer related taxes are withheld;
- The FMS (FPL) will maintain for you a personnel file for each of your employees which contains their training records, contractual agreements, background screening and a copy of their high school diploma or GED certificates;
- Create and maintain an Emergency Back-up Plan (http://www.dmho.gov/dd/progs/selfdirect.html);
- Inform the FMS (FPL) immediately when you have terminated an employee, make sure the employee has been fired in accordance with state department of labor firing practices. You must inform the FMS organization (FPL) of the reason for firing so it can be documented in the employee’s file.

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Individual/DR Responsibilities

- Must direct and manage the worker’s day to day activities, making sure the services are provided as written in the ISP and provide other duties of an employer.
- Must schedule/approve all hours worked prior to submitting the time to the Fiscal Management Service (FMS).
- Must complete monthly reviews on line, and maintain required documents in the individual’s home.

[www.dmh.mo.gov/dd] MISSOURI DEPARTMENT OF MENTAL HEALTH
Direct & Manage the Workers’ Day to Day activities

- Recruit, interview, hire, manage and decide whether Employees are doing a good job.
- Make sure the Employee completes mandatory trainings.
- Train the Employee on the Individual’s needs and preferences.
- Schedule and supervise the Employee.
- Review and approve weekly time sheets that are accurate and submit to the FMS.
- Report any situations of potential Medicaid fraud including, but not limited to: Falsified or made-up hours, Task(s) completed that are not authorized, Forgery.
- Dismiss Employees when needed.

www.dmh.mo.gov/dd  MISSOURI DEPARTMENT OF MENTAL HEALTH
What is Support Brokerage?

Provides the individual/designated representative with information & assistance (I&A) to secure the supports and services identified in the ISP.

The Support Broker does not do these tasks for the individual/designated representative, but provides information and assistance in order for the individuals/DR to fulfill their employer related SDS responsibilities. The goal for everyone in SDS is to move towards ‘Independence’ and for individuals and families to have the support they need in order to self-direct services.

Some Individuals/DR may find that they do not need a Support Broker.
An agency must have a DMH contract.

For an agency to provide this service they have to be certified by DMH Certification for ISL or day habilitation; or accredited by CARF/CQL/Joint Commission accredited for ISL, Independent Living Skills Development or Community Integration

or State Plan Personal Care Provider
Support Broker Requirements

- Must be at least 18 years of age
- Must possess a high school diploma or GED
- Successfully pass a background screen
- A Support Broker may **not** be a parent, guardian or other family member.*
- They cannot serve as a personal assistant or perform any other waivered service for the individual.

*Family member is defined as a parent, step-parent, sibling, child by blood, adoption or marriage, spouse, grandparent or grandchild.
Support Broker Education & Experience

- ability, experience and/or education to assist the individual/designated representative in the specific areas of support as described in the ISP
- competence in knowledge of DDD policies and procedures: abuse/neglect; incident reporting; human rights and confidentiality; handling fire and other emergencies, prevention of sexual abuse, knowledge of approved and prohibited physical management techniques
- understanding of support broker responsibilities, of advocacy, person-centered planning, and community services
- understanding of individual budgets and DDD fiscal management policies
Support Broker Requirements

**Approved Support Broker Training Verification Form**

<table>
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<th>Required Training</th>
<th>Training Resources</th>
<th>Alternative Provider Training Approved</th>
<th>Training Completed by Name and Date</th>
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<td>Training Series</td>
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<td>Incident reporting/DD</td>
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<td>and confidentiality</td>
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www.dmhs.mo.gov/dd  MISSOURI DEPARTMENT OF MENTAL HEALTH
SB Provides Information and Assistance (I&A)

- I&A to recruit, interview, hire and train employees
- I&A explore and access community resources
- I&A to establish work schedules
- I&A to help in establishing employee rate setting and manage the individual’s budget using the SDS Pay rate calculator
- I&A to seek other supports or resources outlined by the individual’s ISP
- I&A to communicate and problem-solve conflict resolution between employer/employee’s.
• I&A to ensure that the emergency back-up plan is established and working
• I&A to promote independent advocacy, to assist in filing grievances and complaints as necessary.
• I&A to define goals, needs, and preferences, identify and access services, supports and resources as part of the persons centered planning process that is gathered by the support coordinator for the ISP
The SB Assessment is the tool to ensure individuals are getting the supports that they need.

The tool is also used for individuals currently in SDS who need additional support.
Person-Centered Planning Process

- Provides the framework
- Determine goals and outcomes
- Identifies supports to meet needs
**Process to Getting Support Broker Service**

1. **Individual/DR is interested in having Support Broker Services**
2. SC completes the Support Broker Assessment with the Indiv/DR, amends the ISP, and puts the initial request in CIMOR
4. Individual/DR interviews and selects a Support Broker Agency
5. Support Coordinator completes UR packet, SDSC reviews
6. UR approval and authorization is approved in CIMOR
7. SDSC updates CIMOR with the Support Brokers contact information.
8. SC sends the individual’s ISP to the Support Broker Agency & to the DR (updated copy)
9. The Support Broker Agency will contact the DR to set up an appointment to meet
Identify the back-up plan when scheduled employees are not available to provide supports or other emergencies arise
Personal Outcomes are what drive a person’s ISP. These are things that the individual is interested in trying, learning, doing, or achieving in the next year. Personal Outcomes must relate to what is important to the individual.

Goals describe the actions to be taken towards achieving the Personal Outcome, and are developed as a part of the person-centered planning process. Each Goal has Implementation Strategies in place to provide step-by-step actions and instruction for the people responsible for implementing the Goal.

Implementation Strategies: The provider responsible for providing the service(s) used to help the individual achieve his/her personal outcome(s) and related goals develops the Implementation Strategies.
Personal Assistance Service

- Does not require a Personal Outcome to be identified; the service may consist of only supports provided.

- The Individual/Designated Representative determines if they would like to have formal personal outcome and goals.

- Individuals/Designated can be authorized for Support Broker Services if they need information and assistance to ‘Define goals, needs and preferences’.
Community Specialist Service

- Requires a Personal Outcome to be identified.
- The Community Specialist may assist in developing the Implementation Strategies or
- The Individual/Designated can be authorized for Support Broker Services if they need information and assistance to ‘Define goals, needs and preferences’.
Support Broker Services

- Requires a Personal Outcome to be identified.
- The agency would be required to have implementation strategies.
- Information and examples will add information to the SB training
Which Services can be Self-Directed?

- Personal Assistant
- Personal Assistant – Medical
- Community Specialist
- Personal Assistance: Team Collaboration
Who Can be an Employee?

• Must be at least 18 years of age

• Have a High School diploma or GED

• Community Specialist must have 4 year degree or 2 year + experience
SDS Employees Cannot Be:

• An individual’s spouse
• An individual’s parents if they are a minor
• An individual’s legal guardian
• The individual’s Designated Representative
• Anyone with a felony or charge which is disqualifying
Family as Caregiver

The following conditions must be met:

• The individual is not opposed to the family member providing services
• The services to be provided are solely for the individual and not household tasks expected to be shared with people living in the family unit
• Paid family member provides the service that best meets the individual’s needs

*No Family Member can be hired as a SB or CS*
Mandatory Training for all Employees

• Abuse and Neglect Training (required prior to employment)
• Training on the Individual Service Plan
• Employee Handbook for SDS employees
### Personal Assistant (PA)

<table>
<thead>
<tr>
<th>No. Support needed</th>
<th>Details regarding the type of support needed</th>
<th>Personal Outcome area for Individual</th>
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</thead>
<tbody>
<tr>
<td>Bathing/Assisting in the Bathroom/Dressing</td>
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<tr>
<td>Mobility</td>
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<td>Extension of therapy, care of adaptive equipment and exercise</td>
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<td>Meal Preparation/Assistance with meals</td>
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<td>Incidental Household cleaning and laundry</td>
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<td>Shopping</td>
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<td>Banking/Budgeting</td>
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<td>Using Public transportation</td>
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<td>Recreational/Leisure/Socialization</td>
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<td>Other Activities to achieve increase independence, Productivity or Inclusion in the Community</td>
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**Training Exemptions**

- The Individual/Designated Representative must exempt the following requirements if the exemption is due to:
  - [ ] Duties of the PA named above will not require skills to be attained from this training requirement.
  - [ ] The PA named above has adequate knowledge or experience.

To grant an exemption, the appropriate reasons code must be marked in the exemption column and justification for the exemption and safeguards in place must be documented in the ISP.

**CHECK APPLICABLE EXEMPTION CODES**

- [ ] 269. Training (Cannot be exempt for Enhanced Medical PA)
- [ ] 135. First Aid training (Cannot be exempt for Enhanced Medical PA)
- [ ] 135. Medication Administration (Cannot be exempt for Enhanced Medical PA if providing medication administration)
- [ ] 135. Behavior Intervention Crisis Management training - [ ] NCHCPI, [ ] RCMA or SCM (Cannot be exempted for Enhanced Behavioral PA if physical intervention is needed)
- [ ] 135. Behavior Intervention: Positive Behavior Supports training - [ ] "Tools of Choice"; [ ] Columbus PBS; [ ] Other training approved by KOE department or Division Chief Behavior Analyst (Cannot be exempted for Enhanced Behavioral PA)

**Times Support Needed:** Typical times individual will need paid PA supports.

<table>
<thead>
<tr>
<th>Time</th>
<th>Sunday</th>
<th>Monday</th>
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<td>Time In</td>
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**Total:**

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Additional hours of paid PA support needed per month: _____
PA Medical

• Require higher level of medical supports
• Require additional training requirements that cannot be waived
• ISP identifies and justifies the level of support
• Typically receive oversight and training from SDS Community Specialist or agency based waiver service
PA Team Collaboration

For self-directed supports Team Collaboration allows the individual’s employees to participate in the service plan and to meet as a team to ensure consistency in its implementation. A team meeting also can be convened by the individual or their designated representative for the purposes of discussing specific needs of the individual, the individualized progress towards outcomes, and other related concerns.

Team collaboration can be included in the individual budget up to 120 hours per plan year.
## Personal Assistant (PA)

### Training Checklist Pre-Employment Training Requirements

The individual/Designated Representative may exempt the following requirements if the exemption is due to:

[A] Duties of the PA named above will not require skills to be attained from this training requirement.

[B] The PA named above has adequate knowledge or experience.

To grant an exemption, the appropriate reason code must be marked in the exemption column and justification for the exemption and safeguards in place must be documented in the ISP.

*Certificate of Training must be attached.*

<table>
<thead>
<tr>
<th>Training Requirement</th>
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<tr>
<td>Medication Administration training provided by</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(Cannot be exempt for Enhanced Medical PA if providing medication administration)</td>
<td></td>
<td></td>
<td>[]</td>
</tr>
<tr>
<td>Behavior Intervention Crisis Management training</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>□ Mandt; □ NCI/CPI; □ PCMA or SCM</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Provided by</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(Cannot be exempt for Enhanced Behavioral PA if physical intervention is needed)</td>
<td></td>
<td></td>
<td>[]</td>
</tr>
<tr>
<td>Behavior Intervention- Positive Behavior Supports training</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>□ “Tools of Choice”; □ Columbus PBS;</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Provided by</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(Cannot be exempt for Enhanced Behavioral PA)</td>
<td></td>
<td></td>
<td>[]</td>
</tr>
<tr>
<td>Other training approved by RO QE department or Division Chief Behavior Analyst</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

(*Supporting documentation must be attached.*

| Educational Requirements: □ High School Diploma; □ GED; □ Regional Office Exemption |       |
| (Supporting documentation must be attached)                                                   |       |

**All training certifications must be kept current during the duration that the employee is employed.**

Signature of the individual, designated representative or guardian signifies approval of the training plan and approval of any exemptions granted.
Community Specialist

- Used when specialized supports are needed to assist the individual in achieving outcomes as specified in the Individual Service Plan. Such as nurse delegation or contributing to the development of a positive behavior support plan.
- May not duplicate Support Broker or other waiver service.
- Can be authorized up to 24 hours a day in special circumstances.
Community Specialist Assessment

A tool for ensuring that the ISP is meeting waiver requirements and helps to determine goals and outcomes.

<table>
<thead>
<tr>
<th>Individual Receiving Services:</th>
<th>Designated Representative (signature):</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Support Area</th>
<th>No Support</th>
<th>Details regarding the type of support needed:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Professional orientation</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Individual program design and instruction</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Collaboration with designers</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Provide support advocating for the individual</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Ensuring the individual in seeking and accessing services and supports</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Assist the individual to design and implement specialized programs to enhance self-direction</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Assist the individual to design and implement specialized programs to enhance independent living skills</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Assist the individual and the individual’s caregivers to design and implement specialized programs to enhance community integration, social, leisure and recreational skills</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Goals, Outcome, and Objectives:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Current Situation (Relationship based supports, Technology, Community resource, and other eligibility based supports):</td>
</tr>
<tr>
<td>Field of Expertise needed:</td>
</tr>
<tr>
<td>Training License/Certification which qualifies the Community Specialist as an Expert:</td>
</tr>
</tbody>
</table>

| Time limited support | 8 hours per year | Ongoing support: 1 hour per month |

<table>
<thead>
<tr>
<th>Desired Outcome:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Current Situation (Relationship based supports, Technology, Community resource, and other eligibility based supports):</td>
</tr>
<tr>
<td>Field of Expertise needed:</td>
</tr>
<tr>
<td>Training License/Certification which qualifies the Community Specialist as an Expert:</td>
</tr>
</tbody>
</table>

| Time limited support | 8 hours per year | Ongoing support: 1 hour per month |

<table>
<thead>
<tr>
<th>Training requirement maintained by the agency:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Bachelor’s degree from an accredited university plus one year experience</td>
</tr>
<tr>
<td>Registered Nurse (with active license in good standing, licensed by the Missouri State Board of Nursing)</td>
</tr>
<tr>
<td>Associate degree from an accredited university or college plus three years of experience</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Field of Expertise:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Training License/Certification which qualifies the Community Specialist as an Expert:</td>
</tr>
</tbody>
</table>

| Time limited support | 8 hours per year | Ongoing support: 1 hour per month |
Pre-Employment Training Requirements

<table>
<thead>
<tr>
<th>Requirement</th>
</tr>
</thead>
<tbody>
<tr>
<td>☐ Bachelor’s degree from an accredited university plus one year experience</td>
</tr>
<tr>
<td>☐ Registered Nurse (with an active license in good standing, issued by the</td>
</tr>
<tr>
<td>Missouri State Board of Nursing)</td>
</tr>
<tr>
<td>☐ Associate’s degree from an accredited university or college plus three</td>
</tr>
<tr>
<td>years of experience. Proof of degree/experience must be maintained by the</td>
</tr>
<tr>
<td>employer in the employee’s personnel file.</td>
</tr>
</tbody>
</table>
I&A to Establish Work Schedules

- Self-Directed Supports based on the outcomes and supports stated in the ISP but are also flexible to meet the needs of the individual.
- Assist the individuals in setting a work schedule so employee know when to work
- Assist to ensure employee’s are given notice when there is going to be a need to change the schedule.
- Assist to ensure scheduling stays within budget allocation.
Once the **Self-Directed Individualized Budget Allocation** has been approved the individual/DR determines the rate that they will pay their employees.

The “SDS Pay Rate Calculator” is the tool used for employee rate setting.
A “SDS Pay Rate Calculator” on the FMS website www.publicpartnerships.com/programs/missouri/sds/index.html is used to ensure:

- Employees are paid at least the current minimum wage in Missouri.
- Employers portion of costs (loaded rate) is factored into the full budget cost
  - Employer portion of federal and state FICA (Medicare and Social Security),
  - Federal and state unemployment insurance (FUTA & SUTA)
  - Workers compensation insurance,
- Loaded rate does not go over Medicaid maximum billable amounts for each self-directed service type.
Employee Pay Rate Setting

The FMS will provide basic information on using the “SDS Pay Rate Calculator” during enrollment.

If the individual/DR need additional assistance in employee rate setting, it is the role of a Support Broker to assist.
Employee Pay Rate Setting

Factors:

The following are factors that an individual/designated representative, enrolled in Self-Directed Supports, should consider when establishing hourly pay rates for employees they hire to provide a self-directed service:

☀ Determine a pay rate that allows for maintaining quality employees, yet fits within the individual’s budget.

☀ Are periodic salary increases desired based on employee performance? If so, this will need to be taken into account when setting an initial hourly pay rate for the employee.
Employee Pay Rate Setting

- All new individuals enrolled in SDS will have a “default maximum employee wage”. Which is sent to the FMS on the Referral Form.

- This default maximum wage is based on the allocation rate minus employer related taxes and workers comp.

- This default rate ensures that the individual will stay within their budget allocation if all the employees are paid at the same rate and numbers hour of service stay the same.
Employee Pay Rate Setting

- However the Individual/DR are allowed to set any rate that stays within the Medicaid Maximum and minimum wage.

- If the Individual/DR would like to have employees at wage higher than the individual “default maximum employee wage” of. An “SDS Pay Rate Calculator” must be sent to the Support Coordinator and the SDSC in order to demonstrate how their needs will continue to be met and stay within their budget allocation.

- The SDSC will then inform the FMS of the new maximum wage using the Referral/Update Form.
Using the SDS Pay Rate Calculator

![SDS Pay Rate Calculator](http://www.publicpartnerships.com/programs/missouri/sds/documents/MO%20SDS%20Pay%20Rate%20Calculator_PPL_v1.2.xltx)

**SDS Pay Rate Calculator**

1. Enter Individual Name
2. Enter DMH ID
3. Enter SUTA Rate (3.11% current)
4. Enter Authorization Start Date
5. Enter Authorization End Date

**Authorization Period (Weeks):** 0

Instructions: First complete items 1 - 5 above. Then complete items 6 - 8 by choosing from the drop-down or entering appropriate hours or pay rate for each service/individual employee. Each column will warn you if the hourly cost exceeds the allowable maximum. Final costs will display for each service/employee and for the total of all services/employees combined for the authorization period.

<table>
<thead>
<tr>
<th>Service From Drop Down</th>
<th>Personal Assistance</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Under / (Over) Medicaid Maximum</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
</tbody>
</table>

**Required Taxes and Benefit Costs**

<table>
<thead>
<tr>
<th>Tax Type</th>
<th>Rate</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Social Security</td>
<td>6.20%</td>
<td>$ -</td>
</tr>
<tr>
<td>Medicare</td>
<td>1.45%</td>
<td>$ -</td>
</tr>
<tr>
<td>State Unemployment</td>
<td>3.51%</td>
<td>$ -</td>
</tr>
<tr>
<td>Federal Unemployment</td>
<td>0.80%</td>
<td>$ -</td>
</tr>
<tr>
<td>Worker’s Compensation</td>
<td>2.20%</td>
<td>$ -</td>
</tr>
<tr>
<td>Total Hourly Tax and Benefit Cost</td>
<td>14.08%</td>
<td>$ -</td>
</tr>
<tr>
<td>Total Hourly Loaded Wage</td>
<td>$ -</td>
<td>$ -</td>
</tr>
<tr>
<td>Total Billable Service Cost</td>
<td>$ -</td>
<td>$ -</td>
</tr>
<tr>
<td><strong>Total Budget for Employee Services:</strong></td>
<td>$0.00</td>
<td></td>
</tr>
</tbody>
</table>

Actual costs may vary slightly based on variables such as turnover of employees, the number of hours employees work & the tax exempt status of family members who are employees. The actual cost will be detailed in the Budget Reports through the Public Partnerships (PP) BetterOnline web portal.

If this is a new service you will soon be contacted by PPL to assist with enrollment into Self-Directed Supports. For information you may visit their website at [www.publicpartnerships.com](http://www.publicpartnerships.com) or call them toll free at 1-844-716-7370.

**Comments:**

Revised: 03/16/2016

Pay Rate Calculator Breakdown

- SUTA Rate
- Select service from drop down box
- Projected hours per year
- Hourly Pay rate
- Loaded rate
- Employment taxes
- Workers compensation
- Total billable service cost
- Under/ (Over) Medicaid maximum
Unemployment Employment Taxes and Workers’ Compensation

- Social Security
- Medicare
- The SUTA – State Unemployment Tax begins at 3.51% and changes after the first three years, based on the number of people that are hired and fired, and claims against unemployment. Current SUTA rates can be found on the Individual Profile page on the PPL web portal.
- Federal Unemployment
- Workers compensation is currently 2.280% of gross salary

NOTE: This is the “Employer” cost portion of the employment tax and workers’ comp. The employee will have their portion of person tax deducted from their paycheck.
Under / (Over) Medicaid Maximum

- There is a Medicaid maximum rate of pay. For example, if you enter an amount and see ($0.01) on the Medicaid max line, the rate exceeds the maximum allowed.
Managing Individualized Budgets

The Family Guide to the BetterOnline™ Web Portal
How to Read Your Budget Summary

- Actions: clicking on the icon in this section will allow you to see dates of service that were paid out of this budget. It will also list the hours for each date.

- Remember, it is the individual’s responsibility to track their budget and balances. PPL will not be able to pay for any dates of service outside of the authorization dates. In addition, PPL is not able to pay for any time that exceeds the amount remaining in the individual’s budget.

- If you believe that there is an error in the amount authorized, contact your Support Coordinator. You may also call PPL for clarifying questions, but keep in mind, PPL is not able to increase or decrease budget amounts.

www.publicpartnerships.com/programs/missouri/sds/index.html
Making Budget go Further

• Determine which supports are critical in achieving goals, maintaining health and safety, and which supports are merely preferred
• Explore all possible resources for supports
• Orient the individual and support team members to the various potential funding sources
• Determine whether any critical needs are not covered within the scenarios and brainstorm for possible resources if needed
LifeCourse tools for individuals, families, and professionals. Are helpful in having conversations with individuals and families about a vision for a good life and how to achieve it. Along with establishing work schedules, and utilizing their individual allocation budget.

www.lifecoursetools.com/planning/
The Centers for Medicare and Medicaid Services (CMS) defines Fiscal Management Services as:

A service/function that assists the family or participant to: (a) manage and direct the distribution of funds contained in the participant-directed budget; (b) facilitate the employment of staff by the family or participant by performing as the participant’s agent such employer responsibilities as processing payroll, withholding and filing federal, state, and local taxes, and making tax payments to appropriate tax authorities; and (c) performing fiscal accounting and making expenditure reports to the participant and/or family and state authorities.
Vendor Fiscal/Employer Agent FMS

- Setting up payroll records for workers hired
  - Ensuring federal, state and local tax withholding and payments are made; file required federal and state employer reports on time

- Worker's Comp

- Human Resources Functions
  - Background checks
  - Tracking employee qualification/trainings
  - Maintaining Service Documentation starting 2/7/16

- Provide individual with monthly budget information regarding payments that have been issued from the approved budget along with a current balance

www.dmh.mo.gov/dd  MISSOURI DEPARTMENT OF MENTAL HEALTH
Missouri’s FMS

Public Partnership (PPL) ; their web address is [http://www.publicpartnerships.com/programs/missouri/SDS/index.asp](http://www.publicpartnerships.com/programs/missouri/SDS/index.asp)

PPL’s phone number is 1-844-735-7370

PPL’s customer service email is csmosds@pcgus.com
Missouri’s FMS


www.dmh.mo.gov/dd MISSOURI DEPARTMENT OF MENTAL HEALTH
PPL Web Portal Instructions

- Support Coordinator Monthly Summary Tool User Guide
- Individuals Monthly Summary Tool User Guide
- BetterOnline™ registration instructions
- Time4Care Instructions
- Employee E-Timesheet Instructions
- BetterOnline™ User Guide
Employer Services Agreement provides information to ensure DOL regulations and other program requirements are being followed.
PPL will process employee paperwork and initiate a background check.

No person/applicant/prospective employee is to begin working until PPL notifies the individual that their prospective employee been cleared to work via the “Good to Go” Form.

If the prospective employee has any ‘hits’ or flags on their background check, PPL will determine if the background check results are found to be disqualifying in nature or require approval from the employer to continue with the hiring process.
This Guide is available to assist in understanding documentation requirements and is available at the Division of DD website:

Please note this guide is in the process of being updated.

http://dmh.mo.gov/dd/progs/selfdirect.html
Beginning February 7, 2016 Service Documentation is maintained by the FMS.

* Please note that if the individual/DR were self-directing supports prior to February of 2016, they must maintain the following:

- Mandatory Self-directed Supports Documentation (archives must go back six years). Time recorded on this document must be consistent with what is submitted on the FMS (Consumer Direct) timesheets (archives must go back six years);

- Mandatory Monthly summary – report documenting progress for all SDS services and budget tracking (archives must go back six years).
Service Documentation describes various covered activities or services in which the individual participated, progress towards goals, and unusual events.

- Must be sufficient so that it is understandable, explains what was provided, and can be verified with reasonable certainty that the services were provided.
- Service documentation must be maintained by the employer for a period of 6 years (prior to 02/07/16).
- The employee is responsible for writing the documentation on the date they provide the service.
### Timesheet for QA TEST

<table>
<thead>
<tr>
<th>Date</th>
<th>Total Daily Hours</th>
<th>Service</th>
<th>Service Code</th>
<th>Time In</th>
<th>Time Out</th>
<th>Hours Worked</th>
<th>Activities</th>
</tr>
</thead>
<tbody>
<tr>
<td>07/07/2015</td>
<td>2 hours</td>
<td>Personal Assistant</td>
<td>T1019-U2</td>
<td>11:10 AM</td>
<td>1:30 PM</td>
<td>2 hours</td>
<td>Notes: Attached email John with cooking. His bunch arrived at his home at 11:10 AM. With the促使, John baked water for the batch and gathered all the necessary ingredients. John also fixed a piece of toast in the toaster oven and poured an orange. John drank a glass of orange juice. He also drank 2 glasses of cool tea. I then cleaned John's room by wiping the bed, and the John had a very good day. He ate 1 bowl of cereal and fruit and the protein. The orange and the toast. He also drank 2 glasses of cool tea. I then cleaned John's room by wiping the bed, and the John had a very good day. He ate 1 bowl of cereal and fruit and the protein. The orange and the toast. He also drank 2 glasses of cool tea.</td>
</tr>
<tr>
<td>02/08/2015</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>03/09/2015</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>03/10/2015</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>03/11/2015</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>03/12/2015</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>03/13/2015</td>
<td>3 hours</td>
<td>Personal Assistant</td>
<td>T1019-U2</td>
<td>9:15 AM</td>
<td>12:15 PM</td>
<td>3 hours</td>
<td>Notes: Attached email John with cooking. His bunch arrived at his home at 9:15 AM. With the促使, John baked water for the batch and gathered all the necessary ingredients. John also fixed a piece of toast in the toaster oven and poured an orange. John drank a glass of orange juice. He also drank 2 glasses of cool tea. I then cleaned John's room by wiping the bed, and the John had a very good day. He ate 1 bowl of cereal and fruit and the protein. The orange and the toast. He also drank 2 glasses of cool tea.</td>
</tr>
<tr>
<td>02/14/2015</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>02/15/2015</td>
<td></td>
<td></td>
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<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>02/19/2015</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>02/27/2015</td>
<td></td>
<td></td>
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<td></td>
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<td></td>
<td></td>
</tr>
</tbody>
</table>
On-line Monthly Summaries

All Individuals/DR are responsible for monitoring their budget and completing a monthly summary.

The Monthly Summary describes progress on goals listed in the ISP and summarizes the individual's overall status and helps ensure the individual/DR are staying within their Individual Budget Allocation.

Starting February, 2016 the FMS (PPL) maintains the Monthly Summary.

www.publicpartnerships.com/programs/missouri/SDS/program.asp
Monthly Summary:
Budget tracking

The Family Guide to the BetterOnline™ Web Portal
How to Read Your Budget Summary

- Actions: clicking on the icon in this section will allow you to see dates of service that were paid out of this budget. It will also list the hours for each date.

Remember, it is the individual’s responsibility to track their budget and balances. PPL will not be able to pay for any dates of service outside of the authorization dates. In addition, PPL is not able to pay for any time that exceeds the amount remaining in the individual’s budget.

If you believe that there is an error in the amount authorized, contact your Support Coordinator. You may also call PPL for clarifying questions, but keep in mind, PPL is not able to increase or decrease budget amounts.

www.dmh.mo.gov/dd  MISSOURI DEPARTMENT OF MENTAL HEALTH
When you are self-directing your supports it is recommended that you keep a copy of all paperwork that you sign. However some of these documents are also maintained by your support coordinator (SC), regional office (RO) and/or your Fiscal Management Service (FMS). The documents listed below must be maintained by you, and be available for your SC to review. Additionally, these records must be produced for auditing purposes through the Missouri Department of Mental Health, Department of Social Services, and the Center for Medicare and Medicaid Services. Your SC, RO or FMS does not keep a copy of these documents for you. Not having these documents on file could result in terminating the option of self-directing your supports.

**Individual/Designated Representative File**
- Individual Service Plan including budget information

**Information available for Employees**
- Individual Service Plan
- The Emergency Back-up Plan (to ensure adequate coverage in case of emergency)

**Service Documentation:** The following information must be maintained by the individual/DR for services provided prior to Feb 7, 2016. (Starting Feb 7, 2016 Service Documentation will be maintained by the FMS.)

**Mandatory Self-Directed Supports Documentation Form** (archives must go back 6 years)
- Time recorded on this document must be consistent with what is submitted on the FMS (Missouri Consumer Direct) timesheets.
- Not having these documents on file and any discrepancies in records and claims for reimbursement from MO HealthNet are subject to recoupment from the Individual/Designated Representative and may result in terminating the option of self-directing your supports.
- Monthly summary – report documenting progress for all SDS services and budget tracking.
Support Brokers must complete service documentation for day services rendered.

Support Brokers also complete a Monthly Summary which is sent to the Individual/DR and Support Coordinator.
I&A to Explore and Access Community Resources

- Review the ISP to see what resources are necessary to meet the needs of the individual.
- Linking the individual to their community.
- Teaching “Interdependence”
- Chamber of Commerce, great resource
Helpful Tools

LifeCourse tools such as the Integrated Supports Star Worksheet & Life Trajectory Worksheet for individuals, families, and professionals. Are helpful in having conversations with individuals and families about integrated Supports.

www.lifecoursetools.com/planning/
State Plan Personal Care Services

• Individual must have only one Fiscal Agent to report earnings and file employer and employee taxes.
• Ensure State Plan Services are used before waiver services.
• Ensure no duplication of services

I&A to Seek Eligibility Specific Resources

Health Department
Missouri Career Centers
Division of Vocational Rehabilitation
Department of Mental Health
Missouri Protection and Advocacy
Independent Living Centers

• Social Security Administration
• Family Support Division
• Public Transportation (OATS)
• Housing Authority/ HUD/Shelter Plus
• Division of Health and Senior Services
• Logistics/Medicaid Transportation

www.dmh.mo.gov/dd
Missouri Department of Mental Health
I&A to Seek Community Based Resources

- Community Action Agency
- Agency on Aging
- Ministerial Alliance
- Salvation Army
- Red Cross
- Adult Education and Literacy
- Vocational Technical Schools
- Parks and Recreation
- YMCA
- University Extension Offices
- Developmental Disability Boards in your county
- County Health Department
Helpful Tools

Consumer-Directed Training Series Training Material which covers:

• Recruiting, hiring, managing, terminating workers,
• Problem solving, conflict resolution, filing grievances and complaints
• And other topics related to being an successful employer
Helpful Tools

Caring for Yourself While Caring for Others is a free curriculum to assist trainers in meeting the health and safety training needs for home care workers and to enhance communication between home care workers and their clients. The activities in this curriculum are designed to encourage participants in promoting safe and healthy work environments—for their clients and for themselves.

The Homecare Workers' Handbook provides an overview of some of the topics covered in the course as well as topics that are not covered. It is a useful resource that contains practical tips for home care worker safety.

http://www.cdc.gov/niosh/docs/2015-102/default.html
Other Helpful Information
Recruiting Employees

- Informally get the word out
- Care.com or Indeed.com
- Missouri Career Centers
- Flyers placed on bulletin boards
- Local Colleges/Vocational Technical Schools
- Independent Living Centers
- Agencies who hire PA’s CAN’s/LPN’s/RN’s looking for PRN
I & A for Employee Termination

MO At-Will Doctrine
http://www.labor.mo.gov/DLS/General/discharged.asp
https://labor.mo.gov/DLS/General/discharged

Discuss and document concerns regarding potential termination

Process for termination - PPL Status Change Form
Audits/Reviews

A review may be done by the Regional Office, MMAC or other Medicaid Agency.
Any employee paid to provide Medicaid Waiver services is required to report any events that could jeopardize an individual’s health or safety. If a qualifying event occur, he/she must notify the SC or the office on-call staff as soon as possible.

1. All events where there is a report, allegation or suspicion that an individual has been subjected to Missuse of Consumer Funds/Property, Neglect, Physical Abuse, Sexual Abuse or Verbal Abuse. (3 CSR 10-5.200)
   a. All events where there is sexual conduct involving an individual and it is alleged, suspected or reported that one of the parties is not a consensual participant.
   b. All events where there is any threat or attempt, verbal or nonverbal, which conveys a significant risk of immediate harm or injury and results in reasonable concern that such harm will actually be inflicted.
2. Medical emergency, which means the sudden onset of a medical condition, or injury that requires emergency medical intervention (emergency room visit) or unplanned hospital admission.
   a. All events that result in an individual to receive life-saving intervention or medical-psychiatric emergency intervention.
3. All events where the consumer ingests a non-food item. Non-food item—any item that is not food, water, medication or other commonly ingestible items.
4. Use of any unapproved restraints. Restraint/time out used by employee to restrict an individual’s freedom of movement, physical activity or normal access while in DMH services. If any of the following restraint types or time out occur as defined they must be reported on an EMH form.
   a. Chemical restraint: a medication used to control behavior or to restrict the individual’s freedom of movement and is not a standard treatment for the individual’s medical or psychiatric condition. A chemical restraint would just be an individual to sleep or render them unable to function as a result of the medication. (Pre-mix for a dental or medical procedure would not be reported as a chemical restraint).
   b. Physical Restraint: any physical holding involving a restriction of an individual’s voluntary movement. Physically assisting a person who is unsteady, blocking to prevent injury, etc. is not considered a manual restraint.
   c. Mechanical Restraint: any device, instrument or physical object used to confine or otherwise limit an individual’s freedom of movement that he/she cannot easily remove. This definition includes the following: Medical equipment used by a DMH employee to provide treatment, physical equipment or orthopedic appliance, surgical dressings or bandages, or supportive body bands or other restraints necessary for medical treatment, routine physical examinations, or medical tests; Devices used to support functional body position or balance, or to prevent a person from falling out of bed, falling out of a wheelchair, or other restraint during transportation, such as seatbelts or wheelchair tie-downs; Mechanical supports, supports devices used in nonemergency situations to achieve proper body position and balance; these restraints are not restraints.
   d. Time Out: removing the individual from one location and requiring them to go to a specific area, where that individual is unable to participate or observe other people. Time out includes but is not limited to requiring the restraints to go to a separate room, for a specified period of time, in case of verbal directives, blocking attempts of the individual to leave, or physical barriers such as doors or a door, etc. or until specified behaviors are performed by the individual. Locked Room (using a key lock or catch system not requiring staff directly holding the mechanism) is prohibited.
5. Any incident involving an individual that requires the involvement of law enforcement.
6. All events that result in disruption of services due to fire, theft or natural disaster; resulting in extensive property damage or loss.
7. The death, by any cause, of an individual.
8. Medication errors, which means the individual did not receive their medicine or received it in a manner that varies from the physician’s order (i.e., wrong dose, form, route, time, etc.).
9. Incidents of falls. The apparent (unintentional, not witnessed or reported) unintentional sudden loss from a normative position for the engaged activity to the ground, floor or object which has not been forcibly navigated by another person.

Upon receiving information regarding an incident listed above, your support coordinator will ensure your immediate health and safety needs are met. He or she will then write a report detailing the event. In some cases, your team will meet to talk about what occurred prior to the event and what can be done to prevent a recurrence in the future.
Service Monitoring done by the Support Coordinator

Service Monitoring

Your support coordinator (SC) will meet with you face to face, no less than every three months, to monitor your health, environment/safety, rights, staff, services and budget (See [http://dmh.mo.gov/dd/progs/selfdirect.htm](http://dmh.mo.gov/dd/progs/selfdirect.htm)). Your SC is responsible to ensure that you are satisfied with services and fulfilling your employer responsibilities. They will also work with you to ensure that you have the services and support you need to fulfill your employer responsibilities.

After the visit your SC will document positive outcomes along with any issues or concerns and send this information to your Division of Developmental Disabilities Regional Office for tracking and trending purposes (See SDS Monitoring Guide [http://dmh.mo.gov/dd/progs/selfdirect.htm](http://dmh.mo.gov/dd/progs/selfdirect.htm)).

If your SC does not find any issues during the visit, this is documented and a copy should be sent to you within five days of the visit.

If your SC identified an issue(s) that cannot be resolved during the time of the visit or the issue is one-time concern, your support coordinator, after resolving the issue, documents the issue and resolution, sends a copy to you and the Division of Developmental Disabilities Regional Office within five working days of the visit. If the issue is not resolved, then your SC will indicate the follow-up action on the form sent to the regional office. The SC will notify the regional office when the issue is resolved.
SDS Improvement Plan

When multiple issues have been identified, a pattern of issues repeatedly occurring, or serious situation that must be corrected a Self-Directed Supports Improvement Plan will be jointly developed.

Issues may be identified on monitoring visits, event reports, reviews or issues reported by the FMS (PPL).
# Self-Directed Support 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:**

<table>
<thead>
<tr>
<th>ISSUE</th>
<th>ACTION STEPS</th>
<th>RESPONSIBLE PARTY</th>
<th>DATE TO COMPLETE</th>
<th>PROGRESS/DATE COMPLETED</th>
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**AUTHORITY**

| 1.    | Corrective Due Date was Met: | Yes: | No |
| 2.    | Corrective Actions Completed: | Yes: | No |

**Final Recommendation:**

**CC:** Improvement Plan and Letter: DMH-OD Regional Director, Provider Relations Lead, Quality Assurance Lead, SDSC File, SC/SC Supervisor, Designated Representative/Individual, Individual record.

[Image of the form with relevant sections highlighted]
Termination of Self-Directed Supports

Voluntary Termination
If an individual decides they do not want to continue self-directing their supports, they may stop at any time. The service coordinator should help them begin that process and assist them in transitioning to agency-based services.

Involuntary Termination of Self-Directed Services
In the event the planning team determines the individual’s health and safety is at risk, there are concerns regarding their willingness to ensure proper records are accurately kept, or that they are unwilling to supervise employees to receive services according to the plan, the choice of self-directing their supports may be terminated. Before terminating self-directed options, the service coordinator and other appropriate staff will first counsel the individual or their designated representative to assist them in understanding the issues, let them know what corrective action is needed, and offer them assistance in making changes. If the SDS option is terminated, the same level of services will be offered through a traditional agency-based model.
Helpful Tools: Fraud Prevention

Guide to Preventing Common Mistakes and Fraud for Individuals and Families
Self-Directing Supports

Got Choice? Self-Directed Supports & Self-Determination

Improving lives and supporting self-direction.

www.dmh.mo.gov/dd

MISSOURI DEPARTMENT OF MENTAL HEALTH

Tools for Prevention of Fraud

Helpful Tools:

- Fraud Prevention

- MMAC Fraud Hotline
  (573) 751-3285

Overview of Home and Community-Based Services:
Understanding Your Role

The Centers for Medicare & Medicaid Services (CMS) and the States are taking steps to strengthen Medicaid and Medicare by preventing fraud and abuse. CMS is developing a new "risk-based" data-driven oversight process that is designed to help States better manage their Medicaid and Medicare programs. This new approach will allow States to more effectively target their oversight efforts and focus on areas of greatest risk.

States have the option to use one of two risk-based oversight models: the "radical model" or the "radical model plus." The radical model plus includes additional oversight measures, such as more frequent site visits, additional data collection and analysis, and more frequent risk assessments.

States must submit an annual plan for their risk-based oversight process to CMS. The plan must include the following components:

- A description of the risk-based oversight process
- A description of the data collection and analysis methodology
- A description of the oversight and enforcement activities
- A description of the training and education program
- A description of the communication strategy
- A description of the monitoring and evaluation activities
- A description of the accountability and oversight framework
- A description of the enforcement and appeals processes

States must also certify that they have in place a process for ensuring the integrity of their data collection and analysis activities. This process must include a data quality assurance plan, a data integrity plan, and a data confidentiality plan.

States must also report on their risk-based oversight activities on an annual basis. This report must include information on the number of Medicaid and Medicare providers that are subject to risk-based oversight, the number of providers that have been identified as high-risk or moderate-risk, and the number of providers that have been referred for further investigation or enforcement actions.

States must also report on their risk-based oversight activities on a quarterly basis. This report must include information on the number of Medicaid and Medicare providers that are subject to risk-based oversight, the number of providers that have been identified as high-risk or moderate-risk, and the number of providers that have been referred for further investigation or enforcement actions.

States must also report on their risk-based oversight activities on a monthly basis. This report must include information on the number of Medicaid and Medicare providers that are subject to risk-based oversight, the number of providers that have been identified as high-risk or moderate-risk, and the number of providers that have been referred for further investigation or enforcement actions.
# Working Together for Success

## Roles and Functions Within Self-Directed Supports

<table>
<thead>
<tr>
<th>Support Coordinator</th>
<th>Support Broker</th>
<th>Fiscal Management Services (FMS)</th>
<th>Division of Developmental Disabilities Self-Directed Supports Coordinator (SDSC)</th>
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<tr>
<td>Assists the individual, family, or designated representative in understanding the choice of self-directed supports and transitioning from provider driven services to self-directed services.</td>
<td>A Support Broker provides information and assistance (I&amp;SA) for the purpose of directing and managing supports as specified in the ISP. SB does not do these activities for the individual/DR but provides I&amp;A to assist in doing task independently. May include training in:   - Establishing work schedules for the individual’s employees based upon their ISP;   - Helping with managing the budget and employee rate setting;   - Seeking other supports or resources outlined by the ISP;   - Defining goals, needs and preferences, identifying and accessing services, supports and resources as part of the person centered planning process which is then gathered by the support coordinator for the ISP;   - Implementing practical skills training (recruiting, hiring, managing, terminating workers, managing and approving timesheets, problem solving, conflict resolution);   - Developing an emergency back-up plan;   - Implementing employee training;   - Promoting independent advocacy, to assist in filing grievances and complaints when necessary.</td>
<td>The FMS is a “Fiscal Employer Agent” (F/EA). As authorized under IRS Revenue Procedure 70-6 for the purpose of payroll and payroll reporting services, the F/EA will file quarterly taxes and reports on behalf of the Employer/FEIN Holder. Provides the Employer/Designated Representative (DR) with an Enrollment Packet, Employee Packet(s) and Employee Training Materials. Completes payroll for the Employer/DR’s employees and provides the employee with Federal and State tax withholding information on his or her paystub for each pay period and issues the W-2 after year end. Covers all employees with ‘Workers’ Compensation insurance. Completes employee background checks. Maintains all employee education and training records. Starting February 2016 maintain all service documentation. Provides Spending Reports to the Employer/DR, Support Broker, Support Coordinator and SDSC.</td>
<td>Provides technical support and training regarding the policy and procedures related to self-directed supports. Meets with the individual and designated representative within 90 days of services starting to complete an initial review to ensure services have started and are being implemented as written in the individual service plan and answer any questions. May review the progress notes, timesheets and monthly summaries. Assists the Provider Relations team with self-directed provider reviews to ensure service delivery is consistent with Medicaid Waiver requirements, State Rules, Department of Mental Health Policy, and Best Practices. Works with the Fiscal Management Service (MO Consumer Direct) to coordinate enrollments, budget information, problem solve issues/concerns, follow up with the individual/designated representative on background hits, complete paperwork for high school exemptions, and coordinate quarterly meetings. Facilitate improvement plan.</td>
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<td>Completes the individual support plan (ISF) with the required self-directed information and paperwork and submits to the Utilization Review Committee for approval. Amends the ISP based on the needs of the individual. Conducts a 30 day follow up after services begin with the individual and designated representative to ensure the services are being carried out as written in the individual service plan, reviews timesheets, progress notes, monthly summary and answers any questions. Monitors services and supports face to face no less than quarterly. Assists the Provider Relations team with any follow up that is needed on the self-directed provider reviews. Participates in “improvement plans” in order to amend ISP if needed and provide monitoring to ensure needed changes take place.</td>
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3/22/16
Guides and Publications

TIPS AND RESOURCES
Fostering Self-Determination

Self-Advocacy Guides and Publications

“Got Choice? Self-Directed Supports and Self Determination”

(Print two sided on ‘short end’)
Online Viewing http://en.calameo.com/read/0004943211f36045ac5b

“Guide to Documentation for Individuals Self Directing Supports”
(Print two sided on ‘short end’)
Online Viewing http://en.calameo.com/read/000493211f36045ac5b

“Guide to Understanding Reviews of Individuals and Families Self Directing Supports”
(Print two sided on ‘short end’)

Self-Advocacy and Self Determination Materials

“Advocacy Specialist promotes self-advocacy and self-determination by creating materials that are written for and by people with disabilities and written in design in order to be used by everyone.”

“A Guide to Understanding Me, Health, (Medicaid) Services”
(Print two sided on ‘short end’)
Online Viewing http://en.calameo.com/read/000493211f36045ac5b

“Knowing Your Rights: A Guide for Individuals with Developmental Disabilities to Understanding Rights and Responsibilities”
(Print two sided on ‘short end’)
Online Viewing http://en.calameo.com/read/000493211f36045ac5b

“It’s My Home: A Guide for Individuals with Developmental Disabilities to Understanding to Help Understand Housing Options”
(Print two sided on ‘short end’)

“Say No to Abuse and Neglect: A Guide for Individuals with Developmental Disabilities to Help Prevent Abuse and Neglect”
(Print two sided on ‘short end’)

“People First Language: Communicating with and about People with Disabilities”

“Disability Friendly Businesses: Doing Business with People with Disabilities”
QUESTIONS??