

# **Division Directive**

## **3.020 –**

# **Individual Support Plan Monitoring and Review**

# Individual Support Plan



- 🕒 The Individual Support Plan (ISP) is a document that results from the person-centered planning process.
- 🕒 Based on **individual** assessments that allow for the gathering of comprehensive information concerning each individual's preferences, individual needs, goals and abilities, health status and other available supports and services.
- 🕒 All services and supports for the individual are developed through the person centered planning process and documented in the ISP.
- 🕒 Individual Support Plan Monitoring and Review is driven by the supports and services which are identified in the ISP.
- 🕒 This review is completed monthly for the services that require monthly monitoring and is completed quarterly for those services that require quarterly monitoring.

# Areas to Be Reviewed

- 🕒 Individual Support Plan Monitoring and Review includes interaction with individuals in services, and evaluating whether the services outlined in the Individual Support Plan (ISP) are being provided.
- 🕒 It includes the following;
  - Talking with the individual
  - Observation
  - Review of documentation

# Areas to Be Reviewed Continued...



- 📍 During face-to-face visits with individuals and quarterly phone contacts, Support Coordinators review the Missouri Quality Outcome Life Domain Areas listed in the Individual Support Plan Monitoring and Review Guidelines tool (located in Appendix A).
- 📍 Areas of review for Individual Support Plan (ISP) Implementation include Daily Life and Employment, Community Living, Social and Spirituality, Healthy Living, Safety & Security, and Citizenship & Advocacy.
- 📍 Prior to these visits/contacts, Support Coordinators also review any previous unresolved issues. Information regarding unresolved issues for follow up can be accessed through the Integrated Quality Management Functions Database (APTS Database).
- 📍 The Support Coordinator will also identify if the ISP needs to be updated based on findings.



# Frequency of Individual Support Plan Monitoring and Review Visits/Contacts

## Frequency of Visits/Contacts Overview

*Monitoring includes review of the ISP, and observation and communication with the individual and staff.*








<b>Monthly Face-to-Face</b> (Individuals, who receive funding by the Division of DD for residential supports)	<b>Quarterly Face-to-Face</b>	<b>Annual Face-to-Face &amp; Quarterly Contact</b>
<ul style="list-style-type: none"> <li>▪ Individuals in Group Homes</li> <li>▪ Individuals in ISLs / In-home ISLs</li> <li>▪ Individuals in Foster Homes</li> <li>▪ Family Living Arrangements (FLA)</li> <li>▪ Individuals with a DSS Children's Division interdivisional agreement (with exception of Shared Living)</li> </ul>	<ul style="list-style-type: none"> <li>▪ Shared Living                             <ul style="list-style-type: none"> <li>○ Host Home</li> <li>○ Companion Home</li> </ul> </li> <li>▪ Individuals living in Private Residence receiving Personal Assistant, Community Specialist, and/or Support Brokerage</li> <li>▪ A minimum of annually at site of support delivery:                             <ul style="list-style-type: none"> <li>○ Employment Services</li> <li>○ Day Habilitation</li> <li>○ Community Integration</li> <li>○ Individualized Skill Development</li> <li>○ Professional Assessment &amp; Monitoring</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>▪ Individuals living in a Private Residence receiving a funded service/support not listed in other categories*                             <ul style="list-style-type: none"> <li>○ Transportation</li> <li>○ Counseling</li> <li>○ Therapy</li> <li>○ Adaptive Equipment</li> <li>○ Supplies</li> <li>○ Respite</li> <li>○ Facility based respite (monthly face to face if in respite at least 30 consecutive days)</li> <li>○ Temporary Residential (monthly face to face if in residential at least 30 consecutive days)</li> <li>○ Dental</li> <li>○ Assistive Technology</li> <li>○ Behavioral Services</li> <li>○ Autism Project services funded via PAC</li> <li>○ Family Peer Support Service</li> </ul> </li> <li>▪ Individuals receiving support coordination only; may be receiving <u>non</u> DDD funded supports (i.e., DHSS, VR, DSS Children's Division, etc.)</li> </ul>

**\*Services/Supports may be funded through various means including Choices for Families or POS.**

**Note:** There are no monitoring requirements for those individuals who are non-Medicaid and are not receiving DD funded services.

# Frequency of Individual Support Plan Monitoring and Review Visits/Contacts

## **Monthly Face to Face Visits:**

-  Individuals who receive funding by the Division, for residential supports have monthly face-to-face visits by their Support Coordinator to monitor Individual Support Plan (ISP) Implementation in the Missouri Quality Outcome Life Domain Areas.
-  Completed at the service delivery site
-  Includes the following services;
  -  Group Homes
  -  ISLs
  -  Foster Homes
  -  Family living arrangements

# Frequency of Individual Support Plan Monitoring and Review Visits/Contacts Continued...



## 🕒 **Monthly Face to Face Visits:**

- 🕒 Monitoring of Residential supports include review of the Individual Supported Living (ISL) Registered Nurse Oversight or Residential (Group Home) Registered Nurse Oversight summary document.
- 🕒 Individuals who receive residential supports and also receive the following services;
  - employment services
  - day habilitation
  - community integration

Do not have to visit the residential site during the quarterly employment services, day habilitation, and community integration service visit. Monitoring will occur for each type of service funded.

# Frequency of Individual Support Plan Monitoring and Review Visits/Contacts Continued...

- 👤 **Quarterly Face to Face Visits:**
- 👤 Individuals participating in;
  - day habilitation
  - community integration
  - individualized skill development
  - personal assistant
  - professional assessment and monitoring
  - shared living (host or companion)
  - employment services (funded by Division of DD)
- 👤 Employment services, professional assessment and monitoring, day habilitation, community integration, and individualized skill development have quarterly face-to-face visits with at least one annual visit at site of support delivery.



# Frequency of Individual Support Plan Monitoring and Review Visits/Contacts Continued...




## 🕒 Quarterly Face to Face Visits:

- 🕒 All other individuals receiving purchased services/supports receive at least an annual face-to-face visit and quarterly phone contacts to monitor Individual Support Plan Implementation in the Missouri Quality Outcome Life Domain Areas.
- 🕒 Individuals whose only support is support coordination receive at least an annual face-to-face visit and quarterly phone contacts to assess needs for services/supports and resources.
- 🕒 The “frequency of visits/contacts” guideline is a **minimum standard**. It is expected that Support Coordinators exercise **professional judgment** and increase visits according to the individual needs of people.

# Self-Directed Supports


- 👤 Individuals choosing the option of self-directing services must live in their own private residence or that of a family member.
- 👤 Individuals may be receiving self-directed Personal Assistant Community Specialist, and agency based Support Broker services.
- 👤 Individuals must have quarterly face-to-face visits to monitor Individual Support Plan Implementation in the Missouri Quality Outcome Life Domain Areas.

# Appendix A – Individual Support Plan Monitoring and Review Guidelines




3.020 Appendix A INDIVIDUAL SUPPORT PLAN MONITORING AND REVIEW GUIDELINES		
<i>FACILITATING LONG-TERM SERVICES AND SUPPORTS - Individual Support Plan Monitoring and Review will include review of the ISP, talking with the individual, observation, and review of documentation. Identify if the ISP needs to be updated based on findings.</i>	APTS CODING	Comments
Unresolved Findings from Previous Visit	Are there any unresolved findings from previous visits or nursing reviews? This information can be obtained from APTS Consumer Specific Report prior to the monitoring visit.	
Review the ISP. Is the ISP being implemented as written? Specify evidence present that reflects progress is or is not being made. Evidence could include the following: Interview individual, family, staff, review progress notes and monthly reports etc. to determine progress. Evidence can be in the form of documentation, family reporting, demonstration, etc. SC shall review each authorized service and document information related to the Outcome and what progress is occurring. If noted progress is not occurring to meet the individual's outcomes, appropriate follow-up should occur.		
 <b>DAILY LIFE AND EMPLOYMENT</b>		
<b>People Participate in Meaningful Daily Activities of Their Choice</b>		
Individuals make informed choices and are encouraged self-determination in pursuing daily activities of their choice while exploring the full range of options including employment, volunteering, use of free time and participating in activities of their choice.		
During the face-to-face visit, it appears that the person is being supported and engaged in a routine and activities that are typical to the environment, time of day and what is important to and important for the person.		
How does the individual spend their day? = Consistent with ISP		
Does the setting reflect the individual's needs and preferences as outlined in the ISP?	Services & Staff/ ISP Implementation/Setting Reflects Needs	
Is the individual making their own choices and are their choices being respected?	Rights/Decision Making/Choice	
Does the individual continue to be happy with their current home/setting?	Rights/Decision Making/Satisfied with setting	
Do staff provide the individual with information they need in order for the individual to make their own decisions?	Rights/ Decision Making/Control	
<b>Employment</b>		
Does the individual currently have a job?		
If yes, did they choose their job? Are they happy with their job?	Rights/Decision Making/Employment	

# Appendix A – Individual Support Plan Monitoring and Review Guidelines



 <b>HEALTHY LIVING</b>		
People Are Able to Choose Health/Mental Health Resources and Are Supported in Making Informed Decisions regarding their Health and Well-Being		
ISP helps ensure the individual's right to receive physical, emotional and mental health care from the practitioner of their choice. Individuals receive information and education on ways to maintain their health and well-being. Individuals are supported in making healthy choices.		
Are the supports in place to assist the person with healthy food choices?	Health/ Attaining Wellness/Nutrition	
Does the individual get the supports they need when they are not feeling well (pain or illness)?	Health/ Attaining Wellness/Follow-up Care	
Did they go to the doctor when they were supposed to?	Health/ Attaining Wellness/ Follow-up Care	
The individual is clean. Clothes and shoes are in good condition, and in the correct sizes. Individuals are dressed in clothing of their preference. Nails are trimmed & cleaned. No evidence of bruising or unattended skin conditions.	Health/Attaining Wellness/Appearance Hygiene	
Each month review and sign the Monthly Individual Supported Living (ISL) Registered Nurse Oversight or Residential (Group Home) Registered Nurse Oversight summary document. The review shall include verification of the monthly documentation and identification of any support coordination follow-up requested by the Registered Nurse. The SC should also note if nursing findings are not addressed by the agency.	Services & Staff / Management/ RN Log Notes	
Nutrition: Are the staff and the individual aware of any special dietary needs as identified through clinical assessments (i.e. physician orders, dietitian evaluations, etc.), and reflected in the ISP based on informed choice of the individual and/or their Supported Decision making representative/guardian? Is there evidence that the individual is being supported to follow the identified special dietary needs based on informed choice of the individual and/or their Supported Decision making representative/guardian? Has the ISP been updated to reflect any changes pertaining to the individual's nutritional needs?	Health/Attaining Wellness/Nutrition	
Are the staff and the individual aware of any health management and preventative needs (i.e. annual exams, dental care, immunizations, lab screenings, follow up care, etc.) as identified through clinical assessments (i.e. physician orders), and reflected in the ISP based on informed choice of the individual and/or their Supported Decision making representative/guardian?	Health/Preventative Practice/ Choose type as needed	

# Documentation – Appendix B

-  Documentation of the Individual Support Plan Monitoring and Review visit/phone contact and other pertinent information occurs by completing the Individual Support Plan Monitoring and Review Monthly/Quarterly Summary (Appendix B). This documentation may be summarized in the log note, or by referring to the completed Individual Support Plan Monitoring and Review Monthly/Quarterly Summary document.
  
-  The Individual Support Plan (ISP) Monitoring and Review Monthly/Quarterly Summary incorporates requirements for monitoring documentation.
  
-  If utilizing your own form, or summarizing in a log note, you must utilize the same title “Individual Support Plan Monitoring and Review Monthly/Quarterly Summary”.



# Documentation – Appendix B

## 3.020 Appendix B

### Individual Support Plan Monitoring and Review Monthly/Quarterly Summary

I. INDIVIDUAL'S NAME:  STATE I.D. #:  MONTHS/QUARTER COVERED:   
 PLAN IMPLEMENTATION DATE:  FUNDING SOURCE:  Waiver  Other

II. SERVICES REVIEWED - Indicate all services reviewed:

III. PROVIDER MONTHLY REPORTS WERE RECEIVED:

- YES. Provider monthly reports were current as of the time of this monitoring (service providers are required to submit monthly reports to the SC by the 15<sup>th</sup> of the following month). This includes RN Monthly Oversight Service documentation.
- NO. Provider monthly reports were not received from each service provider as required. Enter comments in Section V and enter as APTS finding.

IV. FOR MONTHLY REPORTS REVIEWED, THE DOCUMENTATION INDICATES THE FOLLOWING (CHECK ALL THAT APPLY. ANY CONCERNS REQUIRE A COMMENT BELOW IN SECTION V):

- Each service was provided as outlined in the ISP.
- The service is helping the person attain/maintain skills.
- Opportunities were provided to aid in decreasing formal supports.
- There is progress on outcomes.

V. COMMENT(S)/CONCERNS/POSITIVE FINDINGS — (must differentiate comments by naming the provider to whom the comments refer, if more than one service provider is covered by this review. Include comments for any significant changes which resulted in service changes):

VI. INDIVIDUAL SUPPORT PLAN MONITORING AND REVIEW FINDINGS:

Date(s) of contact:

Method of Contact (phone/face to face):

Findings from Missouri Quality Outcome Life Domain Areas Review:

Daily Life and Employment:

Community Living:

Social & Spirituality:

Healthy Living:

Safety & Security:

Citizenship & Advocacy:

Individual Support Plan Implementation:



# Documentation – Appendix B

## 3.020 Appendix B

### VII. THE FOLLOWING IS CONCLUDED AS A RESULT OF THIS REVIEW:

- Individual continues to make progress as outlined in the Individual Service Plan (ISP). The ISP continues to be appropriate and should be maintained.
- Individual is not making progress as projected in the current ISP and concerns need to be addressed. Following is the action plan for addressing needed changes:
- Follow up needed to address one or more areas of service delivery. Following is the action plan for addressing needed changes:

### VIII. FOLLOW UP REQUIRED AS A RESULT OF REVIEW:

- Findings are entered into the Quality Management Database (APTS).
- Action Plan to be implemented.
- Provider compliance/contract issues forwarded to Provider Relations.
- Findings from ISP Monitoring and Review sent to provider within 5 working days of the visit.
- No DD funded services for follow up.

Signature: \_\_\_\_\_ Title: Support Coordinator Date (mm/dd/yyyy):

# Support Coordination Process for Identification, Communication, and Resolution of Issues



- 🕒 Following each visit, the TCM provider must document positive comments, issues, and concerns.
- 🕒 Findings which require follow up or findings which were addressed on-site are entered into the Integrated Quality Management Functions Database (APTS Database).
- 🕒 If a Support Coordinator does not find any issues during a visit, this is documented and copied to the provider within five (5) working days.
- 🕒 If the Support Coordinator identifies an issue(s) that can be resolved during the visit or the issue is a one-time concern, the Support Coordinator, after resolving the issue, documents the issue and resolution with a copy to the provider within five (5) working days of the visit.



# Support Coordination Process for Identification, Communication, and Resolution of Issues Continued...



- 🕒 Findings will be entered into the Integrated Quality Management Functions Database (APTS Database).
- 🕒 If the issue was not resolved, the Support Coordinator will indicate the follow-up action they have completed in order to ensure the needed action is taken by the service provider and resolution occurs.
- 🕒 The Support Coordinator will verify that issues have been resolved and the resolution date will be entered into the Integrated Quality Management Functions Database (APTS Database).

# Support Coordination Process for Identification, Communication, and Resolution of Issues Continued...



- 🕒 If a Support Coordinator identifies or learns of incidents of abuse and/or neglect during a visit, he/she reports the incident according to [Department Operating Regulation 2.210](#). Support coordinators who work for Senate Bill 40 Boards or Not-for-Profit TCM agencies follow Department Regulation [9 CSR 10-5.200](#).
- 🕒 If a situation is identified during a visit that the Support Coordinator deems critical, i.e., dangerous or harmful and the person or staff are at immediate risk, the Support Coordinator remains on site until adequate safeguards are in place and/or a Support Coordinator supervisor or the Regional Director / TCM Executive Director approves their leaving.
- 🕒 The Support Coordinator will then report to the Regional Office Provider Relations.

# Support Coordination Process for Identification, Communication, and Resolution of Issues Continued...



- 👤 Issues involving individuals placed by DSS Children's Division will be communicated to the DSS Children's Division.
  
- 👤 If the Support Coordinator identifies any of the following, the Support Coordinator must take action to resolve with the provider.
  - 👤 Multiple issues occurring at one time, which in their totality indicate to the person performing support monitoring, that the health and/or safety of the individual(s) receiving services will be jeopardized if the noted issues continue.
  - 👤 Issues occurring over an extended period of time (more than two months);
  - 👤 Non-life threatening issue(s) that recur after correction or do not appear to be consistently resolved over time;
  - 👤 Significant health changes in the person they are supporting; or
  - 👤 Evidence of violation of individual's rights.

# Support Coordination Process for Identification, Communication, and Resolution of Issues Continued...



- 🕒 Action Taken by the Support Coordinator will include the following;
  - Inform Support Coordinator Supervisor regarding these issues.
  - Discuss with TCM Agency Management Team to strategize for resolution of issues. This will include follow up with the service provider management team.
  - If issues are not resolved at the Support Coordinator Supervisor and TCM Agency Management level, the agency will notify the Regional Office Provider Relations in writing to request additional assistance in working towards resolution.
  - The TCM Agency, provider, and Regional Office shall then meet within seven calendar days to strategize for final resolution of identified issues, and develop an Action Plan to document strategies and responsible parties. A copy of the Action Plans will be maintained by all involved agencies.
  - The Support Coordinator remains responsible to ensure verification of resolution of all identified issues, or to notify the Regional Office of non-compliance.

# Support Coordination Process for Identification, Communication, and Resolution of Issues Continued...



- 👤 The RO is responsible to ensure that the TCM Agency and service provider resolve issues in a timely manner.
- 👤 All findings identified for the individual will be entered in the Integrated Quality Management Functions Database (APTS Database) for tracking and trending. The Support Coordinator continues to monitor the issue(s) during routine visits, or more frequently if indicated by the Regional Office. The Support Coordinator then ensures the dates when issues were verified as being resolved.
- 👤 The issue/concern is entered initially one time in the Integrated Quality Management Functions Database (APTS Database) and is resolved when the Support Coordinator verifies and enters the resolution in the Integrated Quality Management Functions Database.

# Support Coordination Process for Identification, Communication, and Resolution of Issues Continued...



- 🕒 Within five (5) working days of the visit, Support Coordinators forward the documentation to the provider's responsible Developmental Disability Professional / Facility Administrator. The findings are then entered into the Integrated Quality Management Functions Database (APTS Database).
- 🕒 The Support Coordinator will educate individuals and/or their Supported Decision Making Representative/Guardian, on the Individual Support Plan Monitoring and Review process and will be notified of findings from the visit as requested.



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

**Thank you!**