

Supports Brokering in Pennsylvania

LESSONS 1 – 14

May 2018

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LESSON 1

Introduction to Supports Broker Training: Paradigm Shift

Objectives

Participants will...

- leave with a deep understanding of the philosophy behind person-driven models.
- understand the framework of person-driven services in PA.
- understand the roles and responsibilities of Supports Brokers and Recovery Coaches.
- have the tools to assist people with decision-making and enhancing natural supports.
- possess the tools to support people in their roles as employers.

“Person Driven Services”

Also called:

- Participant-Directed Services (PDS)
- Self-Directed Services
- Consumer Driven or Directed Services
- Consumer-Employer

Financial Management Service (FMS) Organizations

- Provide specialized payroll services to people directing their own services
- Developed to improve choice and control of participant directed services
- Ensure supports and services are in compliance with tax and labor laws

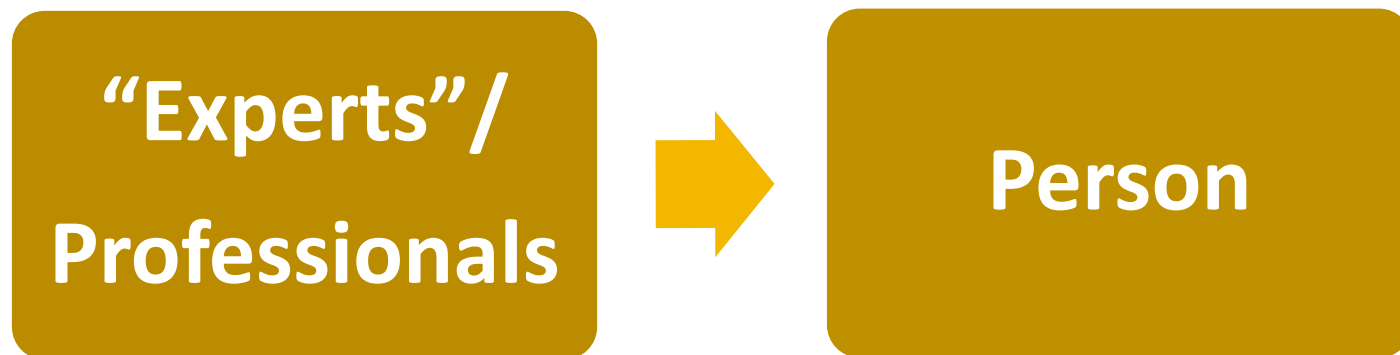
Supports Broker

Designed to assist participants in order to be successful self-directing some or all needed services.

- **Employer-related duties** (finding, hiring, managing support workers, support with paperwork for FMS)
- **Enhancing Natural Supports** (facilitating a support group that helps to meet the participant's self-direction needs - "Circle of Support")
- **Support with program rules** (assisting with monitoring expenditures and utilization of services, following rules of the waiver)

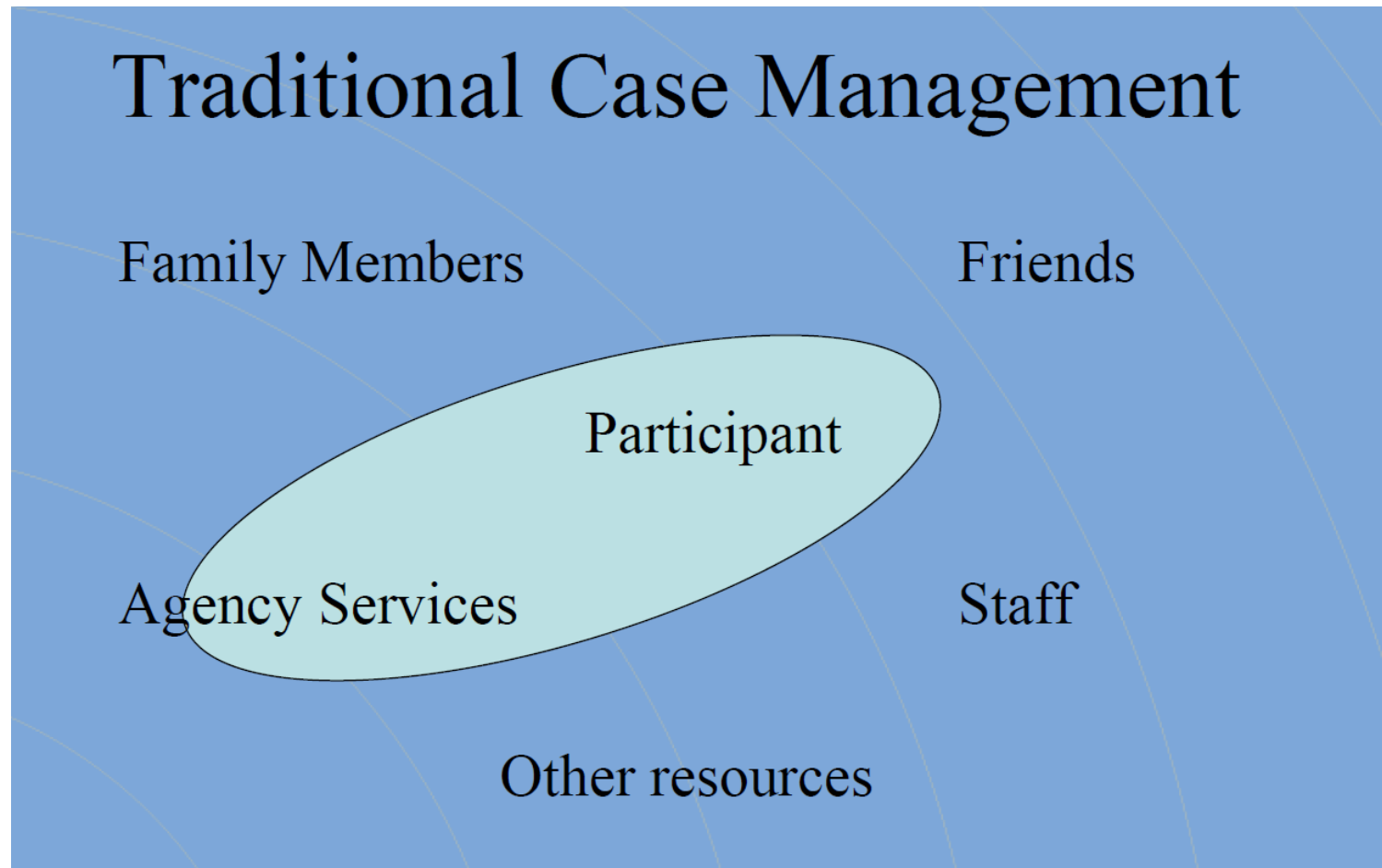
Paradigm Shift

Person-driven services are about a fundamental shift in power.



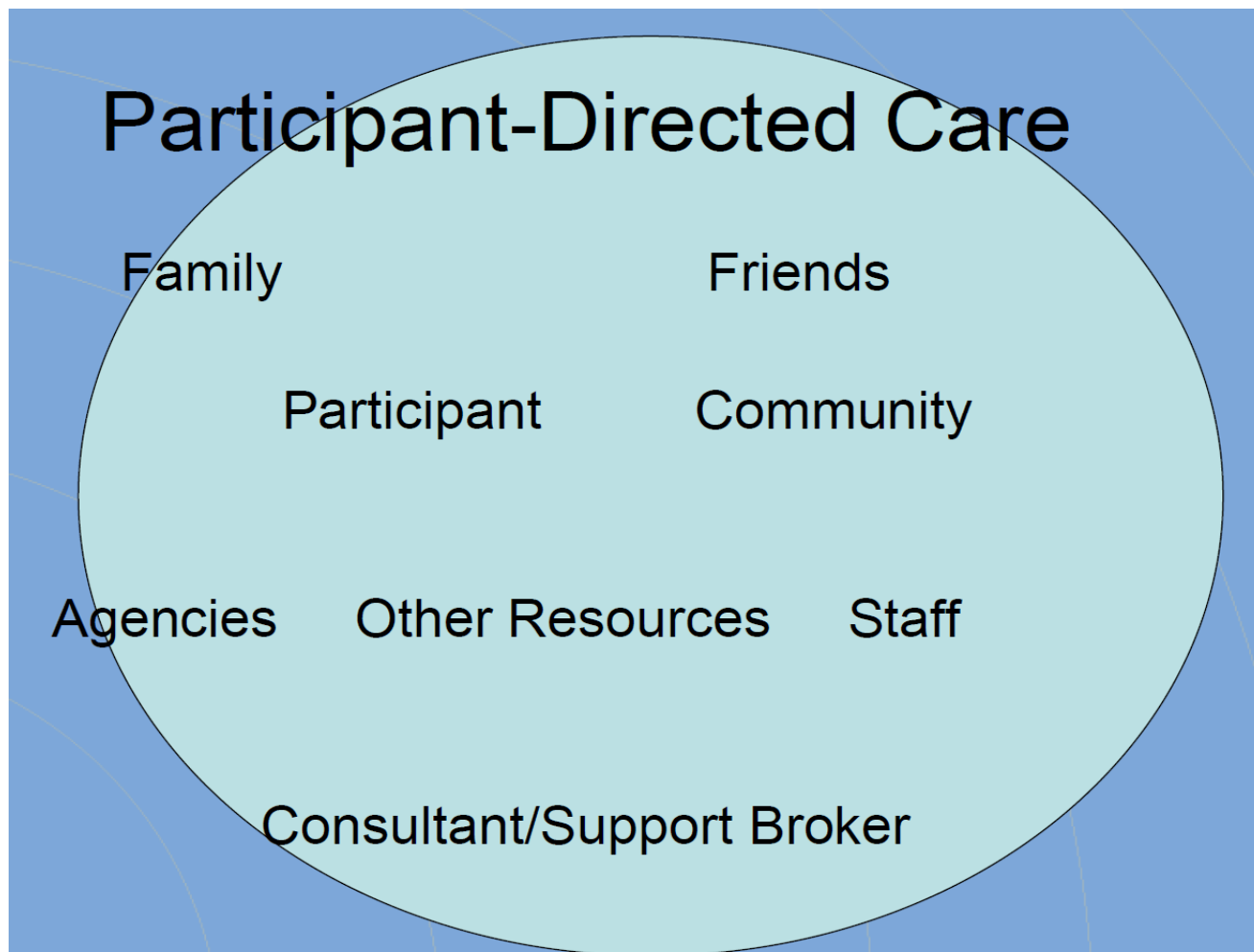
Supports Brokers can support this shift.

Paradigm Shift



Graphic: Boston College Center for the Study of Home and Community Life

Paradigm Shift



Graphic: Boston College Center for the Study of Home and Community Life

Traditional versus Participant-Direction Models

Traditional

- Person selects provider agency from willing and qualified providers in the area
- Agency makes staff decisions—does all hiring, training, managing, scheduling
- Primary responsibility for implementing ISP is provider's

Participant-Direction

- Person is directly involved in the hiring or selecting of support people.
- Person directly manages, schedules and trains support people.
- Person directly determines how to achieve the outcomes listed in the ISP.

LESSON 2

Principles of Self-Determination, Everyday Lives and Recovery

Why Person-Driven Models?

- Civil rights, integration
- Cost effectiveness
- Better outcomes
- Response to demographic changes
- System only gets more complicated

Principles of Self-Determination

Freedom

The exercise of the same rights as all citizens.

People with disabilities, with assistance when necessary, will establish where they want to live, with whom they want to live and how their time will be occupied. They do not have to trade their inalienable rights guaranteed under the Constitution for supports or services.

The National Office of Self-Determination

Principles of Self-Determination

Authority

The control over whatever sums of money are needed for one's own support...

including the re-prioritizing of these dollars when necessary. This is accomplished through the development of an individual budget that "moves" with the person.

The National Office on Self-Determination

Principles of Self-Determination

Support

The organization of these resources as determined by the person with a disability.

This means that individuals do not receive "supervision" and "staffing." Rather, folks with disabilities may seek companionship for support and contract for any number of discrete tasks for which they need assistance.

The National Office on Self-Determination

Principles of Self-Determination

Responsibility

The wise use of public dollars.

Dollars are now being used as an investment in a person's life and not handled as resources to purchase services or slots. Responsibility includes the ordinary obligations of American citizens and allows individuals to contribute to their communities in meaningful ways.

The National Office on Self-Determination

Principles of Self-Determination

Self-Advocacy

For an authentic voice in individual/personal and public policy decision-making

Self-advocacy is about helping people with disabilities to speak up for themselves. If we do not know how to speak up for ourselves, we will never know how to dream and what we can achieve. Without self-advocacy there is no self-determination!

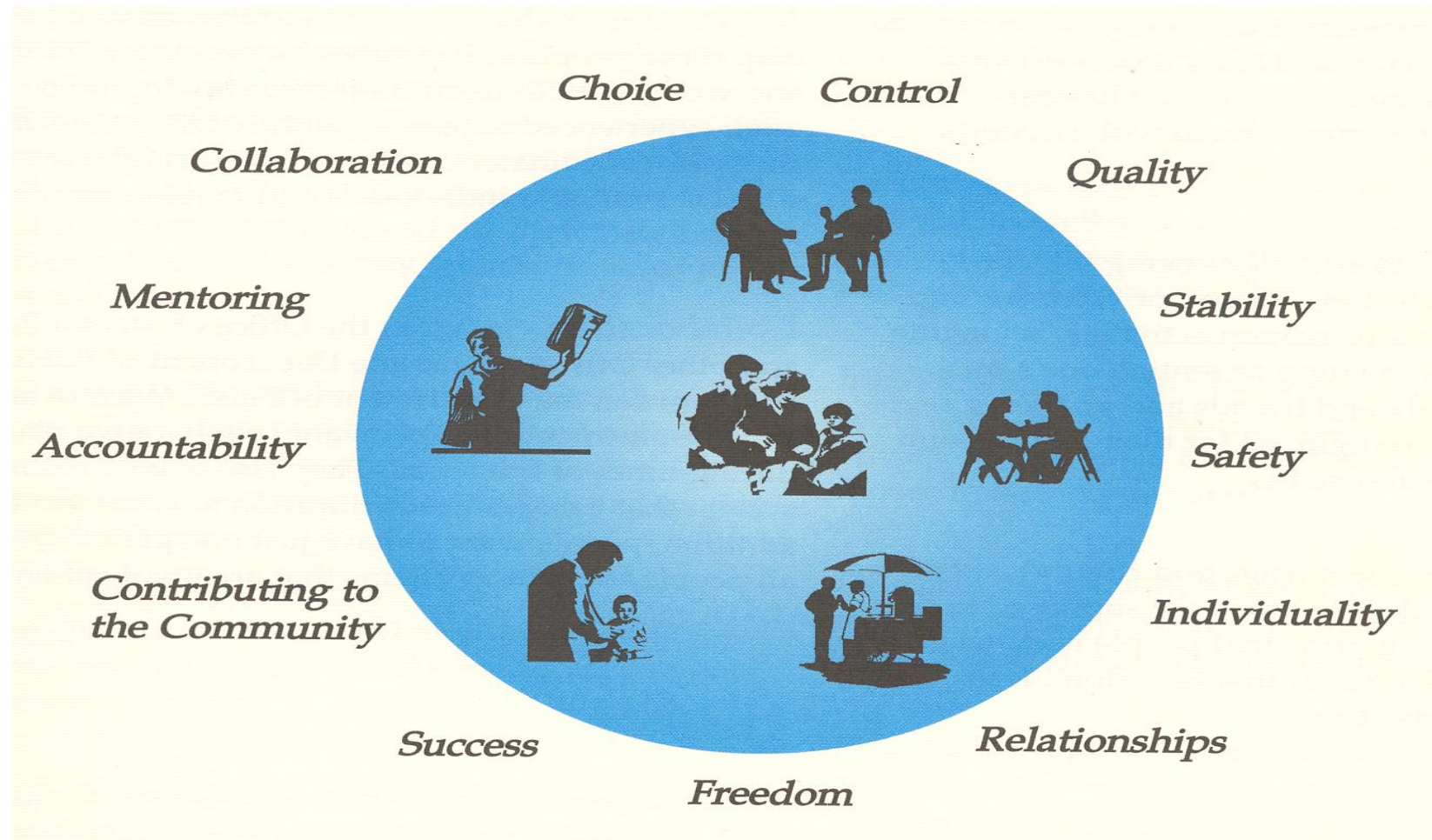
Self-Advocates Becoming Empowered

Everyday Lives

Everyday Lives means that people with disabilities can live, work, play, and worship in their communities to have lives just like everyone else.



Everyday Lives



LESSON 3

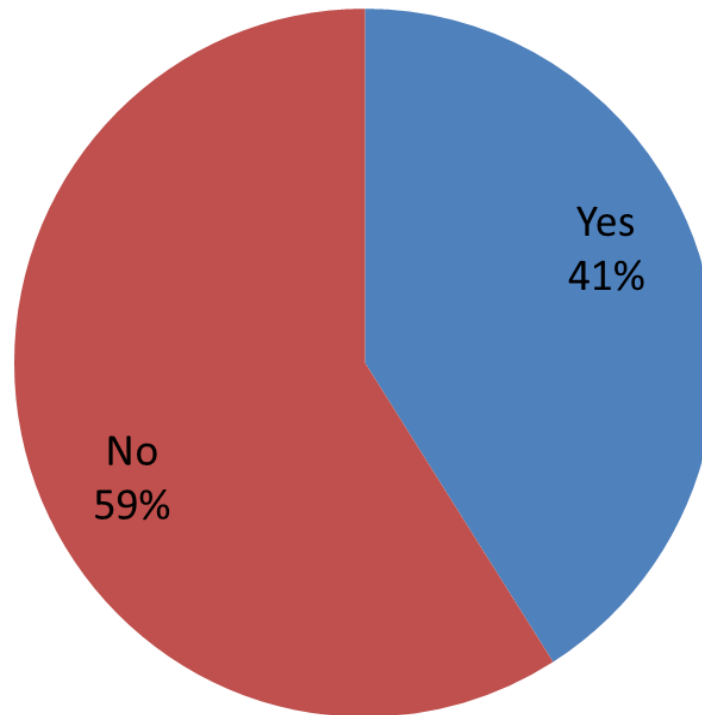
Integrating the Principles of Wellness with Everyday Lives

What is Dual Diagnosis?

Dual Diagnosis is defined as a person who has
an Intellectual/Developmental Disability
AND
Mental Health Challenges.

Dual Diagnosis Survey of Individuals with I/DD in Pennsylvania

Mental Illness or Psychiatric Diagnosis



Everyday Lives and Recovery

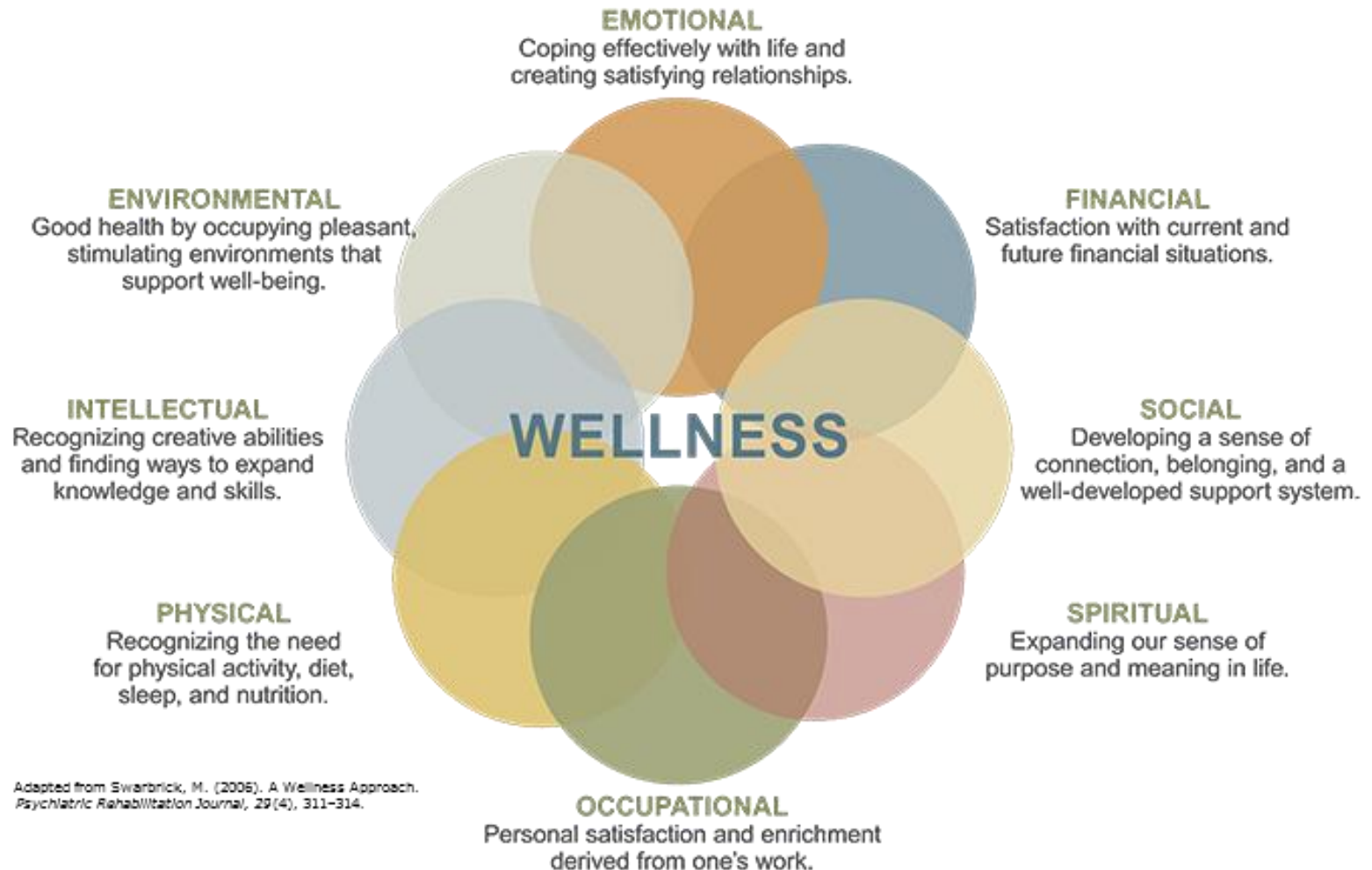
Everyday Lives

- Choice and Control
- Stability and Quality
- Individuality and Success
- Relationships
- Contributing to the community
- Freedom
- Mentoring
- Success

Recovery

- Self-Direction
- Individualized and person-centered
- Empowerment
- Holistic and non-linear
- Strengths-Based
- Peer Support
- Respect
- Responsibility
- Hope

8 Dimensions of Wellness



How Does Recovery Fit Into an Everyday Life?

- For individuals who have intellectual disabilities and mental health challenges, part of their Everyday Life is focusing on recovery.
- This may mean:
 - Taking time to work on problem-solving skills
 - Educating themselves about their mental health challenge and how it impacts them
 - Maintaining a medication regimen
 - Meeting with support groups
 - Attending therapy
 - Working with a Peer Specialist
 - And other endless possibilities.....

How Does Recovery Fit Into an Everyday Life?

- Think about someone you may know who is recovering from a mental illness, substance abuse or both...
 - Recovery is about changing how you think
 - Recovery is about changing your life
 - **Recovery can be an enormous part of someone's *Everyday Life*.**

Principles of Everyday Lives and Recovery

- People who have intellectual disabilities and mental health challenges will:
 - Have opportunities to pursue a full and meaningful life which fosters recovery and provides adequate support for developmental and intellectual disabilities
 - Be provided adequate knowledge and information to achieve optimal health, physically, mentally and spiritually, help them take responsibility for their own lives and behaviors

Principles of Everyday Lives and Recovery

- Be supported to understand options and outcomes and participate fully in decision making
- Be supported to find ways to communicate and express themselves
- Be supported to develop meaningful relationships in their communities
- Have meaningful opportunities to give back through employment, education and volunteering

Principles of Everyday Lives and Recovery

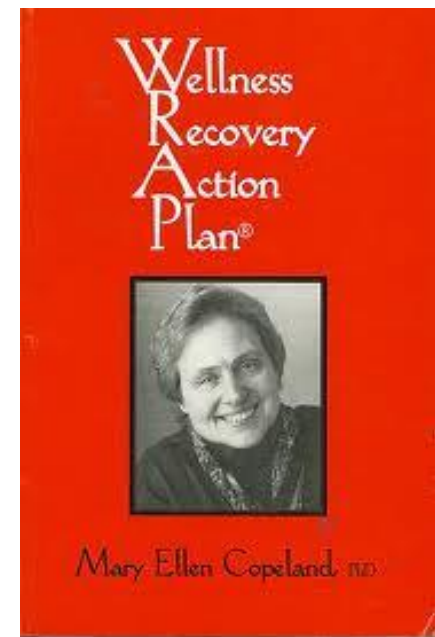
- Have access to services and supports based on each person's hopes, dreams, capabilities and talents
- Be provided with supports that make a commitment to quality
- Have access to professionals and peers who have competence working with people who have intellectual disabilities and mental health challenges

Some Strategies for Mental Health Wellness

- Relaxation and Meditation
- Physical Activity
- Relationships
- Spirituality
- Activities and Hobbies
- Pets
- Sleeping
- Nutrition

Incorporate Strategies for Wellness and Recovery into the Individual Support Plan (ISP)

- Waiver services could support a person in wellness strategies
- New community based treatment approaches
 - Peer Support
 - WRAP© Planning



In Closing:

- Without an understanding of ourselves there is no change.
- Without change there is no hope.
- Without hope there is no reason to try.
- Without a reason to try, there is no chance.
- Mental health wellness and recovery is about hope, change and another chance at an *Everyday Life*.

Resources on WRAP®

- To locate a WRAP facilitator or to receive WRAP® training, please visit the Copeland Center Website at www.copelandcenter.com
- For local resources on WRAP® and WRAP® facilitation, please contact the Mental Health Association of Southeastern PA at www.mhasp.org

LESSON 4

Person Driven Supports Using Participant Directed Services in Pennsylvania

In PDS the Person has:

- Employer Authority
 - Person can be more active in choosing/managing qualified Support Service Workers (SSWs)
- Budget Authority
 - Have more control over how services will be provided

Employer Authority

- Person is the employer, taking on some designated responsibilities.
- ODP/OLTL provides Financial Management Services to support people with employer responsibilities.

Employer Authority:

As an employer, the person will be able to:

- Recruit, hire, manage and dismiss Support Service Professionals (SSPs)
- Take on different levels of responsibility as an employer:
 - Common Law Employer or
 - Managing Employer (ODP Only)

Budget Authority:

If exercising Budget Authority, person also has the authority to:

- Set the hourly rate within established ranges, and
- determine whether to provide a benefit allowance for the SSP (ODP Only)

PDS in PA

- PDS option offered in most waivers (not in the Autism Waiver)
 - Options in Consolidated, Community Living and the Person/Family Directed (P/FDS) in ODP
 - Options in OBRA, Commcare, Independence, Attendant Care and Aging in OLTL (The new Community HealthChoices Managed Long Term Services and Supports Program includes PDS)
- Over 19,000 people on home and community based waivers in PA self-direct at least one service
- Restricted to people who live in private residences

OLTL Waivers:

Services that Can Be Self-Directed

- **CommCare, OBRA, Independence Waivers** – Personal Assistance, Respite
- **Attendant Care Waiver** – Participant Goods and Services, Participant-Directed Community Supports, Personal Assistance
- **Aging Waiver** - Participant Goods and Services, Participant-Directed Community Supports, Personal Assistance, Respite

ODP Waivers:

Services that Can Be Self-Directed

- In Home and Community Supports
- Homemaker/Chore
- Unlicensed Respite
- Companion Services
- Supports Broker
- Supported Employment
- Home and Vehicle Accessibility Adaptations
- Assistive Technology
- Transportation (Mile) and Public Transportation
- Specialized Supplies
- Educational Support Services

Financial Management Service (FMS) Organizations

- Provides specialized payroll services to people directing their own services
- Enhances the person's choice and control of the services they are directing
- Ensures supports and services are in compliance with tax and labor laws

Financial Management Services

- In ODP, the *person can choose*
 - Vendor Fiscal/Employer Agent (VF/EA) –only one organization
 - Agency With Choice (AWC)-at least one per AE
- In OLTL, *there is only one* FMS and it is Vendor Fiscal/Employer Agent (VF/EA)

Vendor Fiscal/Employer Agent (VF/EA):

- Person or surrogate is the “Common Law Employer” or the “Employer of Record”
- Person or surrogate are the legal employer of Support Service Professionals (SSPs) hired
- VF/EA Financial Management Service Organization is the “employer agent” who completes all of the administrative and legal tasks.

Agency With Choice (AWC): (ODP Only)

- Person or surrogate are the “Managing Employer” and joint-employer with AWC Financial Management Service organization
- AWC FMS is the “Employer of Record” and performs most of the administrative and legal functions
- Support Service Professionals (SSPs) are employees of the AWC—the person recruits, selects and manages the SSPs

Cash and Counseling in OLTL

Cash—people with disabilities have the option to manage a flexible budget and decide what mix of goods and services best meet their personal care needs.

Counseling—providing information and assistance to individuals who direct their own services. The goal of counseling is the same: to offer flexible and personalized support to ensure that self-direction works for the participants who choose it.

(National Resource Center for Participant-Directed Services)

Services My Way

- “Cash and Counseling” model in PA
 - Attendant Care Waiver
 - Aging Waiver
- Available statewide
- Available in new Community HealthChoices Managed Care system

Cash—the Flexible Budget

- **Participant-Directed Goods and Services**
 - Services, equipment, supplies not covered by other service in waiver, MA, Medicare, etc.
 - Examples: washing machine, home modification or adaptive equipment, other items that promote independence
- **Participant-Directed Community Supports**
 - Support to assist with ADLs, health maintenance, meal prep, household chores, access community activities

Counseling – Info and Assistance

- **Service Coordinator**
 - Assist in developing and managing budget
 - Accessing services and workers
- **Financial Management Services (FMS)**
 - Payroll, workers comp, taxes, etc.
 - Make payments for goods and services in plan

Supports Broker Role

Designed to assist participants in order to be successful self-directing some or all needed services.

- **Employer-related duties** (finding, hiring, managing support workers, support with paperwork for FMS)
- **Enhancing Natural Supports** (facilitating a support group that helps to meet the participant's self-direction needs -“Circle of Support”)
- **Support with program rules** (Assisting with monitoring expenditures and utilization of services, following rules of the waiver)

PDS in Behavioral Health System

- Pilot project in Delaware County – Consumer Recovery Investment Fund (CRIF)
 - Individual budget (based on historical costs)
 - “Freedom Funds” – can be used to meet recovery and wellness goals
- Pilot in Allegheny County
- Effort underway to make PDS option available statewide

LESSON 5

Role of a Supports Broker: Translating Philosophy into Practice

Supports Brokers: History

- Independent Living Movement
- Woodlands School
- Robert Wood Johnson 1997
 - 17 states awarded grants—wide variation of self-directed services demonstrations
- Home and Community-Based Service Changes

Supports Brokers: Role in Participant-Direction

- Fundamental shift in power from providers to individuals (“Buying power”)
- Support in system of individualized funding
- Assist in “brokering” for goods and services (including informal and non-specialized goods and services)

Supports Brokers: ODP Waivers

Designed to assist participants or their surrogates in order to be successful self-directing some or all needed services.

- **Employer-related duties** including assistance with:
 - effective recruiting and hiring techniques
 - determining pay rates of workers
 - worker schedules
 - back-up plans
 - effective management and supervision techniques
 - fulfilling responsibilities as the Common Law or Managing Employer

Supports Brokers: ODP Waivers

- **Enhancing Natural Supports**
 - Facilitating a support group that helps to meet the participant's self-direction needs ("Circle of Support")
 - Expanding and facilitating informal, unpaid resources and networks within the community to support success with participant direction
 - Identifying areas of support that promote success with self-direction and in/terdependence and sharing with SC for inclusion in ISP

Supports Brokers: ODP Waivers

- **Support with Participant-Direction Program Rules**
 - Assisting with monitoring expenditures and utilization of services
 - Complying with the standards, regulations, policies and the waiver requirements related to self-direction
 - Advising in problem-solving, decision-making, and achieving desired personal and assessed outcomes related to PDS
 - When applicable, securing a new surrogate and responding to notices for corrective action from the FMS, SC, AE or ODP
-

Limitations

- Supports Broker Services are available to people on P/FDS, Community Living and Consolidated who exercise employer authority through an AWC or VF/EA FMS.
- This service is limited to a maximum of 1040 (15-minute) units per individual per fiscal year based on a 52-week year.

Supports Coordination and Supports Brokering

Supports Coordination

- A critical service that involves the primary functions of locating, coordinating, and monitoring needed services and supports for waiver participants. This includes assistance in linking, arranging for, and obtaining services specified in an Individual Service Plan (ISP)

Supports Brokering

- A service to assist an individual or their designated surrogate with employer-related functions in order to be successful in self-direction of some or all of the individual's needed services.
- The Supports Broker assists an individual with only the participant-directed aspects of his/her ISP and with enhancement of natural and generic community supports as identified in the ISP

Supports Coordination and Supports Brokering

Supports Coordination

- Provide individuals with information on PDS, including the potential benefits and risks;
- Assist with the transition to the PDS model, and ensure continuity of services during transition;
- Assist the individual in designating a surrogate, as desired;
- Provide individuals with the standard ODP information about PDS including an explanation of the options and contact information for the FMS providers.

Supports Brokering

- Support with employer-related duties including
 - Completing employer-or managing employer related paperwork.
 - Participating in FMS orientation and other interactions with the FMS organization.
 - Developing effective recruiting and hiring techniques.
 - Determining pay rates for workers.
 - Providing or arranging for worker training.
 - Developing worker schedules.
 - Developing effective management and supervision techniques such as conflict resolution.

Supports Coordination and Supports Brokering

Supports Coordination

- Inform individuals about the use of unpaid, informal, generic, and specialized services and supports
- Contact with family, friends, and other community members to facilitate coordination of the individual's natural support network

Supports Brokering

- Expanding and coordinating informal, unpaid resources and networks within the community to support success with self direction
- Facilitating a support group that helps to meet the individual's self-direction needs ("Circle of Support")
- Scheduling and facilitating the use of a blend of paid and unpaid supports

LESSON 6

Person-Centered Thinking Overview

LESSON 7

Person-Centered Planning: Vision

LESSON 8

Person-Centered Planning: Time for Action

LESSON 9

Supported Decision-Making

Developed using information with permission from:

- Boston College Center for the Study of Home and Community Life
- MEDSTAT Consultants
- Department of Health and Human Services
- Centers for Medicare & Medicaid Services

Tenets of Participant-Directed Services

- May represent a wide range of choices
- Places the participant as expert in identifying needs and desires.
- Service to total life planning option
- Consultant's role is that of facilitator, coach, and teacher not expert.
- Participant-directed care focuses on choice and active decision-making.

Decision Making:

How do we make decisions?

Intellectual Factors (Head) in Decision-Making

- What knowledge (or lack of) do participants bring to making decisions about services?
- What knowledge may affect decisions participants will make?
- How do we educate and inform participants without violating their right to self-determination?

Emotional Factors (Heart) in Decision Making

- How do past emotional experiences affect the decisions a participant makes?
- What kinds of things do participants have strong emotional reactions to? Fear? Joy? Anxiety? Anger?
- How do emotional factors cloud the role of knowledge in decision-making?

Social Factors (Hands) in Decision-Making

- What social experiences (or a desire for social experiences) affect who participants want to interact with them?
- How do you think the participant sees himself or herself in relationship to the greater society? How does this affect decision-making?

Purpose-Driven Factors in Decision-Making

- Do you think the participants have a vision for their lives? Why? Why not?
- Do they have dreams of what they want in life?
- Do they see a reason for their lives?

Risk is...

- The likelihood of a bad or undesirable outcome.
- The willingness to tolerate uncertain outcomes.

What is your risk tolerance?

Risk averse:

- Prefers structure, certainty, with less (rather than more) variability.
- Worst case scenario

Risk seeker:

- Prefer ambiguity, greater tolerance for unknown consequences.
- Best case scenario

Risk tolerance is a function of:

- Personality structure
- The biological need for thrill
- Age and gender
- Birth order
- Level of education
- Previous experience
- Perception of irreversibility

Risk with Dignity

- Exploration of options
- Careful consideration
- Honoring of choice

What tools do Supports Brokers have to support people with decision-making?

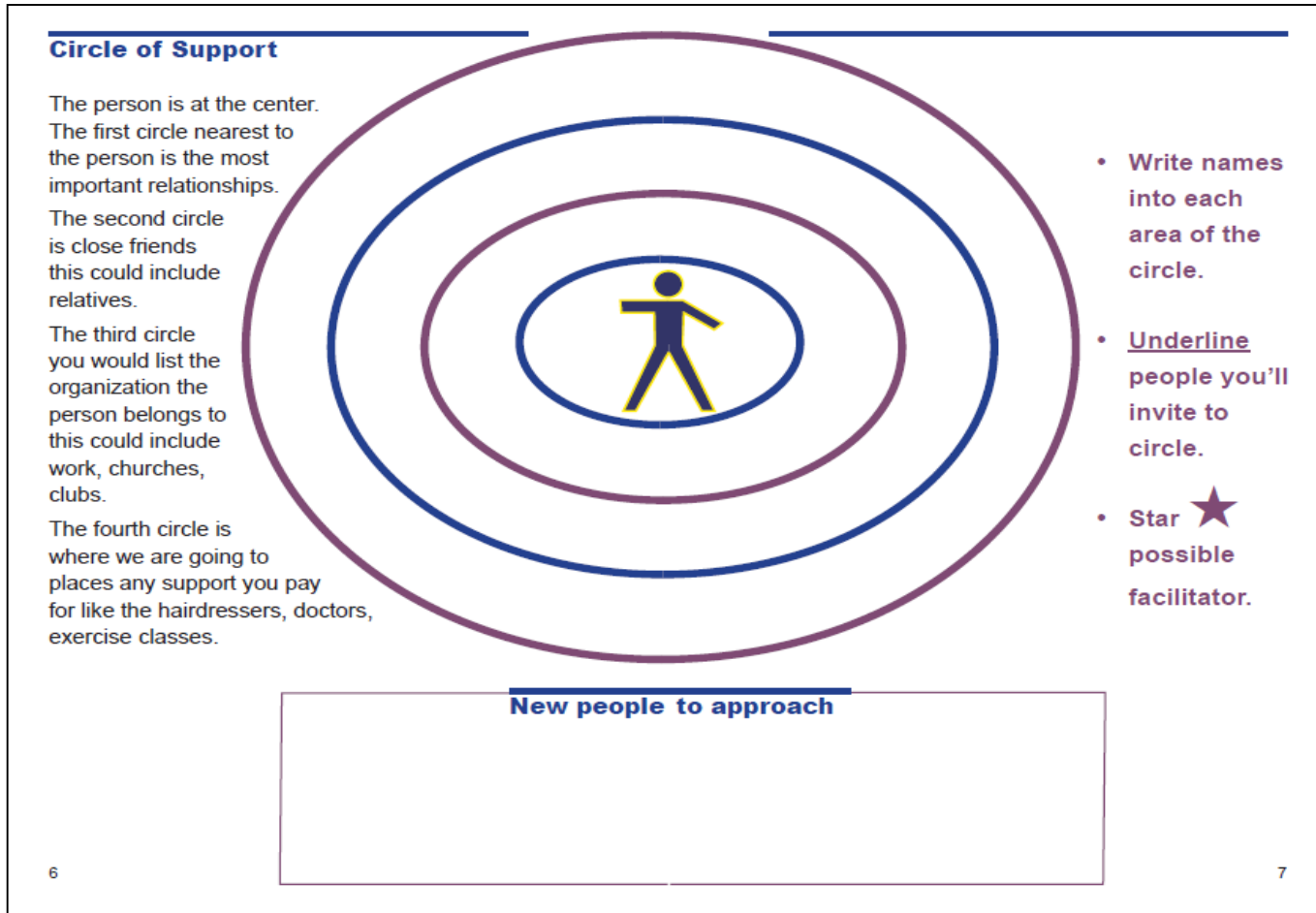
What challenging situations can Supports Brokers anticipate?

- Interpersonal/family dynamics
- Risk tolerance

LESSON 10

Engaging Natural Supports: Creating and Maintaining Circles

Circles of Support



LESSON 11

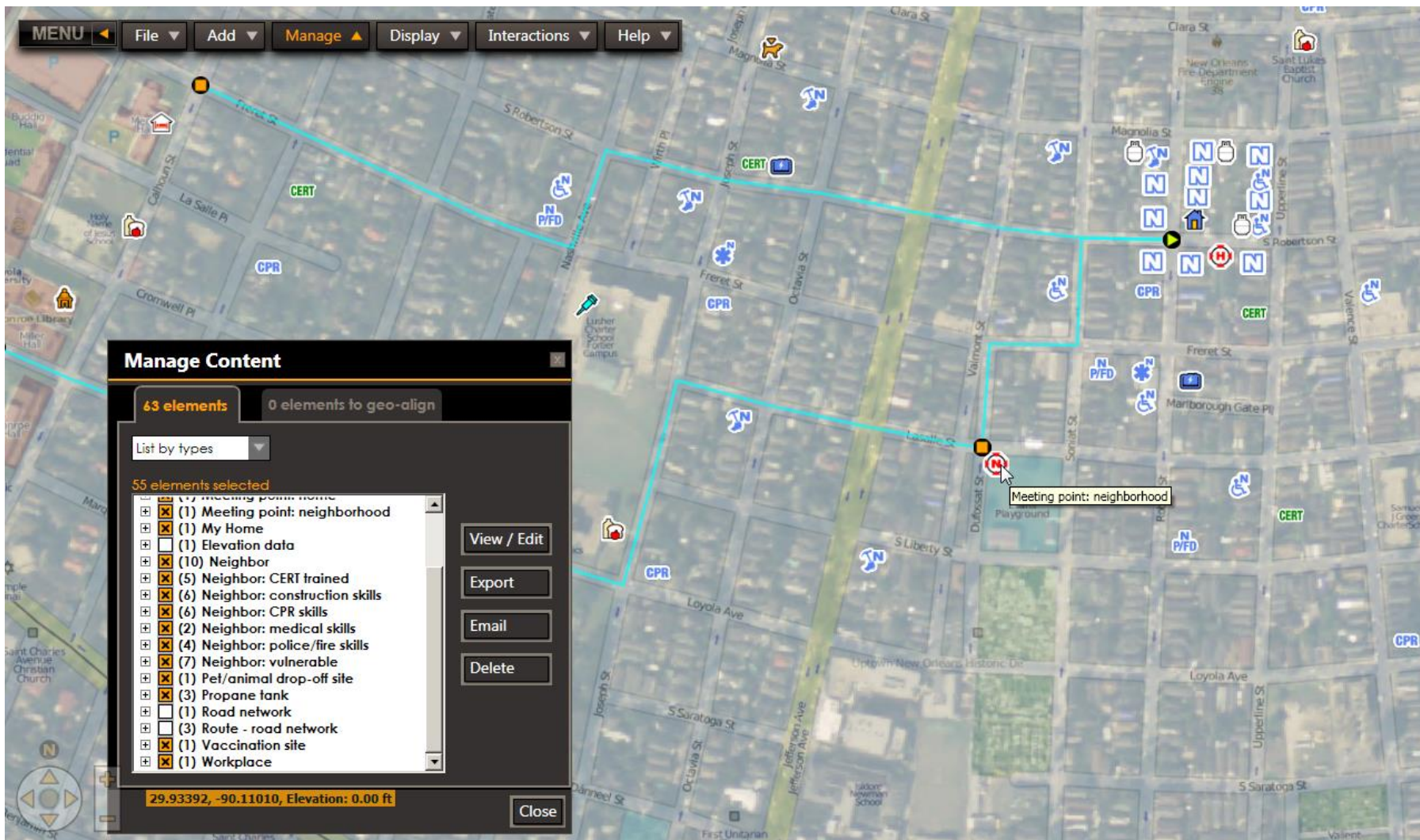
Community Mapping

What is Community Mapping?

More generally understood definition

Collaborative mapping supports and facilitates an integrated approach to environmental conservation, open-space and historic preservation, neighborhood revitalization and urban planning, community asset inventories, and economic development as well as expands awareness of local needs, issues and special places as determined by the community's own members.

–Center for Community Mapping



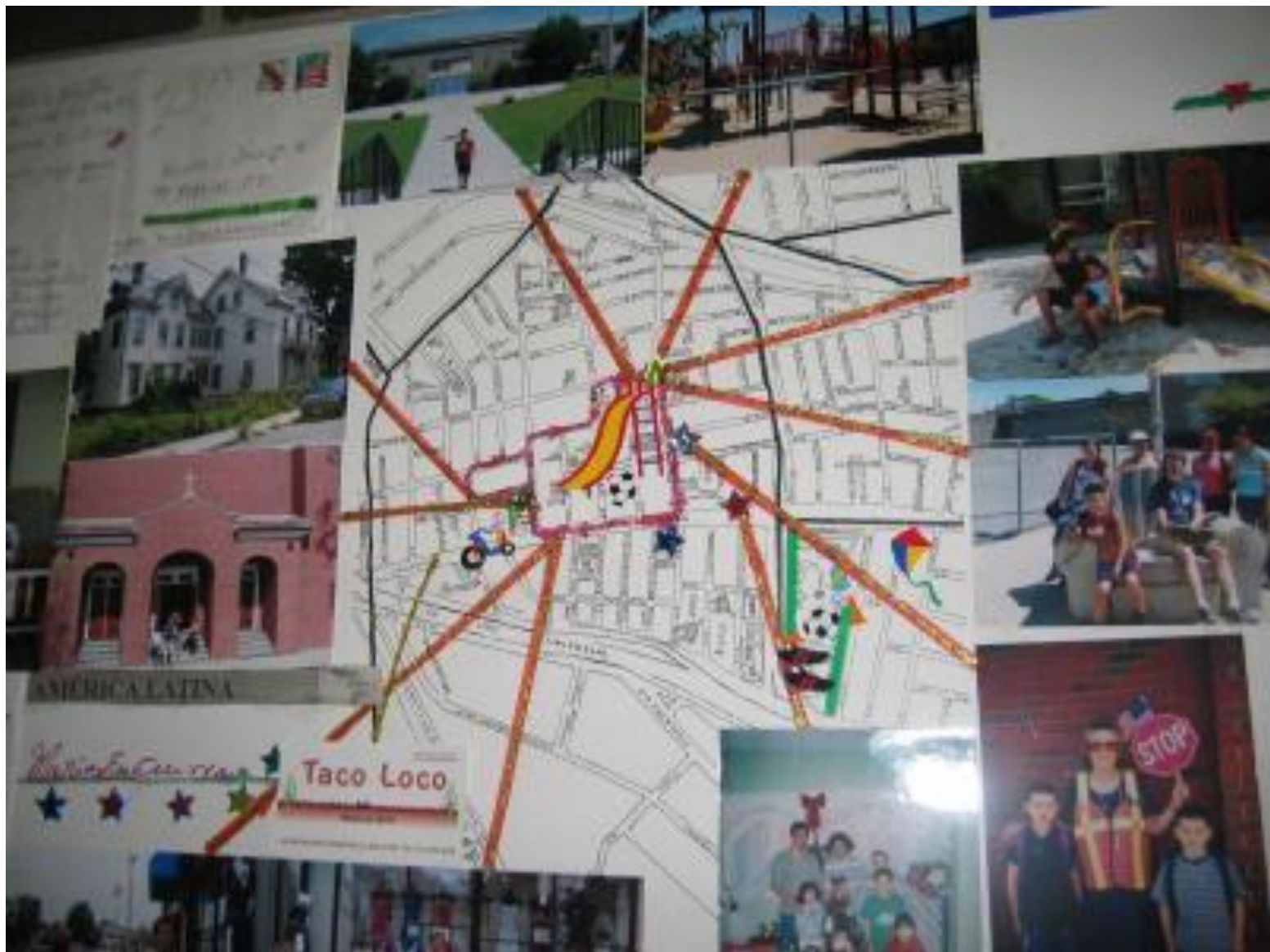
Template for Mapping a Person's Community

Questions that need answering:

1. What is your vision? Your aspirations?
 2. What gifts/interests do you share?
 3. Where do you feel welcome?
 4. Where do you contribute?
 5. Where would you be missed if you didn't make it?
 6. What are the places or opportunities in your community to share your gifts/interests?
 7. Who can help? What are they helping with?
When? (date for action to be completed)
-

Process for Mapping a Person's Community

- Environmental scan – HOW depends on the person
- Some possible approaches that may work separately or in combination
 - Meeting of people who know and care—brainstorming —visual/graphic process
 - In separate conversations and using the web
 - Walk around area, pick up local newspapers and magazines—observe and talk to people
 - Drive around area, take public transportation in the area



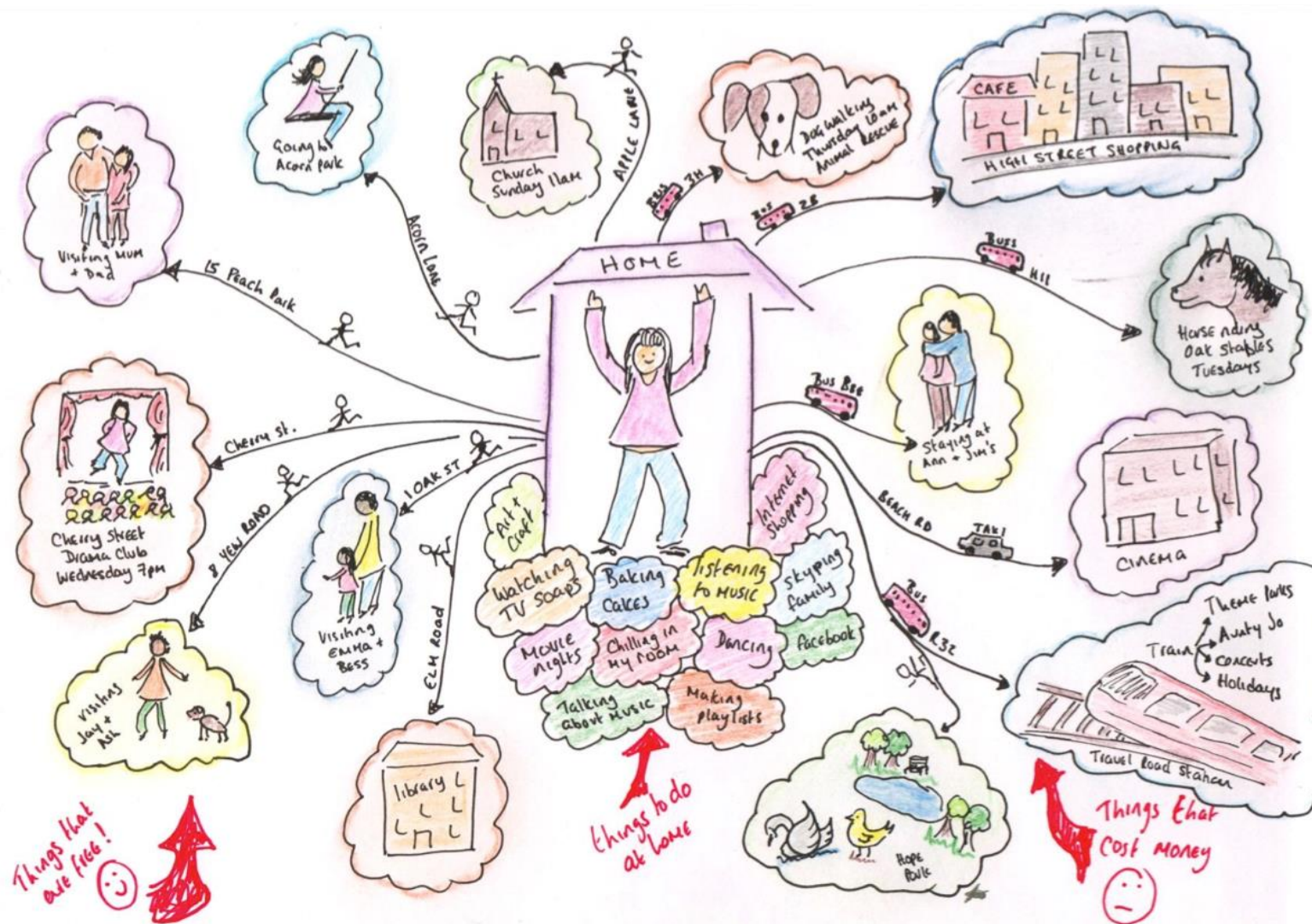


Image from [Chrissie Trow](#)

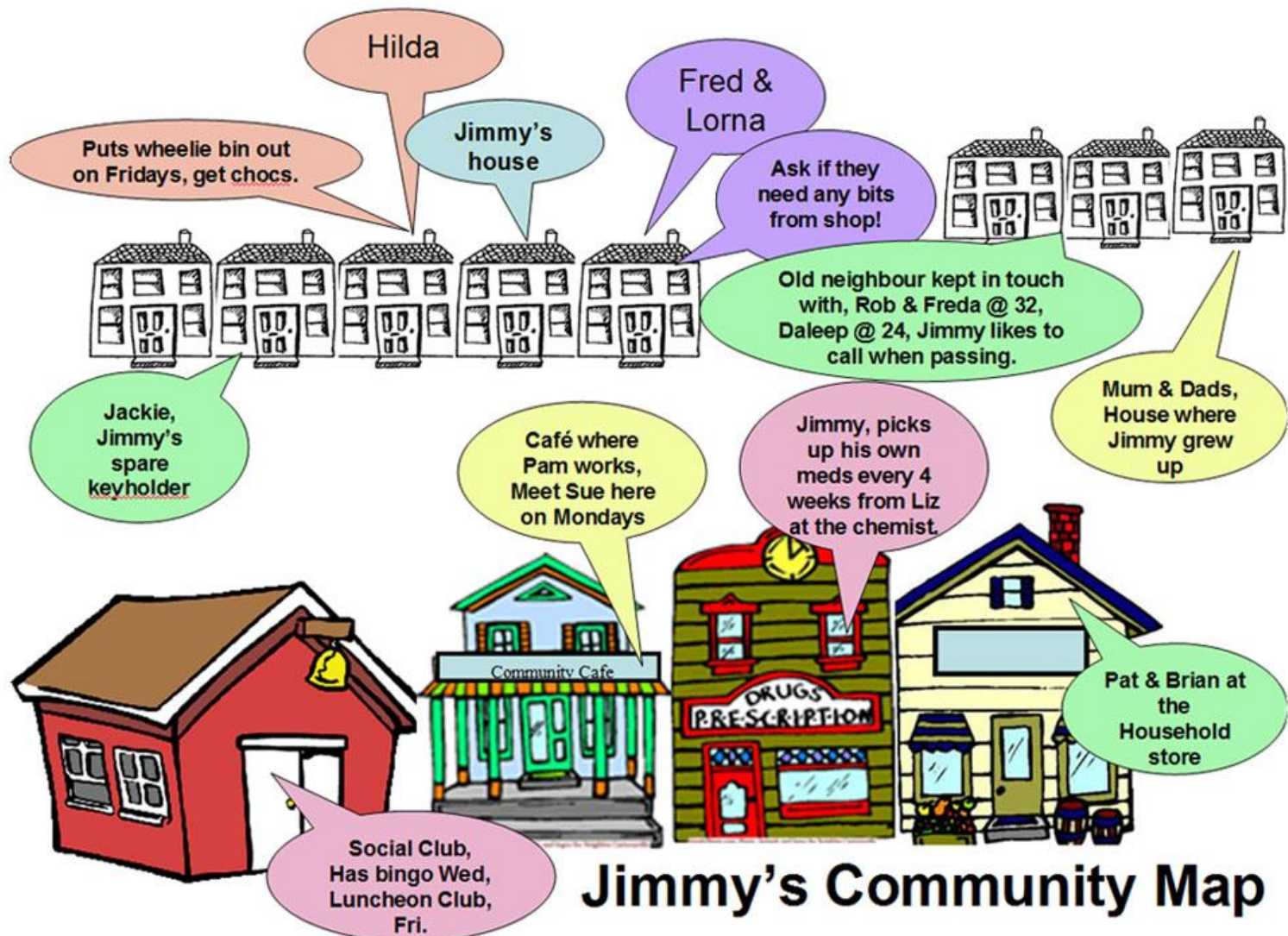


Image from www.options-empowers.org

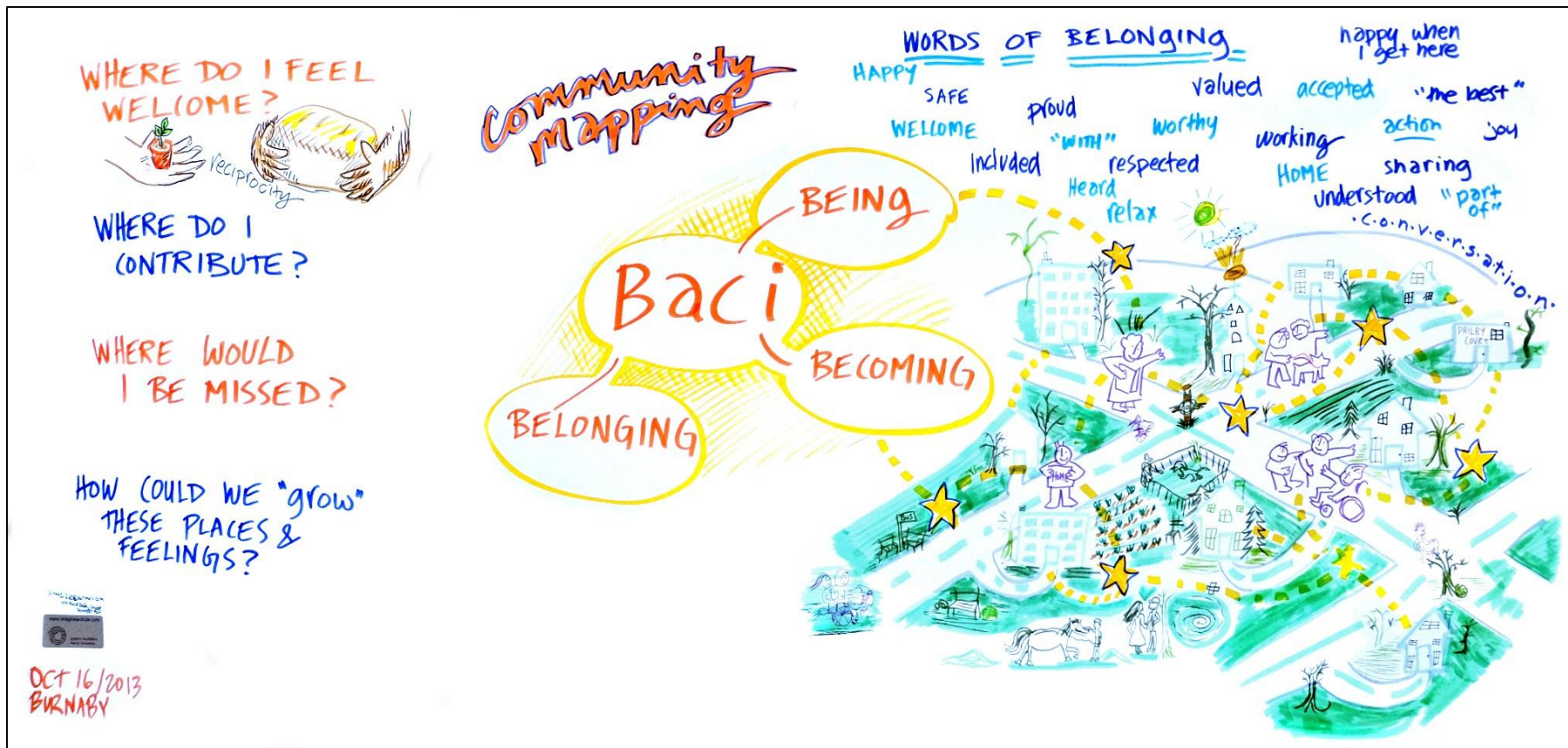


Image from imagineacircle.com



Image from imagineacircle.com

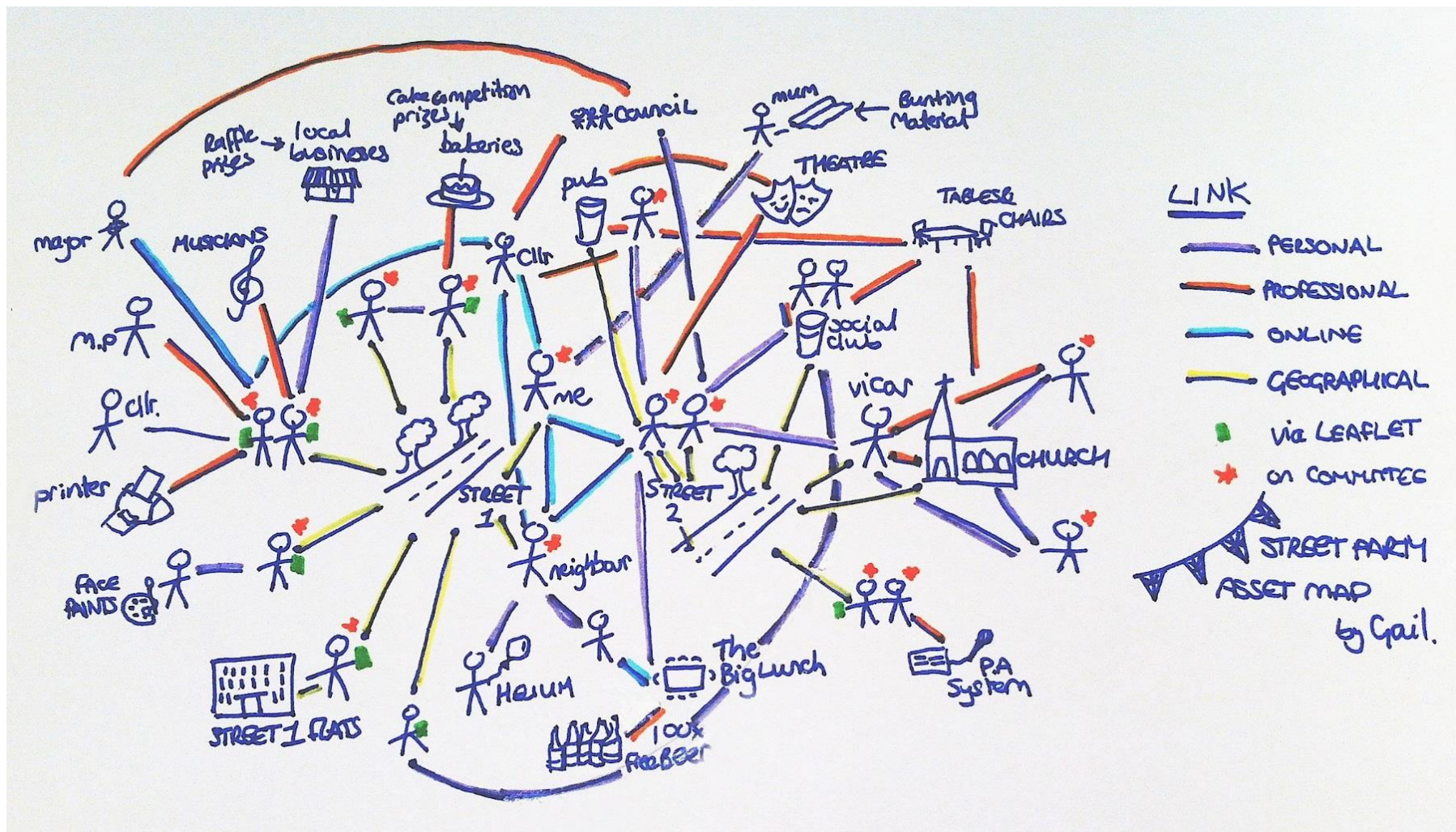


Image from creativecitizens.co.uk

Tactics once you've identified possible places, groups, etc...



Expand upon
connections -
Invite

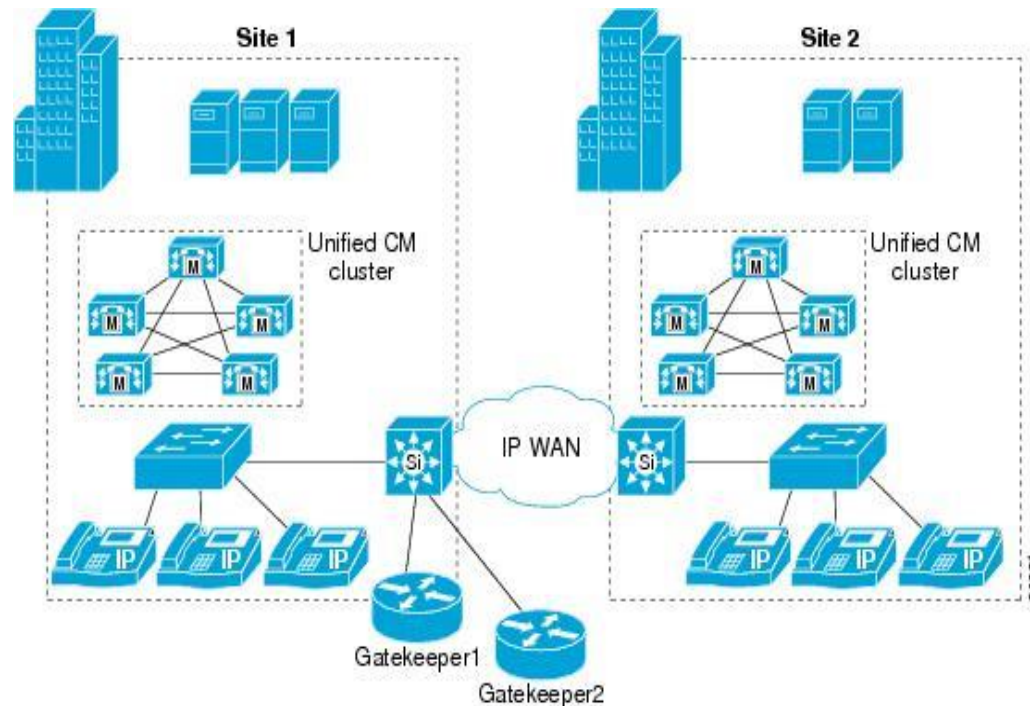
Show up &
observe

Identify the “gatekeeper(s)”

Keep showing
up

Acknowledge
gifts and offer
contributions

Build
relationships



LESSON 12

Financial Management Services

LESSON 13

Individual Supports Plans and Individual Budgeting

LESSON 14

Supporting Employers

Objectives

Supports Brokers/Recovery Coaches have the tools to support people in their roles as employers including:

- Having a basic understanding of employment laws
- Developing skills to assist people with recruiting, interviewing, hiring and managing quality Support Service Workers (SSWs)
- Understanding parameters within which employers need to schedule and use SSWs
- Developing skills to assist employers with creating effective back-up plans
- Understanding documentation and reporting requirements

PDS is an opportunity for people to direct public resources at helping achieve their desired outcomes.

Supports Brokers work supporting employers should be with a singular aim of:

- helping people to make efficient use of their service dollars while
- receiving high quality services and supports that
- help them achieve their desired outcomes.

Important Terms

Surrogate (Representative)

- Formal role in ID Services
- Person chosen by the participant if they need support to self- direct services
 - Must be 18 years or older
 - Must attest there is no criminal background
- Person responsible for supporting him/her to direct his/her services.

Support Service Worker (SSW)

- Worker hired and managed/employed by the person/surrogate
- Paid through a Financial Management Service (FMS)

Employment Laws Apply

- People directing their own services are either **COMMON LAW EMPLOYERS** or **MANAGING EMPLOYERS**
- As employers of SSWs they have responsibilities to follow:
 - Fair Labor Standards Act
 - Laws related to discrimination
 - Rules related to Medicaid and Home and Community Based Services

Common Law Employers

- People using Vendor/Fiscal FMS (Public Partnerships LLC) are Common Law Employers
- The person/surrogate is the Employer of Record with both the State of PA and the Internal Revenue Service

Managing Employers

- People who use the local Agency With Choice (AWC) model of FMS are considered Managing Employers
- The AWC is the Employer of Record with both the State of PA and the Internal Revenue Service
- The person/surrogate is considered a Managing Employer

Some Basics for Employers

- Must pay at least minimum wage
- Must hire workers legal to work in U.S. that at 18 or older and meet program qualifications
- More than 40 hours is paid as overtime (which is not allowable under PA's PDS rules)
- Cannot discriminate against an employee
- Workplace must be kept safe and harassment free
- Employee personal information is personal
- Must ensure that payroll taxes are paid (through FMS)

Brief Overview of Discrimination Laws

- Important that you ask same questions for each applicant every time you interview for same position
- There are a number of questions you cannot ask

INFORMATION PROVIDED BY
ACUMEN FISCAL AGENT

| Don't Ask | You May Ask |
|--|---|
| Have you been arrested before? | Will you be willing to have a background check? |
| Are you a U.S. citizen? | Do you have authorization to work in the U.S.? |
| Are you married? Do you have children? Are you pregnant? | Can you physically perform the job and be on-time? |
| How old are you? | Are you of legal working age (18 years old for HCBS services) |
| What religion do you practice? | |

Employers May Not Discriminate Against an Employee Because of his/her:

- Age
- Race
- Disability
- Ethnicity
- Religion
- Gender
- National Origin
- Genetic Information
- Sexual Orientation
(covered only in some local ordinances—including Philadelphia)

INFORMATION PROVIDED BY ACUMEN FISCAL AGENT

Workplace Must be Safe and Harassment Free

- Employers must provide a safe work environment
- Employers must provide adequate training for worker to perform their work without injury
- Employers cannot subject employees to a hostile work environment, including but not limited to:
 - Sexual harassment
 - Belittlement
 - Inappropriate jokes
 - Prejudice

Confidentiality and Maintaining Employee Files

- Employers will have personal information on their employees which may include:
 - Background check results
 - Social Security Number
 - Date of Birth
 - Pay rates
 - Tax selections
 - References
 - Other personal information
- It is illegal to share this information with anyone except the FMS. This information must be safeguarded.

INFORMATION PROVIDED BY ACUMEN FISCAL AGENT

Recruiting, Screening & Hiring

The work of SSWs should always be targeted at supporting a person to achieve the outcomes they have identified in their ISP.

Recruiting

Prior to advertising, recruiting get clear on position description, hours and wage range

- Job description should be aimed at achieving outcomes identified in the person's ISP and person-centered planning
- Check “Services and Supports” section of ISP for hours, type of service and budgeted amount
- Work with person to have a clear understanding of personality traits and skills they prefer
- Know the basic provider qualifications for the service that will be billed

Effective Job Descriptions

- Need to be clearly written, inclusive of major duties and responsibilities, not tasks
- Reviewed with the applicant prior to hire
- Does the applicant understand the job?
- Opportunity to individualize the template to include specific needs and preferences

Determining Wages

- Person/surrogate gets to determine SSW wages from ODP wage ranges
- Person-surrogate decides whether to provide a benefit allowance for SSWs
- Some things to consider about wages:
 - Person's budget
 - Probationary periods
 - Wages based on experience and skill required
 - Capacity to give raises in future.

Matching

Utilize the **Matching Tool** to work with the person and their family and surrogate, to identify supports needed and wanted, skills needed in their staff, desired personality characteristics of staff and common interests.

Advertising

Some common approaches include:

- Using the information contained in the Matching Tool to create an employment flyer and distributing the flyer throughout spots in the person's local community (coffee shops, churches, colleges, shopping centers)
- On-line resources such as Idealist, Indeed, Craigslist, Social Media, and College Networks
- 'Word of mouth' recruitment through the person's network (schools, church, friend and family, social groups, etc.)

Screening

Standard qualifications:

- Over 18 years of age
- A clear criminal record or a record with no prohibited offenses (see list)
- A clear Child Abuse clearance
- A valid driver's license with a clean driving record

Screening

Values:

- Does the candidate show an interest in the work?
- Does s/he use person centered language?
- Does the candidate demonstrate a basic interest in helping people with disabilities to be full, contributing members of their community?

Interviewing

- If a potential good fit for the person, schedule an interview to take place with the person and their family.
- Interview can take place in a location in their community (based on individual and or family preference).

Interviewing

- Interview is led by the person accepting services.
- Some choose to prepare interview questions and use them for each interview. Others prefer a more informal conversation with the applicant around their interests and experience.
- Whether a formal or informal style is used, applicants should be asked the same or very similar questions and topics covered should be similar.

Interviewing

The process typically takes place in three phases:
Application, Phone Screen, Interview

- Applications can be downloaded from the Internet
- Phone screens are used to obtain basic qualifications and values
- In-person interview with the person, employer and/or Supports Broker.
- Candidates should be observed for their ability to engage, listen, and respond honestly, respectfully, and thoughtfully to questions
- Candidates should show a level of enthusiasm for the work

Selecting the Best Person for the Job

There are a number of things to consider:

- How did the candidate get along with the person supported?
- What are the observations from the interaction? Do they seem like a “good fit”?
- Refer back to the Matching Tool:
 - Does the candidate possess the skills and interests needed to help the person connect with their community?
 - Does the candidate appear capable of helping the person to accomplish their goals?
 - Has the applicant been reliable and consistent in their communication?

Hiring Process with FMS

VF/EA (PPL)

- Complete and submit the “SSW Enrollment Packet” including verifying qualifications and eligibility

AWC

- Send referral packet to AWC who completes remainder of employee paperwork with the SSP

Managing SSPs

Managing SSPs

- Create clear job descriptions
- Communicate clear expectations
- Supervision is defined as a service to the SSPs
- The supervisory relationship is built on mutual respect and cooperation

Performance Management Process

- Documentation is important
- Differences between VF/EA and AWC –
 - VF/EA: the person and/or employer does all of the performance counseling and improvement planning, as well as the formal termination of employment
 - AWC: the person and/or employer informs the AWC representative of the performance issue and if there is a need to terminate employment

Scheduling SSPs

- Clarity on the person's needs and preferences
- Clarity on what is authorized
- Carefully watch utilization – review statements from FMS
- Overtime is prohibited
- Overlapping time is prohibited
- Person/Surrogate may be responsible for overages
- In AWC, SSP cannot do medication administration so this may need to be considered when creating the work schedule

Developing a Good Back-Up Plan

- Back-up planning is required for both AWC and VF/EA users
- Back-up plan outcomes have to match regularly scheduled services and outcomes
- Friends and family are often times the best backup
- As much as possible, create flexible staffing schedules and use variable hour employees
- Communicating the expectation for back-up

Compliance with Service Documentation

Purpose of Service Notes and Progress Notes

- **Claims Basis**—*did the service being billed really happen?*
- **Track Progress** Identify how activity contributes to progress in achieving outcomes—*is the service being billed for really supporting the person to achieve his/her desired outcomes?*
- **Adjust Activities** Mechanism for needed adjustments in activities—*is what we are doing working? If not, why not?*

Service Notes & Progress Notes

- **Service Note:** details the date, type and number of units of a service that were provided, after each service is rendered
- **Progress Note:** details how the provider's support assists the person to achieve an approved plan outcome and/or how lack of progress will be remedied, after each service is rendered or at least monthly
- **CLEs and MEs must maintain documentation!**

Provider Billing Documentation Requirements for Waiver Services

Service Notes : Providers shall maintain the following information in electronic form in order to document that service was delivered and a valid invoice for claim was submitted to the AE or PROMIS^e¹™

- Date(s) of service(s) – date of service as submitted on the bill/invoice.
- Name(s) of individual(s)
- Documentation that services provided are listed in the approved ISP, and that ISP services are authorized.

(ODP Bulletin” # 00-07-01)

Provider Billing Documentation

- Information that substantiates that services listed in the ISP(s) are the services provided and billed (i.e., progress notes).
- Staff records and/or time sheets shall provide documentation and substantiate hours worked.

Chapter 51.16 Progress Notes

- (a) A provider shall complete a progress note that substantiates the claim for the provision of an Home and Community Based Service (HCBS) it provides at least monthly.
- (b) A provider shall complete a progress note each time the HCBS is provided if the HCBS is occurring on a less than monthly frequency.
- (c) A provider may complete progress notes for multiple HCBS rendered to the same participant on the same form when the HCBS are rendered by the same provider from the same waiver HCBS location.

Chapter 51.16 Progress Notes

(d) Progress notes must include the following:

- 1) Name of the participant;
- 2) Name of the provider;
- 3) Name of the HCBS;
- 4) Amount, frequency and duration of the authorized and delivered HCBS;
- 5) Outcome of the HCBS;
- 6) A description of what occurred during the delivery of the HCBS;

Chapter 51.16 Progress Notes

- (e) A provider shall complete a progress note if
 - there is a recommended change to HCBS
 - that requires discussion with the ISP team due to lack of progress in achieving an outcome

Incident Reporting and Protective Services Reporting

Incident Reporting

- Common Law Employers are required to report “reportable incidents” (Bulletin 6000-04-01) to Supports Coordinator
- Managing Employers are required to report incidents to AWC

Protective Services

- PA has laws for both Child Protective and Adult Protective Services
- Supports Brokers and SSPs are mandatory reporters under these laws

Abuse

- Injury, unreasonable confinement, intimidation or punishment
- The willful deprivation by a caregiver of goods or services which are necessary to maintain physical or mental health
- Sexual harassment or rape

Neglect

- The failure to provide for oneself, *or*
- The failure of a caregiver to provide goods, care or services essential to avoid a clear and serious threat to the physical or mental health of an adult

Exploitation

- Actions or conduct against an adult or their resources, without their consent
- Consent obtained through misrepresentation, coercion or threats of force
- Actions results in monetary, personal or other benefit, gain or profit for the perpetrator
- Monetary or personal loss to the adult

Abandonment

- The desertion of an adult by a caregiver

Reporting Abuse

- Childline: **800-932-0313 (TDD: 866-872-1677)**
- Adult Protective Services: **1-800-490-8505**

**Institute on Disabilities
at Temple University
1755 N 13th Street
Student Center, Room 411S
Philadelphia, PA 19122
Fax: 215-204-6336**

Web:

www.disabilities.temple.edu/programs/pds/



Institute on Disabilities



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