

**PRODUCTIVE LIVING BOARD  
FOR ST. LOUIS COUNTY CITIZENS  
WITH DEVELOPMENTAL DISABILITIES**

**FUNDING MANUAL:  
A Guide to the PLB's Policies and  
Procedures**

**Fiscal Year 2020**

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## OVERVIEW OF THE PRODUCTIVE LIVING BOARD

### **HISTORICAL PERSPECTIVE OF THE PRODUCTIVE LIVING BOARD (PLB)**

(Revised November 2016)

The progress of services to people with developmental disabilities and their families on a local, state, and federal level has consistently originated with the efforts of self-advocates, parents, and concerned professionals and citizens.

The development of an array of service/support options in the St. Louis area was no different from any other locality. Parents worked hard for County voters' support of the creation of the Special School District in 1959.

In the late 1960s, the State of Missouri passed enabling legislation that permitted counties to establish a mill tax for the purpose of developing and expanding sheltered workshops, residential, and support services for citizens with developmental disabilities.

Chapters 205.968 through 205.972 of the Revised Missouri Statutes set forth this enabling legislation.

In the fall of 1978, the member agencies and consumers of the St. Louis Metropolitan Council on Developmental Disabilities began to work toward the passage of the tax levy in St. Louis County. A planning grant from the Missouri Planning Council on Developmental Disabilities provided funds for community education and other campaigning efforts toward passage of the referendum. Through the dedicated efforts of many individuals, on April 3, 1979, St. Louis County citizens approved a five-cent tax for the purpose of establishing and maintaining support services for people with developmental disabilities of St. Louis County.

Once the tax was passed, a controversy arose as to which "governing body" in the County would be authorized to appoint the nine-member Board. The County Council claimed authority, while the County Executive claimed his legal authority. The dispute resulted in litigation, with the Missouri Supreme Court ruling in favor of the County Executive. The resolution of this legal issue took over 18 months. During that period of time, the mill tax was being collected; however, none of these funds could legally be expended. When the new nine-member Board was legally appointed in April 1980, they had over \$3 million in accumulated funds ready for allocation and another \$2.5 million to be collected in December 1980.

The Board systematically began the task of getting organized, hiring staff, holding open meetings for community input, establishing priorities, and setting procedures for funding requests.

Since the Board was established in 1980, its primary method of distributing the funds collected via the mill tax has been either in grants, contracts for purchase of service (POS) on a unit cost basis, or by no-interest loans for major capital projects.

When the five-cent mill tax was passed in 1979, it generated approximately \$2.5 million. With reassessment of property values, the five-cent tax was rolled back to three-and-one-half cents. In 1988, the 3.5¢ tax generated \$3.5 million. Based upon spend plan analysis for five years, the Board decided to recommend an increase of five cents to the mill tax. With the endorsement of the County Executive and approval of the County Council, the referendum of a five-cent tax

## OVERVIEW OF THE PRODUCTIVE LIVING BOARD

### **HISTORICAL PERSPECTIVE OF THE PRODUCTIVE LIVING BOARD (PLB)**

(Continued)

increase was placed on the August 8, 1989, ballot. Through the efforts of the Committee for Disabled Citizens, made up of individuals from the corporate, parent, and agency communities, the increase was passed. This assessment generates approximately \$20 million annually.

The PLB has steadfastly adhered to the policy of avoiding the direct provision of services. The PLB presently contracts with approximately 35 agencies for approximately 108 individual projects that provide services/supports to more than 4,300 individuals with developmental disabilities and their families.

The focus of the PLB's efforts continue to be in developing, maintaining, and expanding a variety of Community and Employment supports that will enhance community participation of St. Louis County citizens with developmental disabilities.

The following are considered the CORE SERVICES of the PLB:

- Community Services focus on providing supports which enable individuals to successfully live in their home or the home of the natural family. Services focus on helping individuals learn and consistently use the skills necessary for independence, develop relationships and natural supports, and participate as members of the community.
- Employment Services focus on providing supports which enable individuals to successfully work in the setting of their choice. Services focus on helping individuals learn and consistently use the skills required for employment, develop relationships and natural supports in the workplace, and use transportation services.

Starting in Fiscal Year 2003, PLB initiated a Quality Enhancement/Service Excellence System to improve the quality of services/supports provided to St. Louis County citizens with developmental disabilities. Protocols were developed to identify the presence of the following:

- Health and Safety Standards
- Staff Competencies
- Individual Support Plans
- Individual Outcome Evaluation and Satisfaction

The results of reviewing these protocols at all PLB funded agencies are used to promote the quality of life for individuals with developmental disabilities by identifying best practices, providing feedback on the results of our reviews and providing opportunities for agencies to improve their services/supports.

## OVERVIEW OF THE PRODUCTIVE LIVING BOARD

### **ORGANIZATIONAL STRUCTURE**

#### **PURPOSE**

(Revised November 2016)

The Board is the policy-setting, accountable body that bears the fiduciary liability for all acts of this organization.

The Board sets the financial and administrative framework for the agency and appoints and directs the Executive Director to conduct the everyday operations of the agency. The Board delegates administrative responsibility and accountability to the Executive Director, while providing oversight to assure that actions are within the framework of Board-established policies and procedures.

The Board operates in partnership with the agency's staff, using their advice as transmitted through the Executive Director to deliberate decisions on agency policies and/or objectives.

#### **MEMBERSHIP**

Pursuant to RSMo 205.970, the Board shall consist of nine members, of whom a minimum of two shall be related to a person with a developmental disability and four shall be public members. At least seven of the board members shall be residents of the County.

Productive Living Board members are appointed to three-year terms by the County Executive and confirmed by the County Council. The terms of three members of the Board expire in April of each year. Members of the Board can be reappointed for an unlimited number of terms. They serve until replaced.

#### **COMMITTEES**

(Revised June 2016)

The work of the Board originates within the structure of working committees. The Chairperson of the Board shall establish committees (including standing committees and, as needed, *ad hoc* committees) following the general organizational structure of the agency itself in order to assure maximum coordination.

All committees are advisory in nature. Committees do not set policy. The Board of Directors is the only entity that can establish policy. In establishing the policies of the organization, the Board works through its committees.

Unless there are urgent reasons to the contrary, most issues related to policy changes will be reviewed by the appropriate committee and referred to the full Board with recommendations.

In order to conduct its extensive business in an orderly fashion, the Board has established the following standing committee structure:

- Executive Committee
- Administration Committee
- Community Services Committee
- Employment Services Committee

## OVERVIEW OF THE PRODUCTIVE LIVING BOARD

### **ORGANIZATIONAL STRUCTURE**

#### **MEETINGS**

(Revised November 2016)

The PLB usually holds its regularly scheduled full Board meetings on the second Monday of each month, at times and locations established by the PLB at the beginning of each fiscal year. If a holiday should fall on the day of a regularly scheduled meeting, the PLB Chairperson will reset the meeting date.

All interested agencies, individuals with developmental disabilities, and other parties are invited and encouraged to attend the Board meetings. It is suggested that persons interested in attending the meetings contact the PLB office to confirm the specific meeting date, time, and location. Information regarding PLB meetings can be obtained by visiting the PLB website at [www.plboard.com](http://www.plboard.com) or by calling (314) 726- 6016.

Meetings of the PLB are conducted according to Robert's Rules of Order. In compliance with Missouri's Sunshine Law 610.010 to 610.035 RSMo, PLB meetings are open to the public, and the date, location, and time of meetings are prominently posted in the PLB office.

Copies of agendas and minutes of PLB meetings are available to the public at no charge upon written request. The minutes of the meetings of the Board and/or its committees are also available for review by the public at the PLB office during regular business hours, 8:00 a.m. to 4:30 p.m., Monday through Friday or by visiting the PLB website at [www.plboard.com](http://www.plboard.com).

## OVERVIEW OF THE PRODUCTIVE LIVING BOARD

### **CORE SERVICES DEFINITIONS**

(Revised November 2016)

#### **COMMUNITY SERVICES**

Community services focus on providing support for an individual to stay in his or her own residence, or the residence of his or her natural family and his or her community. In addition, services should promote the acquisition of skills for independence, formation of social roles, relationships and self-reliance.

Community Services include:

- **Independent Supported Living Assistance** provides support for an individual to live independently in the community.
- **Individual Support** provides in-home and in-facility supports to an individual who resides in their natural home.
- **Community Support** provides support for an individual to develop skills for independence.
- **Older Adult Supports** provides support to an individual to transition into retirement and participate in community activities.

#### **EMPLOYMENT SERVICES**

Employment services focus on an individual obtaining and maintaining meaningful employment and promoting the acquisition of employment skills, forming relationships in the work place and the use of transportation systems, progressing towards independent living.

Employment services include:

- **Pre-Employment Services** supports an individual to develop skills needed to obtain and maintain employment in the community.
- **Employment Services** supports an individual to develop skills needed to maintain and enhance employment in the community.
- **Sheltered Employment Services** supports an individual to develop skills needed to maintain and enhance employment in a Sheltered Workshop.
- **Sheltered Workshop Transportation** provides an individual with access to safe and reliable transportation to sheltered workshops.

## FUNDING REQUIREMENTS

### **PLB STATEMENT OF GENERAL PRACTICES AND PRIORITIES FOR FUNDING**

(Revised November 2016)

1. The PLB's fiscal year is July 1 through June 30. In general all projects are appropriated on a fiscal year basis of July 1 through June 30. Summer projects are appropriated for the period of October 1 through September 30.
2. The PLB funds services and supports that promote community participation.
3. The PLB priority for funding shall be for its core services: Community Services and Employment Services.
4. The PLB has established four performance areas that comprise the PLB's Quality Standards; Governance, Finance, Administration and Program.
5. Agencies requesting funds from the PLB shall comply with all requirements as stated in the PLB Funding Manual.
6. The PLB will not utilize funds to assist agencies in retiring their existing debts.
7. The PLB only approves funds for services rendered/expenses incurred by an agency after the date of PLB approval of the agency's application.
8. The PLB reserves the right to establish the conditions and requirements of the funding agreement between the agency and the PLB for approved projects.
9. An agency that fails to provide services in accordance with the PLB contractual agreement on any one project shall be considered in default on all other PLB projects. No other funds shall be disbursed until the issue has been resolved to the satisfaction of the PLB.
10. PLB consideration for funding of capital improvement and equipment expenditures (excluding vehicles) will be given to only those facilities located within St. Louis County.
11. Nationally affiliated association costs and/or fundraising costs are not allowed as part of the budget submitted for either cost reimbursable grants or purchase of service (POS) contracts.
12. Funding for new or substantially expanded services will be determined by the PLB and requests for proposals (RFP) will be issued. The need for expansion of or new services will be determined by the PLB by reviewing the results of the most recent needs assessment, waiting lists, individual/community input and other relevant data.

Applicants for partial funding of projects must demonstrate the availability and source of other funds for the development and/or continued operation of the proposed service or support.

## **AGENCY ELIGIBILITY REQUIREMENTS**

### **GENERAL REQUIREMENTS**

(Revised January 2013)

As stewards of St. Louis County taxpayers' funding, the PLB has established four performance areas that comprise the PLB's Quality Standards; Governance, Administration, Finance and Program. The quality and ongoing viability of services and supports are directly related to the strength of the agency. A diverse and actively engaged board provides strategic direction and oversight through policies which establish program standards, financial stability and accountability, appropriate resources and a quality improvement process.

1. The agency shall be registered in the State of Missouri and have a current Certificate of Good Standing from the State.
2. The name of the organization, if fictitious, shall be registered and considered active by the Office of the Missouri Secretary of State.
3. The agency must demonstrate through their funding application that it has the programmatic and technical expertise to accomplish the agency's stated goals.
4. The agency must demonstrate fiscal viability by submitting a current balance sheet, statement of revenue and expenses, and for any new agency requesting funding from the PLB, 12-month budget and a 12-month cash flow projection.
5. Agencies must maintain minimum insurance coverages as set forth in the PLB Service Agreement. The PLB shall be named as an additional insured on all liability insurance policies that cover the program and services funded by the PLB.
6. Agencies must comply with applicable federal, state and local laws.
7. The agency must meet the standards set forth in the PLB's current Funding Manual.
8. The agency and/or its services must be located within St. Louis County. Consideration will be given to those agencies or services located in other St. Louis Metropolitan areas that are within the Department of Mental Health's Eastern District (City of St. Louis, St. Charles County and Jefferson County) when there is reasonable evidence that the service is not readily available in St. Louis County.

Additional Requirements for General Corporations, Partnerships (General & Limited), Joint Ventures and Individuals (Referred to as for-profit entities herein)

1. The PLB will accept and consider funding proposals from for-profit organizations. The policies of the PLB will be applicable to these entities; provided, however, certain amendments, modifications or additions to existing policies may be necessitated by reason of the structure of the entity involved.

## **AGENCY ELIGIBILITY REQUIREMENTS**

### **GENERAL REQUIREMENTS (Continued)**

2. The for-profit organization shall have an advisory committee (of no less than seven [7] members) whose membership shall include no less than 25% of individuals with developmental disabilities and/or who are related to people with developmental disabilities from St. Louis County, Missouri. The role of the advisory board is to review and approve policies affecting the delivery of services to people with disabilities and to act as an appeal group for any individual grievances that may occur.
3. The PLB will not provide loans to for-profit entities. The for-profit entity will be eligible for grants for services/supports or purchase of service (POS) funding from the PLB.
4. The PLB will not consider providing funds to for-profit entities for the acquisition of any personal or real property and/or renovation. Nor will the PLB provide funds for computer hardware/software or any other equipment/furniture that will be used for administrative purposes.
5. The PLB will allow the for-profit entities to include a profit margin as part of their administrative costs as long as they do not exceed the PLB's established percentage cap for administrative costs (at the present time, said cap is at 15% of the agency's program budget).

## **AGENCY ELIGIBILITY REQUIREMENTS**

### **GOVERNANCE**

(Revised November 2016)

Good governance is comprised of these major characteristics:

- |                       |  |
|-----------------------|--|
| 1) Participatory      | 7) Efficient                               |
| 2) Consensus oriented | 8) Equitable                               |
| 3) Accountable        | 9) Inclusive                               |
| 4) Transparent        | 10) Follow the rule of law                 |
| 5) Responsive         | 11) Responsive to current and future needs |
| 6) Effective          |  |

**As the agency's governing body, the Board fulfills these functions through its bylaws and policies which shall include the following minimum requirements:**

1. Mission Statement
2. Statement of Values
3. Non-Discrimination Statement
4. Board Members
  - a) No less than seven (7) members;
  - b) Criteria for Board membership that includes diverse experience in areas such as finance, legal, fund-raising, marketing, human resources, services provided and representation of individuals with developmental disabilities groups;
  - c) Diverse Board membership that considers expertise, race, gender, age, geography, religion, length of service, individuals with developmental disabilities, stakeholder;
  - d) The agency's Board of Directors shall have member representation from the individuals with developmental disabilities and/or family group for whom it provides services;
  - e) Recruitment and nomination of Board members;
  - f) Written roles, responsibilities of Board members;
  - g) New Board member orientation to the agency and their responsibilities;
  - h) Staggered terms of Board members;
  - i) Replacement or removal of Board members;
  - j) Board members serve without compensation other than reimbursement for reasonable expenses incurred in carrying out their Board responsibilities and
  - k) Paid staff are not voting members of the Board.

## **AGENCY ELIGIBILITY REQUIREMENTS**

### **GOVERNANCE (Continued)**

#### 5. Meetings

- a) When (how often) - (Boards must meet at least quarterly);
- b) Where;
- c) Notices, agenda and minutes;
- d) Open to public - except for closed sessions per Missouri statute;
- e) Board member attendance expectations and
- f) Quorums.

#### 6. Officers

- a) Nominations and election of officers;
- b) Terms of office, including term limits;
- c) Written roles, responsibilities of officers and
- d) Replacement or removal of officers.

#### 7. Committees

- a) Define responsibilities of each committee:
  - o Executive Committee
  - o Finance Committee
    - Recommends annual agency budget;
    - Reviews financial reports at least quarterly;
    - Reviews and recommends appropriate internal controls to protect agency's assets and
    - Ensures adequate financial resources

## **AGENCY ELIGIBILITY REQUIREMENTS**

### **GOVERNANCE (Continued)**

- Program Committees
    - Recommends approval for all program creation, expansion and closure and
    - Reviews program performance reports to ensure program effectiveness.
  - Other Standing Committees
  - Ad Hoc Committees
8. Statement of Conflict of Interest
    - a) Board members, employees, individuals with developmental disabilities, vendors and consultants
  9. Executive Position
    - a) Selection process and
    - b) Roles and responsibilities (job description).
  10. Fiscal Management:
    - a) Limitations on who shall sign checks;
    - b) Definition of fiscal year and
    - c) Requirement of an annual independent audit performed by a Certified Public Accountant.
  11. Robert's Rules of Order shall be generally followed
  12. Amendments to the Bylaws
    - a) Methodology and
    - b) Frequency of review of bylaws.

## **AGENCY ELIGIBILITY REQUIREMENTS**

### **ADMINISTRATION**

(Revised April 2017)

**Board approved policies and procedures based on best practices establish the guidelines for effective and efficient agency management which shall include the following minimum requirements:**

1. All Board policies shall be reviewed and approved annually.
2. The agency must have a Board approved policy, acknowledging the agency's commitment to be an Equal Opportunity Employer.
3. The agency must have a Board approved policy acknowledging the agency's commitment to a workplace that is free from harassment.
4. The agency must have a Board approved policy acknowledging the agency's commitment to a drug free workplace.
5. To ensure the safety of the individuals served, the agency must have a Board approved policy addressing weapons in the workplace. The policy must address carrying, transporting and/or storage at program sites, individuals' home and/or in vehicles used to transport individuals (agency or staff vehicles).
6. The agency must have a Board approved policy that defines the agency's code of conduct and ethics for the agency's employees and volunteers.
7. The agency must have a Board approved policy on Conflict of Interest. "Conflict of Interest" as this term is used herein shall be defined by Missouri law and the ordinances of St. Louis County, Missouri. If a conflict of interest is identified, a statement of full disclosure shall be on record with the agency and reported to the PLB. The policy shall apply to its Board of Directors, its employees, individuals served, vendors and consultants and consider any conflicts between these individuals and the agency. The policy shall include any transaction in which the Agency is a part.
8. The agency must have a Board approved policy addressing the recruitment, screening, appropriate supervision and training of agency volunteers providing program supports.
9. Agency must have a Board approved policy and written procedures regarding the completion of background checks for all staff and volunteers. These policies and procedures will be applied to all who are associated with the agency who work, or volunteer with, or may be in potential contact with individuals served with any PLB funds. This includes all PLB funded agency employees and volunteers within a building that individuals funded by PLB may visit or use.

## **AGENCY ELIGIBILITY REQUIREMENTS**

### **ADMINISTRATION (Continued)**

Agency policy and written procedures should include at a minimum:

- a) Agency will use the Family Care Safety Registry (FCSR) to complete background checks. If the FCSR indicates findings, the agency must request the additional information regarding these findings from the FCSR.
- b) Agency will use the Disqualifying Crimes Pursuant to the Missouri Revised Statute 630.170 when determining eligibility for employment or utilization of volunteers. The statute requires that agencies will not employ individuals reported as having engaged in disqualifying conduct.

To review Missouri Revised Statute 630.170, RSMo click the link below:

<http://www.moga.mo.gov/mostatutes/stathtml/63000001701.html>

To review the Disqualifying Crimes Pursuant to Section 630.170, RSMo click the link below:

<https://dmh.mo.gov/docs/diroffice/dors/disqualifyingcrimespursuanttosection630-170rsmo.pdf>

- c) Background checks must be conducted at the time of hire and annually thereafter. FCSR results will be available for PLB staff review.
10. The agency must have a Board approved policy acknowledging that the agency's services shall be available to persons without regard to race, color, religion, national origin, sex, disability, age, military or veterans status, sexual orientation, gender identity or any other factor prohibited by law.
  11. The agency must have a Board approved policy and written procedures to ensure the Confidentiality of Individual Records. This includes, but is not limited to: collecting, securing and use of individuals' information in accordance with the Missouri Data Breach Notification Law and/or the Federal Education Rights and Privacy Act (FERPA) and acknowledgment of the agency's commitment to comply with the Health Insurance Portability and Accountability Act's (HIPAA) treatment of Protected Health Information (PHI).

## **AGENCY ELIGIBILITY REQUIREMENTS**

### **ADMINISTRATION (Continued)**

The purpose of the policy is to protect the confidentiality, integrity, and availability of restricted or confidential information, including personal information and protected health information (PHI), when such information is created, received, transmitted and/or stored in any medium, including electronic or paper format and will ensure that the handling of such information is consistent with federal and state laws and regulations.

12. The agency must have a Board approved policy and procedure regarding the distribution of medication.
  - a) If the agency has an RN on staff, the RN is the lead person for all medication issues;
  - b) All staff who administer medications must pass and maintain Medication Aide certification;
  - c) Curriculum must be taught by a licensed nurse (RN) in the state of Missouri who meets the qualifications as stated in rule 9 CSR 45-3.070 (10)(B) and
  - d) The curriculum must be the most recently revised edition of "Level 1 Medication Aide Curriculum."
13. The agency must have a Board approved policy and procedure regarding adverse incidents. The policy must outline a clear and systematic method of (a) documentation, (b) notification, (c) investigation and (d) follow-up. All agencies must report incidents and/or suspicions of abuse and/or neglect (including but not limited to physical, mental, emotional, sexual, verbal, financial, etc.), accident, injury and/or death to the PLB and the governmental body authorized to investigate pursuant to state statutes.
14. The agency must have a Board approved policy and procedure regarding agency owned and/or leased vehicles used to transport individuals that includes the procedures for preventative maintenance, vehicle emergencies, accidents and breakdowns.
15. The agency must have a Board approved grievance policy and written procedures for individuals/ families to appeal an agency's decision in a PLB funded project. These policies and procedures must include the following:
  - a) The policy must identify how the agency will distribute the grievance policy to all participants in the agency's programs;
  - b) The process should facilitate the timely resolution of the appeal (not to exceed sixty [60] calendar days);
  - c) The process shall incorporate a non-staff review and determination at the final level of the appeal;

## **AGENCY ELIGIBILITY REQUIREMENTS**

### **ADMINISTRATION (Continued)**

- d) The policy shall provide for the retention of all documentation of the circumstances leading up to the appeal and of the appeal itself;
  - e) The policy should clearly define criteria to be used when an individual may be restricted or terminated from a PLB funded program and
  - f) The grievance policy, number of grievances and reasons for the grievances will be available for review by PLB.
16. The agency will have a Board approved policy regarding the rights of individual served.
- Individual Rights will be:
- a. posted in an area frequented by individuals served,
  - b. communicated to the individual in a way that is understandable,
  - c. communicated prior to the beginning of service delivery, and
  - d. made available in writing to each individual at intake and annually thereafter.
17. The PLB may consider waiving these eligibility requirements annually, based on requests made in writing from the agency. Considerations for waiving any requirement will be given to agencies based on the requirement's applicability to the agency or if extenuating circumstances exist.

## **AGENCY ELIGIBILITY REQUIREMENTS**

### **FINANCE**

(Revised November 2017)

1. The agency will be required to provide the PLB with a full financial disclosure of its total operations; most recent audited financial statements and most current balance sheet and statement of revenues and expenses.
2. Agencies shall establish a fiscal year operating budget that is approved by their Board of Directors on an annual basis.
3. Agencies shall establish internal controls, systems and procedures for monitoring of the fiscal position of their agency. Accrual basis financial statements that include both a balance sheet and a statement of revenue and expenses should be provided to their Boards of Directors monthly. The statement of revenue and expenses should compare year-to-date actual numbers with the approved budget.
4. Agencies' financial management controls and record keeping shall be in accordance with generally accepted accounting principles (GAAP).
5. Agencies shall maintain records in a manner that allows for the tracking of expenditures of PLB funds received and disbursed by line item for each project funded. Agencies shall maintain copies of receipts and invoices to verify the purchase of goods and services with approved PLB funds. Agencies shall also maintain appropriate documentation to verify all expenditures of PLB funds (rent, utilities, payroll records, etc.). These records shall be maintained by agencies for no less than seven (7) years.
6. Agencies shall maintain records of individuals served, which specify their name, Social Security number or Individual Taxpayer Identification Number (ITIN), legal address, date of birth, the number of units of service rendered, the dates services were rendered and the per individual cost of services. These records shall be maintained by agencies for no less than seven (7) years.
7. Agencies shall maintain adequate insurance coverage throughout the term of the Service Agreement with the PLB. ([PLB Service Agreement](#))
8. Agencies shall establish the overall cost of general administration of their organizations. These costs shall be allocated through a formula that spreads costs equitably to all cost centers within their agency. The method of allocating these costs shall be documented and should be reviewed annually. Actual administrative costs that do not exceed 15% of the agency's total project expenses may be included in the cost of services reimbursed by PLB. Administrative costs should not include nationally affiliated association costs and/or fundraising costs.

## **AGENCY ELIGIBILITY REQUIREMENTS**

### **FINANCE (Continued)**

9. Agencies funded by the PLB and agencies having an outstanding loan from the PLB shall submit to the PLB within 180 days of their agency fiscal year-end or project ending date:
  - a) One copy of their independent audit report in an electronic or hard copy format;
  - b) Audited unit cost report if they are funded through a purchase of service (POS) contract and
  - c) Management letter and the agency's response to the management letter if recommendations for improvement are cited.

The audit shall be performed by an independent firm or individual licensed by the Missouri State Board of Accountancy and shall be conducted in accordance with generally accepted accounting principles (GAAP) as promulgated by the American Institute of Certified Public Accountants. The audited unit cost shall report all project costs and all units provided, and shall include all direct costs and appropriately allocated indirect costs of units of service provided. Purchase of service contracts for less than \$50,000 are exempt from the audited unit cost report requirement.

Under extraordinary circumstances, an agency may request in writing a waiver of the audit requirement prior to signing the Service Agreement. If a waiver is granted, the exempted agency shall submit year-end financial statements signed by their board treasurer. Governmental agencies such as St. Louis County, St. Louis Community College, etc. are exempt from the audit requirement.

Any agency not submitting their audit by the due date shall request an extension in writing by the due date, stating the need for the extension. Extensions may be granted based on extenuating circumstances, not to exceed an additional 60 days. If the audit reports are not received within 240 days of the agency's fiscal year-end, agency payments may be held until the audit reports are received.

## **INDIVIDUAL ELIGIBILITY REQUIREMENTS**

(Revised November 2014)

The following policies describe who is eligible to receive services funded by the PLB.

The PLB recognizes individuals to be eligible for PLB funded services and supports under the following disability definitions:

### 205.968 - 205.972 RSMo\*

1. A disability which is attributable to an intellectual disability, cerebral palsy, autism, epilepsy, a learning disability related to a brain dysfunction or a similar condition found by comprehensive evaluation to be closely related to such conditions, or to require habilitation similar to that required for intellectually disabled persons: (1) which originated before age eighteen, and (2) which can be expected to continue indefinitely.
2. "Person with a disability" shall mean a person who is intellectually disabled who is lower range educable or upper range trainable intellectually disabled or a person who has a developmental disability.
3. Persons having substantial functional limitations due to a mental illness as defined in section 630.005, RSMo shall not be eligible for services under the provisions of section 205.968 to 205.972 except that those persons may participate in services under the provisions of sections 205.968 to 205.972.

OR

### 630.005 RSMo\*

A disability which is:

1. Attributable to:
  - a) Intellectual disability, cerebral palsy, epilepsy, head injury or autism, or a learning disability related to a brain dysfunction; or
  - b) Any other mental or physical impairment or combination of mental or physical impairments, and is
2. Manifested before the person attains age twenty-two; and
3. Likely to continue indefinitely; and
4. Results in substantial functional limitations in two or more of the following areas of major life activities:
  - a) Self-care - Daily activities which enable a person to meet basic needs for food, hygiene, and appearance; demonstrated ongoing ability to appropriately perform basic activities of daily living with little or no assistance or supervision.
  - b) Receptive and expressive language development – Communication involving verbal and nonverbal behavior enabling a person to understand and express ideas and information to the general public with or without assistive devices; demonstrated ability to understand ordinary spoken and written communications and to speak and

write well enough to communicate thoughts accurately and appropriately on an ongoing basis.

- c) Learning – General cognitive competence and ability to acquire new behaviors, perceptions, and information and to apply experiences in new situations; demonstrated ongoing ability to acquire information, process experiences, and appropriately perform ordinary, cognitive, age-appropriate tasks on an ongoing basis.
  - d) Self-direction – Management and control over one’s social and personal life; ability to make decisions and perform activities affecting and protecting personal interests; demonstrated ongoing ability to take charge of life activities as age-appropriate through an appropriate level of self-responsibility and assertiveness.
  - e) Capacity for independent living or economic self-sufficiency – Age-Appropriate ability to live without extraordinary assistance from other persons or devices, especially to maintain normal societal roles; ability to maintain adequate employment and financial support; ability to earn a living wage, net (determined by the interdisciplinary assessment team for each individual), after payment of extraordinary expenses caused by the disability; demonstrated ability to function on an ongoing basis as an adult independent of extraordinary emotional, physical, medical, or financial support systems.
  - f) Mobility – Motor development and ability to use fine and gross motor skills; demonstrated ongoing ability to move about while performing purposeful activities with or without assistive devices and with little or no assistance or supervision; and
5. Reflects the person’s need for a combination and sequence of special, interdisciplinary, or generic care, habilitation or other services which may be of lifelong or extended duration and are individually planned and coordinated.

OR

178.900 RSMo\*

A lower range educable or upper range trainable developmentally disabled or other disabled person sixteen years of age or over who has had school training and has a productive work capacity in a sheltered environment adapted to the abilities of persons with a developmental disability but whose limited capabilities make him or her non-employable in competitive business and industry, and unsuited for vocational rehabilitation training.

**RESIDENCY**

The PLB recognizes individuals\*\* to be eligible for PLB funded services and supports under the following residency definitions:

Residents of St. Louis County are persons whose:

- 1. True, fixed permanent home is in St. Louis County; or
- 2. Who, if living in a facility for people with disabilities, public or private, located in St. Louis County, immediately prior to living in such facility was residing in St. Louis County; or who living in a facility for people with disabilities, public or private, not located in St. Louis County, and such placement occurred during the past twelve months, immediately prior to living in such facility was residing in St. Louis County; or

3. In the case of a minor whose parent(s) presently reside(s) in St. Louis County and has so resided for the previous twelve months or if the minor is under jurisdiction of the juvenile court of St. Louis County.

The foregoing definitions of residency shall apply to an individual who has been legally adjudicated incompetent irrespective of the residency of the guardian or the location of the court making said decision.

The PLB may, however, render assistance to persons with developmental disabilities, on a case-by-case basis, who do not fall within the definition of resident if the PLB finds:

1. That such individual has a relationship to St. Louis County which, in the interest of justice and equal treatment, permits the PLB to give such assistance.

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\*Revised Missouri Statutes

\*\*Individual(s): A person who is a resident of St. Louis County and who meets the statutory disability definition as defined in Section 205.968-205.972 RSMo or 630.003 RSMo.

## FUNDING POLICIES

### **PLB FISCAL POLICY**

(Revised November 2016)

The PLB will allocate its funds annually according to the following guidelines.

### DEFINITIONS

Forecasted Revenue: Revenues received in any given fiscal year consist of:

1. St. Louis County real estate and personal property tax
2. Interest on cash investments
3. Loan repayments
4. SB3 transportation tax (Restricted)
5. Missouri Elderly and Handicapped Transportation Assistance Program (MEHTAP)
6. Miscellaneous income

Base Level of Access (Tier 1): Forecasted expenditures shall not exceed PLB's forecasted revenue received and shall include the following expenses:

1. PLB Operations (No more than 9% of annual forecasted revenue)
  - Each fiscal year, the PLB operating budget shall be developed, not to exceed 9% of the forecasted revenue.
2. Special Projects (No more than 1% of annual forecasted revenue)
  - Each fiscal year, the PLB will set aside an amount for special projects, not to exceed 1% of the forecasted revenue.
3. Base Level of Access for PLB's identified program of core services (Community and Employment Services)
  - Each fiscal year, the remaining forecasted revenue is available for PLB's program of core services.

Emergency Reserve Assigned Fund (Tier 2): Annually a reserve of no less than 10% of the fiscal year-end revenue will be established. This reserve is available for emergency needs identified by the PLB.

- Each fiscal year the Emergency Reserve shall be set at 10% of the fiscal year-end revenue.

## **PLB FISCAL POLICY (Continued)**

(Revised November 2016)

Unassigned Fund (Tier 3): Funds in excess of the 10% Emergency Reserve shall accumulate in this fund to be used for one-time expenditures.

- Unassigned Funds may be utilized by the PLB and/or RFP's may be issued for agency requests for one-time funding that do not create an ongoing obligation that would increase the Base Level of Access for PLB's program of core services or for needs listed below:
  - Sheltered workshop capital
  - Residential capital
  - Independent supported living start-up
  - Research projects and studies
  - Capital emergencies

### APPLICATION OF PLB FISCAL POLICY

Annual appropriations will be made in the following order:

#### 1. Base Level of Access

The PLB shall allocate Base Level of Access funds annually based on the following process:

- The Base Level of Access will be forecasted based on the year-to-date revenue received.
- The PLB operating budget, not to exceed 9% of the forecasted revenue, will be deducted.
- The PLB special projects, not to exceed 1% of forecasted revenue, will be deducted.
- The remaining funds will be available for funding PLB's planned program of Community and Employment Services. The Administration Committee will determine the level of cost of living adjustment (COLA) or funding increase, if any, to be recommended or any other special needs. The recommendation of the Administration Committee will be based on the most recent needs assessment and other data received by the Board to address current and future community needs

The Program Committees will be responsible for allocating the above funds to renewal projects, expansion and/or new demonstration projects within their planned program of services.

#### 2. Emergency Reserve Assigned Fund (adjusted to 10% of the fiscal year-end revenue)

#### 3. Unassigned Fund

- All excess funds shall be held in the Unassigned Fund.
- All cancellations and appropriations will be transferred to/from the Unassigned Fund unless otherwise designated.
- Any PLB operating capital acquisitions will come from the Unassigned Fund.

## **PLB FISCAL POLICY (Continued)**

(Revised November 2016)

The PLB shall allocate Unassigned Funds after the close of the fiscal year-end based on the following process.

- The PLB Emergency Reserve shall be adjusted to 10% of the fiscal year-end revenue.
- The PLB shall assign an amount annually to fund the PLB's future technology upgrades.
- The PLB shall appropriate funds annually for replacement of vehicles used to transport individuals to sheltered workshop employment that have been identified as obsolete vehicles.

Following the completion of the PLB's annual independent audit, the PLB will determine the amount of Unassigned Funds available, if any, for one time funding. Funds may be designated for the following:

- Sheltered workshop capital
- Residential capital
- Independent supported living start-up
- Request(s) for Proposals for one time funding
- Research projects and studies
- Capital emergencies

The Unassigned Fund will be depleted first as long as there is a positive balance.

Emergency Reserve Assigned Funds will be utilized only if there are no Unassigned Funds available.

The PLB's Administration Committee will review the fiscal policy each year to determine if it meets the PLB's needs.

## **FUNDING CLASSIFICATIONS, REQUIREMENTS AND RELATED POLICIES**

### **PURCHASE OF SERVICE (POS)**

(Revised November 2016)

The PLB's primary way of impacting the service delivery system and benefiting St. Louis County residents with developmental disabilities is through contracting with agencies that provide community and employment services as defined in these policies. There are two basic forms of funding resources available from the PLB: (1) purchase of service (POS) and (2) grants. The purpose of this section is to define and set forth policies regarding these areas of funding classifications.

### **UNIT OF SERVICE DEFINITION**

The PLB will contract for purchase of services (POS) with eligible agencies for specific, well-defined units of service provided to St. Louis County citizens with a developmental disability, for a mutually-agreed-to unit rate.

#### 1. All Service Areas

One hour/unit of face to face service/support directly related to the individual's outcomes as documented in the Individual Support Plan as it relates to the PLB funded project.

#### 2. In addition to the definition for all Service Areas, the following applies to ISLA and Supported Employment services only

a) Billable units may include contact made by phone in emergencies and/or to provide limited services/support as documented in the Individual Support Plan and must be related to the PLB funded project.

b) Calls must be fully documented in the progress notes.

#### 3. In addition to the definition for all Service Areas, the following applies to individual/family supports that are provided to individuals with developmental disabilities and/or family members.

a) Billable units may include direct contact made with family members with or without the presence of the family member with a developmental disability.

b) Services and supports must relate to the individual's outcomes as documented in the Individual Support Plan and must be related to the PLB funded project.

c) Agencies must receive PLB approval annually through the Funding Application process prior to services being provided.

## **PURCHASE OF SERVICE (POS) (Continued)**

### **4. Transportation Services Only**

A billable unit is a one way trip directly related to the individual's outcomes as documented in the Individual Support Plan as it relates to the PLB funded project.

### **5. Education/Counseling Services Only**

A billable unit is a class/session directly related to the individual's outcomes as documented in the Individual Support Plan as it relates to the PLB funded project.

### **6. Daily (24 Hour) Services Only**

A billable unit is a 24 hour service/support as documented in the Individual Support Plan as it relates to the PLB funded project; such as overnight residential supports or overnight voucher services.

### **7. In-Home Residential Services Only**

In-Home Residential reimbursement is capped at 14 units within 24 consecutive hours and the agency will reimburse the individual/family for the same number of units billed to the PLB.

In-Home Residential units will be paid at the agreed upon group rate when reimbursing units provided to multiple individuals at one time.

## **PURCHASE OF SERVICE (POS) STATEMENT OF POLICIES**

(Revised November 2016)

1. The PLB will purchase services at a unit cost which typically does not exceed the Department of Mental Health's (DMH), or any other local, state or federal governmental funding source's approved unit cost for that service with the agency.
2. The PLB may contract for services that are not presently being purchased by DMH or another major public funding source. If that is the case, the following shall apply:
  - a) The PLB will determine a unit rate annually after reviewing and analyzing the following:
    - 1) The agency's PLB Project budget and unit projections submitted with the application for funds
    - 2) Most recent independent audited unit cost
    - 3) Comparison of budget/unit cost for similar services within the region
    - 4) Current year's PLB contracted unit rate and actual units provided year-to-date
    - 5) Previous years' costs and utilization
    - 6) Any other factors that may affect the unit cost

On an annual basis, the Board will address the availability of funds for a cost of living adjustment (COLA) or funding increase.
  - b) Once the negotiated purchase of service contract is agreed upon, said service shall not be eligible for a unit rate adjustment for the remainder of the contract period.
  - c) If the negotiated unit rate reflects an overpayment according to an annual agency audit and PLB review, the PLB may consider requesting a repayment of the overpayment exceeding the contracted unit rate and may consider adjusting the current contracted unit rate accordingly.
3. The PLB may consider a retroactive adjustment for PLB funds expended for units of service purchased by and at the DMH or other governmental funding unit rate. The following shall be applied to said consideration:
  - a) The PLB reserves the right to evaluate those expenses included in the audited unit cost calculation, and may at its discretion adjust certain costs.
  - b) In the event the audited unit cost reflects a PLB underpayment, a unit cost adjustment may be made for the difference between the PLB unit rate paid and the agency's audited unit cost, provided the audited unit cost is comparable to other agencies' audited unit costs for the same or similar service, and does not exceed the maximum unit cost paid by DMH or other governmental funding bodies.
  - c) In the event the audited unit cost reflects an overpayment, the PLB may consider requesting a repayment of overpayment exceeding the contracted unit rate.

## **PURCHASE OF SERVICE (POS) STATEMENT OF POLICIES (Continued)**

(Revised November 2016)

4. The PLB requires an annual or project-end audit that will certify true and actual PLB project purchase of services unit cost in accordance with generally accepted accounting principles.
5. All unit rates are subject to verification by PLB review of agency's audited unit cost report. Unit rates may be retroactively adjusted to July 1 if the approved unit rate exceeds the verified audited unit cost adjusted by the PLB COLA or funding increase.
6. The agency may assess the parent or other financially responsible person a portion of the cost of the service.
7. Agencies are required to access and utilize all other funding sources (e.g. insurance, EMAP Funding, Choices for Family Contracts, etc.) when available prior to expenditure of PLB funds.
8. The PLB will not provide purchase of service (POS) funding for program and/or support services for Medicaid certified individuals residing in a public or private intermediate care facility for the intellectually disabled (ICF-ID) or Medicaid Waiver residential services for Medicaid reimbursable services. It is the responsibility of the agency to demonstrate that a service is not reimbursable under ICF-ID or Medicaid waiver when requesting exception to this policy.

## **FUNDING CLASSIFICATIONS, REQUIREMENTS AND RELATED POLICIES**

### **GRANTS**

(Revised November 2017)

The PLB will consider funding grants that provide reimbursement for the cost of ongoing services/supports that are not purchased on a purchase of service (POS) unit basis.

1. Grants may be initiated as a grant with individual reporting requirements or a grant without individual reporting. For grants with individual reporting, agencies shall list the names of the individuals served on the invoice addendum.

Projects funded as a grant may include expenses/fees directly related to the project in the budget. Indirect expenses such as rent are also allowed expenses.

2. Invoicing procedures require agencies to submit an Invoice Summarization Sheet with each reimbursement request. The Invoice Summarization Sheet is a form found on the agencies PLB website and includes supporting cost details for personnel and project specific costs.
3. In addition to the Invoice Summarization Sheet, additional proof of payment supporting documentation is required as follows:

#### **Staff Travel:**

- a) Staff travel includes expenses directly incurred to provide the service.
- b) Proof of payment documentation shall include mileage reports or receipts when applicable.

#### **Staff Training:**

- a) Staff training includes expenses directly incurred for staff to remain current on required training, practices and standards, and to acquire new skills.
- b) Examples of eligible expenses include reasonable conference registration fees, travel expenses related to conferences, tuition costs, fees paid to group trainers (such as CPR training), etc.
- c) Conferences/training related to national accreditations should not be included.
- d) Proof of payment, including receipts, is required for reimbursement.

#### **Professional Fees:**

- a) Professional services/fees include expenses directly related to the project.
- b) Examples of eligible expenses include consulting fees, interpreters, licensing renewals and legal or audit fees directly related to the project.
- c) General agency professional fees such as legal or audit fees. These types of professional fees may be charged as an indirect administrative allocation.
- d) Proof of payment, including receipts, is required for reimbursement.

**GRANTS (Continued)**  
(Revised November 2017)

Client Assistance:

- a) Client assistance expenses/fees include expenses directly related to the project.
- b) Client assistance includes expenses that directly benefit the individual, such as attending an event or activity which fits within the scope of the project's service definition. All expenses shall be properly allocated to reflect the percentage directly related to this project.
- c) Items outside of the Service Definition of the project such as items that an individual could not afford and the agency elected to purchase are not eligible. Examples are household supplies, groceries, medication, etc.
- d) Documentation showing evidence of the expense or proof of payment is required.

Invoice Authorization

- a) The person submitting and approving the invoice is certifying that the expenditures are true and correct to the best of their knowledge.
- b) The Agency is responsible for any discrepancies that may occur during the invoice process.
- c) Payments will be approved for eligible St. Louis County individuals only. All PLB reporting requirements (program, financial, quality, etc.) must be satisfied prior to the release of any PLB funds.

## **FUNDING CLASSIFICATIONS, REQUIREMENTS AND RELATED POLICIES**

### **CAPITAL EXPENSES**

Funding will be considered for one-time capital expenses such as acquisition of property, vehicles for transportation to sheltered workshops, and renovations that have a useful life of one (1) or more years, and whose individual acquisition unit cost to the PLB is \$1,000 or more. ([Policies Related to Capital Items, General Guidelines](#))

Funding will be considered for:

1. New Construction or Renovation to existing buildings.  
([Sheltered Workshop Policies for Construction/Renovation Projects, and Sheltered Workshop Funding Request Procedure Guidebook](#))
2. Vehicle Acquisition for vehicles that are used primarily to transport St. Louis County residents with developmental disabilities to St. Louis County sheltered workshops.  
([Vehicle Acquisition](#))
3. Residential Capital Down Payment Assistance to purchase affordable housing located in St. Louis County occupied by St. Louis County residents with developmental disabilities.  
([Residential Capital Policy for Down Payment Assistance and Application – Residential Capital Down Payment Assistance](#))
4. Residential Capital Renovations and Capital Repairs to residential housing located in St. Louis County occupied by St. Louis County residents with developmental disabilities.  
([Residential Policy for Housing Renovations and Repairs and Application for Residential Capital Renovations and Repairs](#))
5. Independent Supported Living Assistance (ISLA) Start-Up for one-time expenses associated with the individual's first move to a residence.  
([Independent Supported Living Assistance \(ISLA Start-Up\)](#))
6. Sheltered Workshop Capital Repairs and Equipment that has an essential business function.  
([Sheltered Workshop Capital](#))
7. Emergency capital Items (i.e. items that address an existing or eminent health and safety issue or are necessary to continue day to day operations).

## PROGRAM POLICIES

### **COMMUNITY SERVICE GUIDELINES AND POLICIES**

#### **INDEPENDENT SUPPORTED LIVING ASSISTANCE (ISLA)**

(Revised November 2014)

#### **SERVICE DEFINITION**

Independent supported living assistance provides support for an individual to live independently in the community. Supports promote the acquisition of skills for independence for the individual to stay in his or her own residence and access the community. Supports must be directed to increase the individual's skills for independence, formation of social roles, relationships and self-reliance.

#### **GUIDELINES AND POLICIES**

ISLA services provide ongoing, targeted and goal oriented supports to individuals who have identified the desire to live independently within their community. ISLA supports shall be developed to meet the unique needs of each individual. It is the intent of the PLB in funding ISLA services to assist those St. Louis County residents with developmental disabilities in securing alternative living in the community outside of the individual's family.

#### **BASIC PRINCIPLES OF INDEPENDENT SUPPORTED LIVING**

The following are basic principles of individualized supported living adopted by the PLB to serve as a guide to agencies in determining the appropriateness of submitting an application.

1. Individual's support needs.

Individuals must demonstrate their ability to live independently with staff support not to exceed 50 hours a month (600 hours annually).

2. Housing shall not be owned and/or controlled by the lead agency.

The housing and support components of services must be separated to increase options for flexibility and individualization in order to ensure that individuals may remain in their homes and communities if they choose another lead agency for supports.

3. Supports are driven by the individual's choice.

All significant decisions regarding these residential supports are to be made by the individual, with support from the significant people in the individual's life. This shall include choice of lead agency, direct support provider, and transfer (when applicable) of lead agency. The individual's needs and preferences are examined first; services and housing are then developed to address these choices.

## BASIC PRINCIPLES OF INDEPENDENT SUPPORTED LIVING (Continued)

4. Support strategies shall incorporate paid and non-paid staff to include natural supports, as well as community resources.

Supports may include paid support; natural supports such as family, friends, and community connections; and adaptations and other assistive technology that may increase the likelihood of success for some individuals.

5. Housing shall be similar to “typical” residences for people without disabilities.

Housing should not be congregate in nature or segregated from the community, but integrated in the community. To this end, every effort should be made to utilize existing housing to avoid the possibility of creating specialized housing. In addition, in order to preserve the dignity of individuals and their right to privacy, housing should be shared by no more than what is typical for the non-disabled population (i.e., three or four people), and every adult should have a separate bedroom unless he or she requests to share a bedroom with another adult in the same household.

6. Individuals are supported to acquire and maintain skills that will assist them with being active community members. The goal is to fade supports as new skills and natural supports are acquired and maintained.

## INDIVIDUAL ELIGIBILITY FOR ISLA SERVICES

(Revised November 2017)

The following eligibility criteria apply for PLB ISLA funding:

1. Individuals shall require no more than 600 hours of paid support per year (excluding personal care assistance funded by DVR or DOA).
2. Active status with the St. Louis Regional Office is preferred.
3. If the individual is active with Regional Office, the agency must maintain the St. Louis Regional Office CIMOR data sheet on file as proof of disability
4. Consideration will be given to applicants who reside with elderly parents/family members, children or spouses, etc. when clearly justified and described in the Individual Support Plan.

## **INDEPENDENT SUPPORTED LIVING ASSISTANCE (ISLA)**

### **ISLA TRANSITION SERVICES DEFINITION**

The following transition criteria apply for PLB ISLA funding:

1. Individuals needing support to transition from their current living arrangement (typically their natural family home), to their independent supported living arrangement may be considered eligible, on a limited basis, for ISLA Transition Services.
  - a) These transitional services are to be time-limited and may not exceed six months from the date the Application for ISLA Services is approved by the PLB.
  - b) ISLA services provided as transitional support must be clearly defined in the Application for ISLA Services.

### **INTERRUPTION OF ISLA SERVICES**

(Revised November 2016)

1. In situations when there may be an interruption of ISLA services, agency staff will document the following information in the progress notes:
  - a) Description of the current situation and the need for temporary suspension of services.
  - b) The estimated time frame needed to re-establish services.
2. When the individual restarts services, agency will update the individual's support plan to address any changes in support needs.

## **INDEPENDENT SUPPORTED LIVING ASSISTANCE (ISLA)**

### AGENCY GUIDELINES

(Revised November 2017)

Agencies must provide the following:

1. A system of supports for as long as it is needed to enable the individual to safely and successfully live in a residence of his/her choosing;
2. Support as an advisor, facilitator, and advocate focused on developing skills for independence;
3. Support to the individual to maintain contact with the St. Louis Regional Office Support Coordinator, if applicable.
4. Assistance in locating housing, signing leases, negotiating with landlords, arranging for architectural adaptations, and obtaining subsidies;
5. Assistance in the individual's choice of (a) housemate(s);
6. Consistent, on-going support as defined in the Individual's Support Plan.
7. Agencies are required to maintain certification by the Missouri Division of Developmental Disabilities under the Missouri Medicaid Waiver Certification principles. In addition, PLB recommends that funded ISLA providers maintain accreditation from either The Council on Quality and Leadership or the Commission on Accreditation of Rehabilitation Facilities (CARF).

## INDEPENDENT SUPPORTED LIVING ASSISTANCE (ISLA)

### GUIDELINES FOR FUNDING SUPPORTS

(Revised November 2017)

1. The agency must submit a complete ISLA Application for Services developed with the individual, family, St. Louis Regional Office Support Coordinator, if applicable and other interested parties prior to PLB approval of service implementation.
2. The PLB must approve the ISLA Application for Services prior to the start of supports for all new individuals. The ISLA Application must:
  - a) Identify all paid and natural supports needed and the sources of funding.
  - b) Identify the individual's financial ability to sustain their independent living arrangement.
  - c) Identify the individual's need for services in all areas of the ISLA Application.
  - d) Indicate if support is not needed in a particular area.
  - e) Address the individual's current living situation and the reasons he/she desires to receive your agency's ISLA supports.
  - f) Indicate the number of hours of paid supports needed, not to exceed 50 hours a month/600 hours annually.
  - g) Include the time frame of projected reductions in paid supports.
  - h) PLB may deny funding if support needs exceed ISLA guidelines of 600 hours of paid support per year, or if the ISLA Application for Services does not adequately describe the individual's need for the support
3. Individual supports are driven by the Individual Support Plan. An Individual Support Plan must be developed for all individuals within the first three months of supports. The plan must be reviewed and/or revised at least annually. This plan shall direct and guide the provider agency in the provision of supports.
4. The agency will have a written process in place to ensure the health and safety of the individual when services are not provided as outlined in the individual support plan.
5. When an individual's support needs exceed 50 hours in any month the agency must submit the ([ISLA Supports Exceeding 50 Hours per Month](#)) to the PLB Agency and Community Relations staff for approval prior to submitting the monthly invoice.
6. When an individual supported in a PLB funded ISLA arrangement has projected support needs that exceed the 600 hour program limit in any given fiscal year, the following process will be completed prior to reaching the 600 hours of annual support:
  - a) Notify the PLB of the situation(s) surrounding the additional support needs.
  - b) Submit written documentation of the need for additional hours of support.

This written documentation shall include, but not be limited to:

- 1) A detailed written explanation of why additional hours are needed and the anticipated number of hours required to assure health and safety through the remainder of the current fiscal year.

## **INDEPENDENT SUPPORTED LIVING ASSISTANCE (ISLA)**

### GUIDELINES FOR FUNDING SUPPORTS (Continued)

(Revised November 2017)

- 2) How the additional hours will support the identified needs of the individual.
  - 3) Contact with the St. Louis Regional Office to begin waiver eligibility process for possible transition to residential placement.
  - 4) The ISLA Provider will contact St. Louis Regional Office annually or as needs change and will work in cooperation for a transition of services when appropriate.
7. PLB funds awarded to agencies for existing ISLA services shall be considered the base level of funding for that fiscal year. In the event an agency is able to reduce paid supports to existing individuals and serve new individuals, it is the agency's responsibility to plan for and budget accordingly to cover the costs to continue providing supports to the new individuals on an annual basis within the agency's present base level of funding from the PLB. The PLB does not guarantee the increase of funding above the base level of funding appropriated in the previous fiscal year.
8. Individuals receiving ISLA supports may on occasion choose to be supported by another ISLA provider agency. In this event, PLB may transfer funds from the current ISLA provider agency to the new ISLA provider agency of choice, as long as this agency meets the following requirements:
- a) Has a PLB contract;
  - b) Meets all PLB agency eligibility requirements;
  - c) Meets all requirements of the PLB's Quality Enhancement/Service Excellence System;
  - d) Agrees to accept responsibility for the support of the individual;
  - e) Documents that all of the involved parties (individual, agencies, Support Coordinator and family, if applicable) are aware of this decision, informed of its consequences, and concur and
  - f) Develops and submits a written transfer plan to the PLB prior to the transition taking place. This plan will include a timeline, amount of support needed during the transition period, the person responsible for the support, and signatures from the individual, prior ISLA provider and new ISLA provider.

Transfers will be considered only when the individual's support needs can be fully met with no more than 600 hours of paid support per year (excluding personal care assistance funded by DVR or DOA). ([ISLA Application for Services](#)).

## **INDEPENDENT SUPPORTED LIVING ASSISTANCE (ISLA)**

### **GUIDELINES FOR REQUESTING FUNDS ASSIGNED FOR ADDITIONAL ISLA SERVICES**

(Revised November 2017)

1. Based upon available funds after the close of the fiscal year, the PLB may annually assign funds that ISLA agencies may access.
2. The agency must complete the ISLA Application for Services for each new individual identified and obtain PLB approval.
3. The agency must document the need for additional units to support a new individual(s) or existing individuals with increased support needs.
4. The agency must apply for additional units using the PLB "Request for Assigned Funds" form.
5. The agency must project the additional units to be requested for the remainder of the fiscal year per person and submit a request for ongoing funding for the next fiscal year.
6. PLB staff will review the request, verify the need for additional units based on year-to-date utilization and funds available.
7. PLB staff will submit their recommendation for additional funds to the PLB Community Services Committee and notify the agency of the Board's final decision.
8. If additional units are approved, PLB staff will transfer the approved units from the ISLA Assigned Funds to the agency's ISLA project.

[\(Request for Assigned Funds\)](#)

## **INDEPENDENT SUPPORTED LIVING ASSISTANCE (ISLA) START-UP AND/OR REPLACEMENT**

(Revised November 2017)

### **SERVICE DEFINITION**

ISLA Start-Up and/or Replacement provides funding to individuals who have identified the desire to live independently within their community. Funding promotes the increase of the individual's skills for independence, formation of social roles, relationships and self-reliance.

### **GUIDELINES AND POLICIES**

ISLA Start-Up and/or Replacement provides funding for one-time expenses associated with an individual approved for funding of supports, through PLB's ISLA program, for their move into a residence or replacement furnishings. ISLA Start-Up and/or Replacement funding shall meet the unique needs of each individual. It is the intent of the PLB to assist individuals with securing a residence in the community, outside of the individual's natural family home.

### **BASIC PRINCIPLES OF ISLA START-UP AND/OR REPLACEMENT**

The following are basic principles of ISLA Start-Up and/or Replacement adopted by the PLB to serve as a guide to agencies in determining the appropriateness of submitting an application.

1. For individuals approved for funding of supports through the PLB's ISLA program, the PLB will consider granting funds for one-time expenses associated with their move to a residence, such as security and utility deposits, moving expenses, basic furnishings and/or replacement furnishings.
2. Supports are driven by individual choice. All significant decisions regarding these community supports are to be made by the individual, with support from the significant people in their life. This shall include choice of lead agency serving as the administrator of the Start-Up and/or Replacement funds. The individual's needs and preferences are examined first; the Start-Up and/or Replacement Application is then developed to address these choices.
3. ISLA Start-Up requests may be submitted by the supporting Agency 60 days prior to moving or up to 30 days after moving and must be approved by the PLB in order to receive reimbursement.
4. Requests for ISLA Replacement funds may be submitted at any time with need documented in the ISLA Start-Up and/or Replacement Application.
5. Most individuals' ISLA Start-Up and/or Replacement needs can be accommodated for less than \$2,000. Start-Up and/or Replacement Funds exceeding \$2,000 will be reviewed and approved by the Community Services Committee and the Board.

## **INDEPENDENT SUPPORTED LIVING ASSISTANCE (ISLA) START-UP AND/OR REPLACEMENT**

(Revised November 2015)

### INDIVIDUAL ELIGIBILITY FOR ISLA START-UP AND/OR REPLACEMENT

The following eligibility criteria apply for PLB ISLA Start-Up funding:

1. It is the intent of the PLB in funding ISLA supports and Start-Up expenses to assist those St. Louis County residents with developmental disabilities in securing alternative living in the community outside of the individual's natural family. Therefore, the PLB will not fund start-up expenses for supported living arrangements when the individual is or will be residing with a member of his or her natural family irrespective of the ownership or location of the dwelling unit. Consideration will be given to potential ISLA individuals with children, or spouses, etc. when justified and described in the ISLA Application.
2. Individuals may only receive ISLA Start-Up funds one time.
3. Individuals' ISLA application must identify their financial ability to sustain their independent living arrangement and ability to live independently.
4. Individuals who receive ISLA supports may request replacement furnishings with documentation of need and after all other resources have been utilized.

### AGENCY GUIDELINES

In addition to the general requirements specified, agencies applying for Start-Up and/or Replacement funding for an individual must meet the following:

- 1) Have a current PLB contract;
- 2) All PLB Agency eligibility and ISLA Agency requirements;
- 3) Agree to accept responsibility for the support of the individual during the purchasing of Start-Up and/or Replacement items throughout the full length of the contract;
- 4) Maintain documentation that all of the involved parties (individual, agency, Support Coordinator and family, if applicable) are informed of all decisions regarding the Start-Up and/or Replacement funding.

## **INDEPENDENT SUPPORTED LIVING ASSISTANCE (ISLA) START-UP AND/OR REPLACEMENT**

### GUIDELINES FOR FUNDING ISLA START-UP AND/OR REPLACEMENT

(Revised November 2017)

1. The PLB must approve the Application for ISLA Services prior to moving forward with review of the Start-Up Application.
2. Agencies must demonstrate that all other resources have been utilized prior to submitting requests for Start-Up and/or Replacement funding. Examples include, but are not limited to, items from other sources, such as family/friends, donations, individual's personal resources, and start-up funds from the St. Louis Regional Office.
3. Clear lines of communication (verbal and written) must remain open throughout the entire process (conditions, changes, etc.)
4. Application Procedures
  - a. The Agency must submit a complete Application for ISLA Start-Up and/or Replacement Funds developed by the individual with support from family (if applicable), St. Louis Regional Office Support Coordinator and other interested parties.
  - b. ISLA Start-Up requests may be submitted by the supporting Agency 60 days prior to moving or up to 30 days after moving and must be approved by the PLB in order to receive reimbursement.
  - c. Dates must be consistent across all documents.
  - d. Applications for Replacement funds may be submitted at any time.
  - e. Application must include a statement regarding the individual's need for Start-Up and/or Replacement funding.
  - f. Budget

Individual's Start-Up and/or Replacement needs exceeding \$2,000 require Community Services Committee review and PLB approval.

- Must include any individual/parent contribution(s).
- PLB Policies Related to Capital Items and General Capital Guidelines applies to any item requested, in which the unit cost is \$1000 or more and has a useful life of more than one year.

[\(Policies Related to Capital Items, General Capital Guidelines\)](#)

## GUIDELINES FOR FUNDING ISLA START-UP AND/OR REPLACEMENT (Continued)

- Eligible expenses include the following:
  - a. Moving Expenses - The cost to lease/rent a vehicle and/or contract with a moving company if an individual is moving significant quantities of furniture from his or her current residence. (Start-Up only)
  - b. Rent/Security Deposits - Cost to lease a house/apartment (not to exceed two [2] months' rent). (Start-Up only)
  - c. Utilities/Deposits - If required, cost to have utilities service established. (Start-Up only)
  - d. Renter's Insurance Policy – Initial cost to obtain renter's insurance coverage for up to one year. (Start-Up only)
  - e. Housekeeping Supplies – Non-consumable items such as a mop, broom, vacuum, trash cans, etc.
  - f. Household Items – Non-consumable items such as bath towels, kitchen items, small appliances, etc.
  - g. Furnishings – Must include an itemized, detailed list of basic furniture such as dining room, bedroom and living room furniture. **Items not considered basic include televisions, electronics, stereos, entertainment centers, etc.**

**Adaptive Equipment may be requested through the PLB Adaptive Equipment process by contacting the St. Louis Regional Office Support Coordinator.** Adaptive Equipment may include: specialized equipment required to assure individual's safety and welfare and/or to exercise self-direction, control of their environment, decreased dependence on paid supports and access to their community.

## GUIDELINES FOR FUNDING ISLA START-UP AND/OR REPLACEMENT (Continued)

- Any changes to the agreed upon budget, must be approved by PLB prior to submitting an invoice. Requested changes must be submitted on the PLB Contract Revision Request Form (on “For Agency Only” page) with detailed description/explanation of requested changes.  
[\(Contract Revision Request Form\)](#)
  
- g. Corporate Resolution - This form notifies the PLB that the Agency’s Board of Directors has approved the Agency to apply for PLB funding, and must include:
  - The date your Board met to authorize the Agency to apply for PLB funding.
  - Signature of a current member of the Agency’s Board of Directors.
  - Authorization/designation for an individual from the Agency to sign PLB Service Agreement(s).
  
- h. Service Agreement
  - Agency staff who has been authorized to sign and enter into Service Agreements with the PLB will receive the Service Agreement and Approval Letter.
  - The Service Agreement identifies the length of the contract.
  - The Service Agreement and Approval Letter must be signed and returned to the PLB before purchasing any approved services or items.
  - Once the Service Agreement is signed by your agency, a contract has been established. Therefore, any changes must be requested in writing and approved by PLB prior to the changes taking place. Submit a written explanation of the situation(s) surrounding any/all changes of funding needs (dates, items, living situation, etc.).
  - Once the signed Service Agreement is received at the PLB, an invoice is created.

## GUIDELINES FOR FUNDING ISLA START-UP AND/OR REPLACEMENT (Continued)

### i. Funding Worksheet

- Track all expenses on the Funding Worksheet (ISLA Start-Up and/or Replacement Application).
- Funding Worksheet should be submitted with your invoice as an attachment.
- For any item costing \$1,000 or more, you must obtain 3 bids and submit bids with your invoice as attachments (as submitted with Start-Up Application).
- Attach copies of all receipts or paid invoices and approved Contract Revision Request form (if needed) to your invoice as attachments.

### j. Invoicing Procedures - invoices are generated by the PLB and placed on the agency's' PLB website on a monthly basis.

- A signed Service Agreement, Security Agreement and/or Loan Agreement must be on file in the PLB office. All conditions set forth for disbursement of funds must be met prior to authorization of expenditures.
- Submit the completed Funding Worksheet included in the original approved Start-Up and/or Replacement application.
- Submit all approved Contract Revision Request Form(s).
- Submit all bids for capital items costing \$1000 or more.
- Attach copies of all receipts or paid invoices.
- If you receive notification from the PLB regarding a discrepancy with the Invoice of Expenditures and/or the individual's information, your invoice will be held until resolved, or items causing the discrepancy will be deducted at PLB staff discretion.

[\(Application for ISLA Start-Up and/or Replacement Funds\)](#)

## **INDIVIDUAL SUPPORT**

(Revised November 2016)

### SERVICE DEFINITION

Individual Support provides in-home and in-facility supports to an individual who resides in their natural home. Supports promote the acquisition of skills for independence. Supports must be directed to increase the individual's skills, formation of social roles, relationships and self-reliance.

### GUIDELINES AND POLICIES

Individual Support is provided through In-Home and Facility Based Residential Supports. The following definition of and the accompanying description of what is and what is not In-Home and Facility Based Residential Supports is provided to clarify the meaning of this individual support. The circumstances of each individual are different and may require individualized application of the definition. Therefore, it is imperative that the individual, the St. Louis Regional Office Support Coordinator (if applicable), the family, the funding source(s) and service agencies maintain an open line of communication to facilitate the most appropriate support service for the specific needs of the individual.

### BASIC PRINCIPLES OF INDIVIDUAL SUPPORTS

1. In-Home and Facility Based Residential Supports are hereby defined as temporary residential care and in-home support for individuals with developmental disabilities for the purpose of maintaining them in their natural place of residence while providing beneficial and needed supports.
2. In-Home and Facility Based Residential Supports are recognized as an essential part of maintaining the individual in their natural home.
3. In-Home and Facility Based Residential Supports shall be used for the primary purpose of providing residential services to individuals for a short period of time (e.g., few hours, day, weekend). The PLB recognizes that the availability of this support may contribute to the prevention of unnecessary and/or premature out-of-home placement.
4. The number of hours accessed for In-Home and Facility Based Residential Supports on an annual basis are not an individual or family entitlement and should be used responsibly.
5. This support provides the individual with the following:
  - a) Supports for the acquisition of skills for independence, formation of social roles, relationships and self-reliance;
  - b) Medical and behavioral supports.
6. In-Home and Facility Based Residential Supports can be provided through a variety of residential settings such as:
  - a) In the individual's place of residence;
  - b) In the home of a provider;
  - c) In a specialized facility/residential center funded by the PLB, and
  - d) In the community.

## **INDIVIDUAL SUPPORT**

(Revised November 2016)

### AGENCY GUIDELINES

The following criteria apply:

1. In-Home and Facility Based Residential Supports are available to eligible individuals to the extent of funds allocated on an annual basis.
2. Individuals may access no more than 504 hours per person per fiscal year.
3. Agency must monitor individual utilization on a regular basis to ensure:
  - a) Utilization does not exceed 504 hours per person per fiscal year.
  - b) Utilization does not exceed 200 hours in any month.

If an individual's utilization is expected to exceed 200 hours in any month, the agency must submit the ([Individual Supports Notice of Hours Exceeding 200 hours Per Month](#)) **prior to submitting the monthly invoice**.

- c) Services do not exceed 14 consecutive days. Consideration for requests for more than 14 consecutive days will be given under extenuating circumstances only, and must be requested in writing prior to service delivery.
4. In-Home and Facility Based Residential Supports for individuals who have specialized medical needs must meet the following:
  - a) Services are provided by a licensed professional (i.e., Registered Nurse, Licensed Practical Nurse and/or a Certified Nurse's Aide), as determined through an assessment by a physician or registered nurse.
  - b) Services are provided in a specialized facility funded by the PLB, or in their natural home, based upon the individual's needs and the availability of resources.
  - c) Individuals must be in the process of registering for the St. Louis Regional Office and/or maintain active status, if eligible

## **INDIVIDUAL SUPPORT**

(Revised November 2016)

### GUIDELINES FOR FUNDING

1. Individual Support **does not** include:
  - a. Daily care on an ongoing or regularly scheduled basis.
    - Daily care (Day Care) while a parent or legal guardian is working.
    - Support regularly scheduled before and/or after school or work of the individual.
  - b. Care provided by a family member living in the family home.
  - c. Care provided by a mother, father, stepmother, stepfather, or any individual less than 16 years of age.
  - d. Relief to paid support staff in a family home or in the home of the individual.
  - e. Care usually associated with attendants or personal care assistants.
  - f. Care provided for an individual in the hospital.
  - g. Care provided for a child in foster care. (Department of Social Services, Children's Division funds respite care for children in foster care; Missouri Resource Parent Handbook.)
2. In-Home Residential Services Reimbursements to Families
  - a. Reimbursement is capped at 14 hours within 24 consecutive hours.
  - b. The agency will reimburse the family for the same number of hours billed to the PLB.
  - c. When services are provided to 2 or more siblings at the same time, the agency will reimburse the family at the group unit rate.

## **INDIVIDUAL SUPPORT**

### CRITERIA FOR REQUESTS FOR ADDITIONAL HOURS OVER 504 ANNUAL LIMIT

(Revised November 2017)

The PLB will consider requests for additional hours for In-Home and Facility Based Residential Support beyond the 504-hour maximum on an individualized basis. Requests are considered to the extent of PLB funds available on an annual basis.

Requests may be considered when the following circumstances apply:

1. Serious illness/ hospitalization of primary caregiver, serious illness of individual, or death of primary caregiver;
2. Unforeseen family circumstance(s) that necessitates the primary caregiver's absence from the home;
3. Temporary homelessness, where housing is denied to the individual with the disability; and
4. Circumstances that constitute an unforeseen, critical hardship on the family in caring for their family member with a developmental disability in the home and, in the absence of In-Home and Facility Based Residential Support may be at risk of having to place this individual out of the home environment on a permanent basis.

Requests will be denied if the following circumstances apply:

1. Individual's support needs exceed the PLB's definition of In-Home and Facility Based Residential Support.
2. Individuals do not adequately budget their hours.

Individuals whose support needs exceed the PLB's annual limit of In-Home and Facility Based Residential Support or do not adequately budget their hours will be reviewed on an individual basis by PLB staff. ([Individual Support Request for Additional Hours Over 504](#))

## INDIVIDUAL SUPPORT

### PROCEDURE FOR REVIEW OF REQUESTS FOR ADDITIONAL HOURS OVER THE 504 ANNUAL LIMIT

(Revised November 2017)

The request for additional hours shall be received and evaluated by PLB staff.

1. The In-Home and Facility Based Residential Support agency will provide evidence that the St. Louis Regional Office has denied funding for additional In-Home and/or Facility Based Supports.
2. The following will be considered in this review:
  - a) The amount of In-Home and Facility Based Residential Support utilized year to date and for two prior years;
  - b) The specific reason for the extended need, the duration of the need, and the family's plans to ameliorate the presenting problem and
  - c) Whether the individual will be returning home or the family is seeking permanent out of home placement.
  - d) If the individual is not returning home, the agency will work with the family, the Support Coordinator (if applicable) and other people in the individual's life to determine the long-term residential support needs. The agency will develop a plan with timelines and submit the plan along with the request for additional hours over the 504 annual limit.

The above information will be submitted to the PLB Agency and Community Relations staff for review and approval utilizing the ([Individual Supports Request for Additional Hours Over 504](#)). The action of the PLB will be communicated to the provider agency in writing to include the amount of time approved and any conditions of approval.

The circumstances necessitating the extension will be periodically reviewed and, if possible, the extended support may be reduced if other more appropriate supports become available.

## **COMMUNITY SUPPORT**

(Revised November 2017)

### **SERVICE DEFINITION**

Community Support provides support for an individual to develop skills for independence to access the community. Supports must be directed to increase residential living skills, formation of social roles, relationships and self-reliance.

### **GUIDELINES AND POLICIES**

Community Support provides targeted and goal oriented supports for individuals to increase their skills to access the community and become integrated, active members of the community. Supports shall be developed to meet the unique needs of each individual and shall be provided in the community.

### **BASIC PRINCIPLES OF COMMUNITY SUPPORT**

Each person has a choice to live, work, learn and participate in their community. Community Supports are delivered based on individual needs and choices as identified in the Individual Support Plan. The service is designed to support the individual in acquiring and maintaining skills that develop independence in the community. Some of these areas may include financial management, personal health, accessing transportation, safety skills, decision making and developing relationships.

Individuals are supported to acquire and maintain skills that will assist them with being active community members. The goal is to fade supports as new skills and natural supports are acquired and maintained.

Strategies shall incorporate paid and non-paid staff to include natural supports such as family, friends, and community connections, community resources and adaptations that may increase the individual's independence.

Project priority shall be individuals who do not receive Medicaid Waiver funding.

### **AGENCY GUIDELINES**

In addition to the general requirements specified in the PLB Funding Manual, agencies must provide the following:

1. A system to support the individual to safely and successfully live in and access the community of his/her choosing;
2. Serve as an advisor, facilitator, and advocate focused on developing skills for independence;
3. Support to the individual in the acquisition and/or maintenance of residential living skills, as defined by the PLB's Service Definition;
4. Supports ensure individuals have access to available resources and options that assist in accessing community supports.

## **OLDER ADULT SUPPORTS**

(Revised November 2017)

### **SERVICE DEFINITION**

Older Adult Supports provide support to an individual to transition into retirement and participate in older adult community activities. Supports promote the acquisition of skills, formation of relationships and the use of transportation systems to progress towards or maintain independent living.

### **GUIDELINES AND POLICIES**

Older Adult supports shall be developed to meet the unique needs of each individual and shall be provided in the community.

### **BASIC PRINCIPLES OF OLDER ADULT SUPPORT**

Older Adult support provides targeted and goal oriented supports to individuals so they may access their community independently. Outcomes must be identified for each individual receiving supports in the Older Adult programs.

Individuals are supported to acquire and maintain skills that will assist them to become active members of their community. The goal is to fade supports as new skills and natural supports are acquired and maintained.

Project priority shall be individuals who do not receive Medicaid Waiver funding.

## **ADAPTIVE EQUIPMENT**

(Revised November 2017)

### SERVICE DEFINITION

Community Support provides supports for individuals to develop skills for independence to access the community. Services must be directed to increase skills, formation of social roles, relationships and self-reliance.

### GUIDELINES AND POLICIES

Adaptive equipment, environmental adaptations, Lending Library and/or maintenance and repairs supports the individual to maintain skills that sustain them in their home and community with an increased or continued level of independence and self-sufficiency.

### DEFINITION OF ADAPTIVE EQUIPMENT, ENVIRONMENTAL ADAPTATIONS, LENDING LIBRARY, MAINTENANCE AND REPAIRS

1. Adaptive equipment, environmental adaptations, Lending Library and/or maintenance and repairs shall address one or more of the following areas:
  - a. Health of the individual.
  - b. Safety of the individual.
  - c. Environmental accessibility and/or mobility.
2. Adaptive equipment may include installation of removable items such as ramps, grab bars, lifts, bathing and/or positioning aids, customized seating, mobility and communication devices.
3. Environmental adaptations may include the widening of doorways, modification of bathroom facilities, or installation of specialized electric and plumbing systems which are necessary to accommodate the adaptive equipment. Adaptations that add to the total square footage of the home are excluded from this benefit.
4. Adaptive equipment and/or Environmental adaptations shall exclude adaptations or improvements to the home (i.e., new carpeting, roof repair, central air conditioning, etc.), equipment used to provide therapies, behavioral support, recreation, monitoring devices, disposable items typically needed for daily living or over the counter items.
5. Adaptive equipment may be installed in rental homes or apartments for removable items only with the written permission of the landlord/owner.

DEFINITION OF ADAPTIVE EQUIPMENT, ENVIRONMENTAL ADAPTATIONS, LENDING LIBRARY, MAINTENANCE AND REPAIRS (Continued)

6. A written Agreement between the renter and the landlord/owner must:
  - a. Specify the requirements for removal of the equipment and restoration of the property to its original condition if the individual moves;
  - b. Specify the financially responsible party for the restoration;
  - c. Specify that PLB is not responsible for the cost of restoration and
  - d. Allow the PLB and/or the Administrative Agency or Vendor to have access to the property if/when the item(s) need to be removed.
7. Funding for maintenance and repairs of equipment excludes over the counter generic items such as batteries or eating utensils.
8. Limited adaptive equipment and sensory items are available through the PLB Adaptive Equipment Lending Library.
  - a. Items are available on loan to determine if they will be appropriate for a particular individual before purchasing.
  - b. Individuals may request the desired adaptive equipment after trying an item out following the adaptive equipment procedure.

INDIVIDUAL ELIGIBILITY

In order to be eligible for PLB funded adaptive equipment, environmental adaptations, access to the Lending Library and/or maintenance and repair of equipment the individual:

1. Must be active with the St. Louis Regional Office, if eligible.
2. Must live in their natural home or live independently in the community.

Individuals who are funded by Medicaid Waiver, living in assisted living facilities or other licensed residential settings are not eligible for PLB funds.

**ADAPTIVE EQUIPMENT**  
(Revised November 2017)

**ADAPTIVE EQUIPMENT GUIDELINES FOR FUNDING**

1. The need for adaptive equipment and/or environmental adaptations and/or access to the Lending Library must be documented in the individual's Individual Support Plan (ISP) developed by the individual in collaboration with St. Louis Regional Office (SLRO) Support Coordinator, family and/or other related parties.
  - a) SLRO will contact the Administrative Agency (the Agency) and submit the Adaptive Equipment Referral Form; or
  - b) SLRO may refer individuals to the Agency to access the Adaptive Equipment Lending Library; or
  - c) Individuals or other related parties may contact the Agency to complete a referral and/or access the Lending Library.
2. The Agency must have a licensed Physical Therapist, Occupational Therapist, Speech Therapist or Assistive Technology Professional on staff or on contract to
  - a) Evaluate and determine the appropriate equipment/environmental adaptation to meet the needs of the individual as identified on the Adaptive Equipment Referral Form;
  - b) Contact a PLB approved vendor to obtain bids and assign projects;
  - c) Oversee the installation of equipment, environmental adaptations and provide training and
  - d) Ensure the applicable standards for accessibility are met.
3. All equipment remains the property of the PLB.
4. PLB funding may be requested after all other sources of funding have been exhausted (insurance, etc.).
5. The Agency will provide the individual/family with a lease stating that the PLB maintains ownership of the equipment. The lease will also state that the individual/family is responsible to notify the Agency in the event the equipment needs repair or is no longer needed.
6. The Agency must obtain a minimum of two bids for equipment over \$1,000, identified on the Adaptive Equipment Referral Form from Vendors that have a current Agreement with the PLB.

## ADAPTIVE EQUIPMENT GUIDELINES FOR FUNDING (Continued)

7. Adaptive equipment, environmental adaptations and/or maintenance and repairs costing less than \$500 may be approved by the Agency.
8. Adaptive equipment, environmental adaptations and/or maintenance and repairs costing more than \$500 and up to \$ 7,500 requires the approval of the PLB staff.
9. Adaptive equipment, environmental adaptations and/or maintenance and repairs are capped at \$7,500 per year, per individual. (The cap includes evaluation, equipment, installation, training, maintenance, repairs, etc.)
10. The Agency will contact a current PLB Vendor to remove the equipment when they have been notified that the individual no longer needs the equipment.

## **ADAPTIVE EQUIPMENT**

### DOCUMENTATION REQUIRED

(Revised November 2017)

The Administrative Agency will maintain the following documentation:

1. Individual eligibility.
2. A copy of the individual's Adaptive Equipment Referral form that identifies the adaptive equipment need(s) of the individual.
3. A copy of the evaluation/assessment completed by the Agency's physical therapist, occupational therapist, speech therapist or assistive technology professional.
4. A copy of the bids submitted by vendors which include the cost of 1) the identified equipment, or need for environmental adaptation or maintenance and/or repair and 2) the timeframe for completion.
5. A record of all equipment purchased, loaned and environmental adaptations funded by the PLB by fiscal year and by individual.
6. Adaptive Equipment and/or Maintenance/Repair/Removal Adaptive Equipment Referral Checklist.
7. Lien Waiver.
8. Vendor invoice.
9. Adaptive Equipment Score Tool.
10. Vendor receipts for all item(s) purchased or adaptations made.
11. For the Lending Library and/or replacement item(s) Agency will follow the adaptive equipment policies and obtain all necessary documentation.
  - a. Emergency situations will be discussed on an individual basis by the Agency and the PLB.
12. Removal of Adaptive Equipment:
  - a. Obtain invoice from vendor for removal and storage of item(s).
13. If an individual moves and it is determined an alternate/different piece of equipment is needed, Agency will follow the adaptive equipment policies and obtain all necessary documentation.

## **ADAPTIVE EQUIPMENT**

### PROCEDURE FOR REQUESTING ADAPTIVE EQUIPMENT/ENVIRONMENTAL ADAPTATION, LENDING LIBRARY, MAINTENANCE AND REPAIR

(Revised November 2017)

1. The Administrative Agency (Agency) and the PLB will select the individual(s) with the highest need for funding who are not Medicaid Waiver funded and meet the PLB individual eligibility requirements, based on a review of the Adaptive Equipment Referral form, Vendor bids and the evaluation from a Physical Therapist, Occupational Therapist, Speech Therapist or Assistive Technology Professional and available funds

OR

The Agency receives notification of the need for maintenance and/repair from the SLRO, individual and or related party.

2. The Agency will select a Vendor based on the bids submitted which include the scope of work and equipment/environmental adaptation, installation and training costs or the Agency will contact the Vendor to request a service call. Vendors will be chosen based on availability and service fee.
3. In the event the Vendor identifies the equipment needs to be replaced, the Agency will contact the PLB. These situations will be discussed and evaluated on an individual basis.
4. Once individuals have been selected for funding the Agency will contact the SLRO Support Coordinator (if applicable) with the name of the individual(s), the Vendor and the equipment/environmental adaptation approved for installation.
5. The Agency will notify the individual/family that the Vendor will be calling to schedule installation and/or maintenance and repair of the approved equipment/environmental adaptation.
6. The Agency will contact the Vendor with the name of the individual, address and contact information to schedule the installation.
7. The Agency will ensure the individual/family has contacted the landlord and obtained the required written agreement if the individual lives in a rental home or apartment.
8. The Agency will follow up with the individual/family to ensure the equipment was installed and/or environmental adaptation was completed.
9. The Vendor will submit an itemized invoice to the Agency as defined in the Guidelines for Vendors within 30 days of installation.

**ADAPTIVE EQUIPMENT**  
(Revised November 2016)

**GUIDELINES FOR ADMINISTRATIVE AGENCY**

1. The Administrative Agency (Agency) shall not be a provider of adaptive equipment, environmental adaptations and/or equipment maintenance and repair.
2. The Agency shall demonstrate knowledge and experience in working with adaptive equipment vendors.
3. The Agency shall demonstrate knowledge and experience in working with individuals with developmental disabilities.
4. PLB Policies Related to Capital Items, General Guidelines apply with the exceptions stated in the Adaptive Equipment Policies.
5. The Agency will:
  - a) Coordinate individual selection with the PLB,
  - b) Verify individual's eligibility,
  - c) Verify the selected Vendor has an approved Agreement with the PLB,
  - d) Authorize a PLB contract Vendor to repair, move or remove the equipment,
  - e) Coordinate the Vendor selection, installation and follow-up with the individual/family, SLRO Support Coordinator, Vendor and PLB,
  - f) Verify installation of equipment, environmental adaptation and/or maintenance and repair,
  - g) Provide training to the individual/family,
  - h) Provide the individual/family with an agreement stating that the PLB maintains ownership of the equipment. The agreement will also state that the individual/family is responsible to notify the Agency in the event the equipment needs to be repaired, moved or removed,
  - i) Invoice the PLB for equipment purchased and installed, environmental adaptations or repairs and maintenance. The Agency's invoice will include the Adaptive Equipment Addendum and the Vendor's invoice and lien waiver.
  - j) Pay Vendor(s) after receiving required documentation.

## GUIDELINES FOR ADMINISTRATIVE AGENCY (Continued)

- k) Survey the individual and/or family's satisfaction upon completion of the installation,
  - l) Maintain accurate inventory control procedures for adaptive equipment purchased, repaired, accessed through the Lending Library and environmental adaptations purchased and installed with PLB funds and will complete the annual PLB Inventory Tracking Report,
  - m) Store, sell or dispose of adaptive equipment that has been purchased with PLB funds that are no longer being utilized by individuals/ families,
  - n) Follow up with the individual and/or families, at least annually, to ensure the equipment or environmental adaptation is still in use and in good repair and maintain the required documentation.
6. Within available funds, Agency may approve equipment, environmental adaptation(s) and/or maintenance and repairs for items less than \$500. PLB staff approval is required for equipment, environmental adaptation(s) and/or maintenance and repairs over \$500 and up to \$7,500.
7. For equipment, environmental adaptation(s) and/or maintenance and repairs over \$500, in the event the Agency does not select the lowest bid, a written rationale must be submitted with the request to the PLB Director, Agency and Community Relations for approval.

## **ADAPTIVE EQUIPMENT**

(Revised November 2016)

### ADAPTIVE EQUIPMENT VENDOR ELIGIBILITY

The following policies describe who is eligible to bid for and receive funding from the PLB for adaptive equipment installation, environmental adaptation(s) and/or maintenance and repairs.

#### General Requirements

1. The Vendor must provide evidence of a current Home and Community Based Medicaid Waiver contract with the Department of Mental Health for the provision of home modifications.
2. The Vendor Agreement will be issued annually.
3. The Vendor must have a policy acknowledging that the Vendor's services shall be available to persons without regard to race, color, religion, national origin, sex, disability, age, military or veteran's status, sexual orientation, gender identity or any other factor prohibited by law.
4. The Vendor must have a policy for background checks to be conducted at the time of hire and annually thereafter for all employees providing installation, repairs and maintenance services funded by the PLB and maintain documentation of background checks.

- a) Vendor will use the Family Care Safety Registry (FCSR) to complete background checks. If the FCSR indicates findings, the agency must request the additional information regarding these findings from the FCSR.
- b) Vendor will use the Disqualifying Crimes Pursuant to the Missouri Revised Statute 630.170 when determining eligibility for employment or utilization of volunteers. The statute requires that agencies will not employ individuals reported as having engaged in disqualifying conduct.

To review Missouri Revised Statute 630.170, RSMo click the link below:

<http://www.moga.mo.gov/mostatutes/stathtml/63000001701.html>

To review the Disqualifying Crimes Pursuant to Section 630.170, RSMo click the link below:

<https://dmh.mo.gov/docs/diroffice/dors/disqualifyingcrimespursuanttosection630-170rsmo.pdf>

- c) Background checks must be conducted at the time of hire and annually thereafter. FCSR results will be available for PLB staff review.
5. The Vendor must have a policy that defines the Vendor's code of conduct for the ethical behavior of their employees.

## ADAPTIVE EQUIPMENT VENDOR ELIGIBILITY (Continued)

6. The Vendor must have a policy and written procedures to ensure the Confidentiality of Individual Records. This includes but is not limited to; collecting, securing and use of information in accordance with Missouri Data Breach Notification Law and acknowledge the agency's commitment to comply with the Health Insurance Portability and Accountability Act's (HIPAA's) treatment of Protected Health Information (PHI).

The purpose of the policy is to protect the confidentiality, integrity, and availability of restricted or confidential information, including personal information and protected health information (PHI), when such information is created, received, transmitted, and/or stored in any medium, including electronic or paper format, and will ensure that the handling of such information is consistent with federal and state laws and regulations.

7. The Vendor must have a Conflict of Interest policy. "Conflict of Interest" as this term is used herein shall be defined by Missouri law and the ordinances of St. Louis County, Missouri. If a conflict of interest is identified, a statement of full disclosure shall be on record with the Vendor and reported to the PLB. The policy shall apply to its Board of Directors, owners, employees, customers, and consultants and consider any conflicts between these individuals and the Vendor. The policy shall include any transaction in which the Vendor is a part.
8. Vendor must have a policy acknowledging commitment to a drug free workplace.
9. Vendor must have a policy addressing weapons in the workplace. The policy must address carrying, transporting and/or storage at work sites and in individuals' homes.
10. The Vendor must indemnify and hold harmless the PLB from all claims and maintain the minimum insurance coverages specified in the Vendor Agreement.
11. The PLB shall be named as an additional insured.
12. The Vendor must provide documentation that all services are provided in accordance with applicable state and local building codes, if applicable.

## **ADAPTIVE EQUIPMENT**

(Revised June 2016)

### GUIDELINES FOR VENDORS

The Vendor will:

1. Work in cooperation with the Agency to install, maintain, remove and/or repair appropriate equipment and/or environmental adaptations which meet the needs of the individual as identified by the St. Louis Regional Office (SLRO) on the Adaptive Equipment Referral Form.
2. Submit a not to exceed bid to the Agency for the recommended equipment/environmental adaptation that includes:
  - a) Scope of work,
  - b) Detailed description of the equipment/environmental adaptation recommended, including manufacturer's specifications and cost,
  - c) Installation time and cost,
  - d) Training cost,
  - e) Warranty coverage,
  - f) Timeline for installation, not to exceed 90 days and
  - g) Permits and inspections as needed.
3. The selected Vendor will order and install the equipment/environmental adaptation within the specifications of their bid.
4. The Vendor will provide the Agency with a detailed description of the equipment/environmental adaptation installed, verify the equipment/environmental adaptation was installed to specifications.
5. The Vendor will supply a lien waiver to the Agency upon completion of installation.
6. All services shall be provided in accordance with applicable state and local building codes.
7. Vendor shall submit an itemized invoice to the Agency that includes:
  - a) Vendor's name, address, phone number and signature,
  - b) Individual's name, address phone number and signature,
  - c) Detail of the equipment/environmental adaptation and/or services provided, (which includes the invoice from the vendor where the equipment was purchased)
  - d) Dates of service,
  - e) Hourly rate,
  - f) Number of hours of service and
  - g) Total amount due.

## **EMPLOYMENT SERVICE GUIDELINES AND POLICIES**

### **PRE-EMPLOYMENT SERVICES**

(Revised November 2017)

#### **SERVICE DEFINITION**

Pre-employment services support an individual to develop skills needed to obtain and maintain employment in the community. Services and supports promote the acquisition of employment skills, formation of relationships and use of transportation systems to progress towards independent living.

#### **GUIDELINES AND POLICIES**

Pre-employment services provide targeted, goal oriented training to individuals who have identified employment as a goal, need ongoing support services and have an identified need to develop or improve work skills that will lead to successful employment.

#### **BASIC PRINCIPLES OF PRE-EMPLOYMENT**

Supports may include paid support; natural supports such as family, friends, and community connections; and adaptations that may increase the individual's independence.

Services are not to be used as full time, ongoing support.

Individuals are supported to acquire and maintain skills that lead to employment. The goal is to fade supports as new skills and natural supports are acquired and maintained.

Project priority shall be individuals who do not receive Medicaid Waiver funding.

#### **AGENCY GUIDELINES**

In addition to the general requirements specified in the PLB Funding Manual, agencies must provide the following:

1. A system to support the individual to develop and/or improve employment and relationship skills that lead to successful employment;
2. Support as an advisor, facilitator, and advocate focused on developing skills for employment and independence;
3. Supports to ensure that individuals have access to available resources and options that lead to employment.

## **PRE-EMPLOYMENT SERVICES**

### **PRE-EMPLOYMENT TRAINING (Revised November 2017)**

#### **SERVICE DEFINITION**

Pre-employment services support an individual to develop skills needed to obtain and maintain employment in the community. Services and supports promote the acquisition of employment skills, formation of relationships and use of transportation systems to progress towards independent living.

#### **GUIDELINES AND POLICIES**

Pre-employment training provides targeted, time limited and goal oriented training to individuals who have identified a goal of competitive employment\*, need ongoing support services and have an identified need to develop or improve work skills that will lead to successful employment.

Employment outcomes that lead to competitive employment\* must be identified for each individual prior to their participation in the project.

#### **BASIC PRINCIPLES OF PRE-EMPLOYMENT TRAINING**

1. An Individual Support Plan (ISP) with targeted and time limited training goals will be developed for each individual based on the individual's identified employment needs (as defined in each project's funding application).
2. Training sites must be developed in the community and be relevant to the individual's career choices as identified;
3. Progress notes will document progress toward accomplishing the identified training goals;
4. Training shall be scheduled and coordinated in close collaboration with Division of Vocational Rehabilitation (DVR) and the process of job development. If the DVR meeting has not been completed, the agency will initiate the DVR meeting once significant progress toward identified training goals is achieved;
5. Supported Employment job development may coincide with this training;
6. Agency will complete the Pre-employment Data Sheet and submit to PLB by July 15 of each Fiscal Year.

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\*Competitive employment is work performed by a person with a disability in an integrated setting at minimum wage or higher and at a rate comparable to non-disabled workers performing the same task as defined by Vocational Rehabilitation.

## PRE-EMPLOYMENT TRAINING (Continued)

### INDIVIDUAL ELIGIBILITY

In addition to the eligibility requirements specified in the PLB Funding Manual, the following eligibility criteria apply for PLB pre-employment training funding:

1. Individuals must be in the process of registering for the St. Louis Regional Office and/or maintain active status, if eligible; and
2. An individual shall be eligible for only one Pre-employment Training service at a time.
3. Individuals must be at least 16 years old; and
4. Project priority shall be individuals who do not receive Medicaid Waiver funding.

### AGENCY GUIDELINES

In addition to the general requirements specified in the PLB Funding Manual, agencies must provide the following:

1. Focused training to develop and/or improve employment and relationship skills in the workplace that will lead to successful employment.
2. The agency must be an approved supported employment service provider for the Division of Vocational Rehabilitation (DVR).

## **EMPLOYMENT SERVICES**

(Revised November 2014)

### **SERVICE DEFINITION**

Employment services supports an individual to develop skills needed to maintain and enhance their employment in the community. Supports promote the acquisition of employment skills, formation of relationships and use of transportation systems to progress towards independent living.

### **SUPPORTED EMPLOYMENT**

#### **GUIDELINES AND POLICIES**

Supported employment provides targeted, goal oriented support to individuals who are employed, receive on-going support to maintain work skills and/or have an identified need to develop or enhance existing work skills. Supported employment services must be designed to meet the unique needs of each individual.

#### **BASIC PRINCIPLES OF SUPPORTED EMPLOYMENT**

Supported employment is \*competitive employment in an integrated setting with ongoing supports for individuals with the most significant disabilities.

1. Supports are driven by an individual's choice and should focus on the individual's strengths, resources, priorities, concerns, abilities, interests and informed choice.
2. Individuals receive on-going support in order to maintain and enhance their employment.
3. Individuals are supported to acquire and maintain skills that lead to employment. The goal is to fade supports as new skills and natural supports are acquired and maintained.

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\*Competitive employment is work performed by a person with a disability in an integrated setting at minimum wage or higher and at a rate comparable to non-disabled workers performing the same task as defined by Vocational Rehabilitation.

## **SUPPORTED EMPLOYMENT (Continued)**

(Revised November 2017)

### INDIVIDUAL ELIGIBILITY

In addition to the individual eligibility requirements specified in the PLB Funding Manual, the following eligibility criteria apply for PLB supported employment funding:

1. The individual's funding for supported employment through Division of Vocational Rehabilitation (DVR), has ended; and
2. The individual requires job coaching less than 25% of the hours worked; or
3. Students who have a part-time job and need minimal job retention services; or
4. The individual is currently employed and has requested on the job support from a PLB funded agency.

Prior to starting services the agency must:

- a. Refer the individual to DVR for services; and
  - b. Utilize all DVR funding, when available, prior to accessing PLB funds; or
  - c. If DVR funding is not available, submit, in writing
    - i. the need for services; with
    - ii. verification the supported employee requires job coaching 25% of the hours worked or less; and
  - d. Receive PLB approval.
5. Individuals must be in the process of registering for the St. Louis Regional Office and/or maintain active status, if eligible; and
  6. Project priority shall be individuals who do not receive Medicaid Waiver funding.

### AGENCY GUIDELINES

In addition to the general requirements specified in the PLB Funding Manual, agencies must provide the following:

1. A system of supports for as long as it is needed to enable the individual to safely and successfully maintain and/or advance in his/her career;
2. Assistance in learning job skills and duties, developing and maintaining relationships with co-workers and supervisors, obtaining needed accommodations and career development including advancement and/or job changes;
3. The agency must be an approved supported employment service provider for the Missouri Division of Vocational Rehabilitation (DVR);

## **SUPPORTED EMPLOYMENT (Continued)**

(Revised November 2017)

### GUIDELINES FOR FUNDING RETENTION SERVICES

1. The agency must maintain a copy of the Division of Vocational Rehabilitation (DVR) final report for PLB review. The report must include:
  - a) The date DVR funding terminated and
  - b) The level/type of support to be provided for job retention.
2. PLB funds appropriated for supported employment may be utilized to provide job retention for current students who have a job and are sixteen to twenty-one years of age. Job retention may be provided based on the individual's needs, as identified in their Individual Support Plan (ISP). The ISP must document the plan to fade supports to 25% with timelines identified.
3. When an individual's utilization exceeds 41 hours in any month, the support agency must submit the [Retention Supports - Notice of Hours Exceeding 41 Hours per Month](#) to the PLB Agency and Community Relations Staff prior to submitting the monthly invoice.
4. Individuals receiving job retention may on occasion choose to be supported by another Supported Employment provider. In this event, PLB may transfer funds from the current Supported Employment provider to the new Supported Employment provider of choice, as long as this agency meets the following requirements:
  - a) Has a PLB contract for job retention;
  - b) Agrees to accept responsibility for the individual;
  - c) Documents that all of the involved parties (individual, agencies and family, if applicable) are aware of this decision, informed of its consequences, and concur and
  - d) Develops and submits a written transfer plan to the Productive Living Board prior to the transition taking place. This plan will include a timeline, amount of support needed during the transition period, the person responsible for the support, and signatures from the individual, previous Supported Employment provider and new Supported Employment provider.
5. There is no time limitation for the provision of job retention supports. The success of retention supports is often dependent upon the availability of on-going support. There are times, however, when a supported employee may request that job retention supports terminate. If/when this occurs, the supported employment provider should make certain that the individual knows who to contact in the event that support is needed in the future.
6. In the event an agency is able to reduce paid supports to existing individuals and serve new individuals, it is the agency's responsibility to plan for and budget accordingly to cover the costs to continue providing supports to the new individuals on an annual basis within the agency's current PLB appropriation.

## **SUPPORTED EMPLOYMENT (Continued)**

(Revised November 2017)

### **GUIDELINES FOR REQUESTING FUNDS ASSIGNED FOR ADDITIONAL SUPPORTED EMPLOYMENT SERVICES**

1. Based upon available funds after the close of the fiscal year, the PLB may annually assign funds that supported employment agencies may access.
2. The agency must document the need for additional units to support a new individual(s) or existing individuals with increased job duties, change in hours or positions, etc.
3. The agency must apply for additional units using the PLB "Request for Assigned Funds" form. ([Supported Employment – Request for Assigned Funds](#))
4. The agency must project the additional units to be requested for the remainder of the fiscal year per person and submit a request for ongoing funding for the next fiscal year.
5. PLB staff will review the request, verify the need for additional units based on year-to-date utilization and funds available.
6. PLB staff will submit their recommendation for additional funds to the PLB Employment Services Committee and notify the agency of the Board's final decision.
7. If additional units are approved, PLB staff will transfer the approved units from the Supported Employment Assigned Fund to the agency's supported employment project.

## **SHELTERED EMPLOYMENT SERVICE GUIDELINES AND POLICIES**

### **EMPLOYMENT SERVICES**

(Revised November 2017)

#### **SERVICE DEFINITION**

Sheltered Employment services support an individual to develop skills needed to maintain and enhance their employment.. Supports promote the acquisition of employment skills, formation of relationships and use of transportation systems to progress towards independent living.

### **SHELTERED WORKSHOP TRAINING**

#### **GUIDELINES AND POLICIES**

Sheltered Employment outcomes must be identified for each individual participating in the training program. These outcomes and goals will lead to obtaining and/or maintaining employment in the workshop and/or to transition to competitive employment.

#### **BASIC PRINCIPLES OF SHELTERED WORKSHOP TRAINING**

- 1) Sheltered workshop training may be used to address the following:
  - a) New individual training/orientation;
  - b) Increase skills for employment in the workshop and/or to transition to competitive employment.
  - c) A decline in skill level;
  - d) Improve individual performance (i.e. being on time, focus, etc.) and/or;
  - e) Environmental Safety
  - f) Behavior Support
    - i. If support needs include behavior supports, workshop must contact the St. Louis Regional Office Support Coordinator to obtain the individual's intervention or behavior support plan.
    - ii. Workshop must implement the intervention or behavior support plan and document services provided.
    - iii. All documentation will be maintained for PLB staff review.
- 2) Sheltered workshop training in this context is not to be used as full time, ongoing training, employee production supervision or personal care. The goal is to fade supports as new skills are acquired and maintained.
- 3) In addition to the eligibility requirements specified in the PLB Funding Manual, the individual must be certified by Department of Elementary and Secondary Education (DESE Certification Specialist) as eligible for workshop employment.

## **SHELTERED WORKSHOP TRAINING**

(Revised November 2017)

### GUIDELINES FOR FUNDING – SERVICE CRITERIA

In addition to the general requirements specified in the PLB Funding Manual, sheltered workshop training must include the following:

1. Each program must have clearly defined entrance and exit criteria.

#### ENTRANCE CRITERIA

In order to participate in the sheltered workshop training program and receive reimbursement from the PLB, the following criteria must be met:

- a) The individual must meet the employment criteria established by the sheltered workshop.
- b) The individual/guardian agrees to the employee's participation in the training program.
- c) The individual/guardian understands that the training goals must be attained to maintain general employment in the workshop.
- d) At any point in time that the individual meets the entrance criteria stated above, they may re-enter the program.

#### EXIT CRITERIA

If one or more of the following criteria are met, the individual will exit the sheltered workshop training program. Progress Notes will document the reason for the individual exiting the training program.

- a) The individual has achieved all of the training program goals and objectives stated in the Individual Support Plan.
- b) The individual has participated in the training program for one year and has made no documented progress towards attainment of the goals and objectives stated in the Individual Support Plan.
- c) The individual has been referred to a more appropriate program which better meets their needs.
- d) The data supporting the entrance criteria was incorrect (i.e. employee is ineligible due to disability or residency).
- e) The individual moves to a location outside of St. Louis County.
- f) The individual/guardian refuses the employee's participation in the training program as outlined in the Individual Support Plan.
- g) The individual has been terminated from employment by the workshop.
- h) The individual obtains employment outside of the workshop.

## **PERSONAL CARE ASSISTANCE IN A SHELTERED WORKSHOP**

(Revised November 2016)

### **SERVICE DEFINITION**

Sheltered Employment services support an individual to develop skills needed to maintain and enhance their employment in a Sheltered Workshop. Supports promote the acquisition of employment skills, formation of relationships and use of transportation systems to progress toward independent living.

### **GUIDELINES AND POLICIES**

Personal care assistance (PCA) provides the personal care supports individuals need to obtain and maintain employment in a sheltered workshop. A personal care attendant is expected to support up to six individuals who require significant supports as defined below or more than six individuals who require minimal supports. Individuals' PCA support needs must be documented in their Individual Support Plan.

### **BASIC PRINCIPLES OF PERSONAL CARE ASSISTANCE**

Sheltered Workshop Personal Care Assistance as funded by the PLB provides:

1. Assistance with dietary needs (i.e. assisting with meals and cleanup);
2. Assistance in the restroom (i.e. with continence, personal hygiene, etc.);
3. Assistance with mobility (i.e. transfers and environmental access) and/or;
4. Assistance with medication.

## **EMPLOYMENT SERVICE GUIDELINES AND POLICIES**

### **TRANSPORTATION TO SHELTERED WORKSHOPS**

(Revised November 2017)

#### **SERVICE DEFINITION**

Sheltered Workshop transportation provides access to safe, reliable transportation to work.

#### **GUIDELINES AND POLICIES**

The Productive Living Board (PLB) allocates and administers funds (both SB 40 and SB 3) for the purpose of transporting eligible St. Louis County individuals to sheltered employment sites. Currently, the PLB contracts with OATS, Inc. for this Para transit service.

#### **BASIC PRINCIPALS OF SHELTERED WORKSHOP TRANSPORTATION**

1. Individuals employed in a sheltered workshop are expected to meet their transportation needs independently, via family and other generic means or by use of public transportation services at their own expense. Individuals who require transportation services to obtain or maintain sheltered employment may receive transportation funded by PLB under the following conditions:
  - a) The family is not able to meet the transportation need;
  - b) Other resources are unavailable;
  - c) Independent use of public transportation poses risk to the safety of the individual;  
and
  - d) Individual/family has made a reasonable and good faith effort to access alternative transportation systems and services.
2. Individuals active with the St. Louis Regional Office will complete the Transportation Screening Tool with their Service Coordinator to assess and determine the individual's eligibility for transportation services.
  - a) St. Louis Regional Office, Service Provider and PLB staff meet quarterly to review the Transportation Screening Tool Packets or
3. Individuals who are not active with the St. Louis Regional Office will complete the PLB Transportation Screening Tool to assess and determine the individual's eligibility for transportation services.
  - a) Sheltered Workshop and PLB staff will meet quarterly to complete PLB Transportation Screening Tool for individuals who have identified a need for transportation services.
  - b) Service Provider and PLB staff meet quarterly to review the Transportation Screening Tool Packets.

## **TRANSPORTATION TO SHELTERED WORKSHOPS (Continued)**

(Revised November 2017)

4. Transportation services are subject to available funds and capacity of Service Provider.
5. Individuals in the DMH, Division of Developmental Disabilities Medicaid Waiver program are not eligible for transportation services funded by the PLB. Transportation services for these individuals are the funding responsibility of DMH/St. Louis Regional Office.

## CAPITAL POLICIES

### POLICIES RELATED TO CAPITAL ITEMS

#### GENERAL CAPITAL GUIDELINES

(Revised March 2017)

The following guidelines apply to all capital requests. The PLB considers an item to be a capital request if the item meets generally accepted accounting principles (GAAP) definition of a capital expenditure, has a unit cost of \$1,000 or more and has a useful life of more than one year.

1. Agencies shall obtain and submit three (3) bids with the invoice when requesting payment for purchase of non-consumable capital items including equipment, property acquisition, construction, renovations, vehicles, and other capital requests when the unit cost is \$1,000 or more. Agencies shall utilize the following bid protocol when obtaining bids on capital items with a unit cost of \$1,000 or more and a useful life of more than one year:
  - a) Bid specifications shall be written in sufficient detail to assure consistent response to the agency's request for bids.
  - b) Agency bid requests shall be submitted to similar vendors.
  - c) Agencies shall submit a copy of the bid specifications and a minimum of three (3) signed bids specifying agency bid preferences to the PLB. The vendor shall provide a signed affidavit certifying their independence in relation to the agency's board, agency's employees, and agency's individuals.
  - d) In the event that agencies do not select the lowest bid, a written rationale must be provided for approval, **prior to work being performed, or items purchased.**
  - e) In the event that there are limited (fewer than three) or sole source vendors responding to bid requests, agencies must request a waiver of policy from the PLB **prior to purchasing the item(s).**
2. Agencies shall execute a First Deed of Trust, Loan Agreement and Promissory Note and give and grant to the PLB a security interest in and to all real estate acquired, equal to the amount of PLB funds provided to or received by the Agency for construction for facility expansion or major renovation. A second priority position shall be considered upon request if agency demonstrates financial need. For PLB funding, construction for facility expansion or major renovation is defined as projects that; a) extend the square footage of the building; and/or b) substantially change the use or purpose of the original space; and c) exceed \$500,000.
3. Loans and Promissory Notes related to construction for facility expansion or major renovation shall be partially forgiven based on the following guidelines and conditions.
  - a. Agency must remain in compliance with PLB Funding Manual and Service Agreements.
  - b. The standard loan provision will be for a 30 year term and will be reduced by 50% over a 15 year period. These terms are defined in the detailed loan agreement.

## GENERAL CAPITAL GUIDELINES (Continued)

(Revised March 2017)

- c. In the event the term of the loan is greater or less than the standard 30 years, 50% of the loan balance will be forgiven and the principle reduced over the first half of the term of the loan. The annual principle payment will be forgiven and reduce the overall principle on the loan each year.

This policy will be implemented with all new loans related to construction for facility expansion or major renovation after March 13, 2017 and will not impact loans prior to that date.

4. In the case of residential property, the Agency shall execute a Deed of Trust, Loan Agreement and Promissory Note and give and grant to the PLB a security interest in and to all real estate acquired, equal to the amount of PLB funds provided to or received by the Agency where the Agency's contribution and their commercial loan are equal to or exceed 70% of the acquisition cost. The Deed of Trust shall be in a second position to a commercial mortgage if it is part of the property acquisition funding. If there is no commercial mortgage, PLB shall have a first priority position on the Deed of Trust.
5. Agencies shall maintain accurate inventory control procedures of capital items purchased with PLB funds. Agencies are required to clearly identify items by specific PLB project and component numbers.
  - a) Agencies shall complete the PLB Agency Inventory Tracking Report on an annual basis for as long as the capital items are owned by the agency. All non-consumable capital items purchased with PLB funds must be listed on this report. In the year of disposition, the date, method of disposition and proceeds (if any) shall be reported on the PLB Agency Inventory Tracking Report.
  - b) Agencies shall conduct an annual physical inventory of PLB funded property and the results reconciled with their Inventory Control Record. Any discrepancies must be reported to the PLB office immediately.
  - c) Agencies shall maintain a control system to ensure adequate safeguards to prevent loss, damage or theft of property. Any loss, damage or theft of non-consumable property purchased with PLB funds shall be investigated by agencies with written documentation of the investigation findings submitted to the PLB office. A statement describing how agencies will replace the item(s) must be included.
  - d) Sheltered workshops shall provide a statement of business justification and anticipated outcomes from the acquisition of production equipment with the application for funds. The outcomes should address the sheltered workshop's ability to retain contracts, acquire new contracts, hire additional employees and projected annual return on investment (increase in sales divided by the cost of the equipment). Capital equipment purchased with PLB funds will be reviewed during on-site visits for utilization and consistency with the business justification and anticipated outcomes presented with the application for funds.
6. All capital items purchased with PLB funds shall be depreciated in accordance with generally accepted accounting principles (GAAP). PLB recommends that agencies establish and fund a depreciation reserve, if possible, to provide for the future replacement of capital items.

## **GENERAL CAPITAL GUIDELINES (Continued)**

(Revised March 2017)

7. Agencies will have and maintain adequate comprehensive property insurance for all capital items purchased, constructed or renovated in part or in full with PLB funds to assure replacement of the agency's capital assets in the event of a loss due to an insurable event. Documentation of insurance shall be submitted to the PLB on an annual basis.
8. If capital items purchased, constructed or renovated with PLB funds are found not to be used during a consecutive six-month period of time for as long as the capital items are owned by the agency, said capital items will be made available to the PLB for reassignment to another agency, or for sale, with proceeds returning to the PLB.
9. PLB approval is required prior to selling, trading or reassigning any capital items purchased, constructed or renovated with PLB funds. The date and method of disposition shall be reported on the annual PLB Agency Inventory Tracking Report.
10. If capital items purchased with PLB funds are no longer being utilized by PLB eligible individuals, the agency shall be required to repay to PLB the pro-rated, net-book value of said capital items, or make the capital items available to the PLB for reassignment to another agency. (The repayment amount will be the PLB portion of the cost of the capital items less the depreciation charged against such assets by the agency on its books during the period of ownership.) Any sum due the Board under this provision shall be paid in full within ninety (90) days from the date of disposition.

## RESIDENTIAL CAPITAL POLICY FOR DOWN PAYMENT ASSISTANCE

(Revised November 2016)

The PLB will accept applications for one-time funding for down payment assistance for community-based affordable housing for St. Louis County residents with developmental disabilities. Funding will be in the form of down payment assistance for each St. Louis County resident identified to occupy the residence. This down payment assistance shall be used to reduce the rent charged to the residents to a level that they can afford to reside in the home, based upon their earned and unearned benefits and income.

The following policies and conditions of funding apply to requests for down payment assistance:

1. Down payment assistance shall be provided with consideration of the number of individuals in the residence and the total purchase price/construction costs, and in no event exceed 30% of the purchase price/construction costs of the property.
  - a) The PLB reserves the right to determine the amount of down payment assistance based on the budget for the property and the occupants' ability to pay the rent charged from their earned and unearned incomes.
  - b) PLB approval is required **prior to selling, trading or re-assigning** any property purchased with PLB funds.
  - c) In accordance with the executed Deeds of Trust, Loan Agreements and Promissory Notes, if the Agency either sells, trades, or ceases to use the property(ies) for the purpose represented in this project, all PLB funds disbursed to the Agency for this project, less any amounts previously repaid, shall be repaid to the PLB.
2. Housing shall be acquired subsequent to the identification of the residents so that their specific needs and choices such as location, proximity to their jobs and community services, transportation and accessibility are addressed. In addition, in order to preserve the dignity of individuals and their right to privacy, housing should be shared by no more than what is typical for the non-disabled population (i.e., three or four people), and every adult should have a separate bedroom unless he or she requests to share a bedroom with another adult in the same household.
3. Housing shall not be owned or controlled by the lead Agency providing services, to ensure that residents will not be forced to move if/when they choose to change support providers.
4. In the event one of the initial residents leaves the home subsequent to disbursement of PLB funds, the Agency shall notify the PLB within 30 days, and if within a period of six months, another PLB eligible St. Louis County resident has not been identified to move into the property, repayment may be required by the PLB.
5. Down payment assistance requests are limited to the availability of funds.  
(Application - [Residential Capital Down Payment Assistance](#))

## **RESIDENTIAL POLICY FOR HOUSING RENOVATIONS AND REPAIRS**

(Revised November 2009)

The PLB will consider funding applications for renovations/repairs to residential housing located in St. Louis County and occupied by St. Louis County residents with developmental disabilities. The following criteria shall be applied to these applications:

1. Consideration will be given to funding proposals for residential renovations/repairs that address at least one of the following:
  - a) Improvement in sub-standard housing that will significantly improve the health and safety of St. Louis County residents with developmental disabilities;
  - b) Need for more accessible housing due to age and/or health status of the individuals;
  - c) Other significant life circumstances as determined by the PLB.
2. Requests for housing renovations/repairs will be considered with the following general priority and subject also to the priorities in paragraph 1:
  - a) Priority will be given to requests from applicants where the PLB has provided a loan/down payment assistance to purchase the property (housing).
  - b) Priority will also be given to housing where residential supports are provided through the PLB's Independent Supported Living Assistance (ISLA) Program.
  - c) Consideration will also be given to requests from applicants where the PLB has had no financial investment in the property (housing) and/or the residential supports provided to the individuals served.
3. Housing renovations/repairs requests are limited to the availability of funds.  
(Application - [Residential Capital Renovations and Repairs](#))

## FUNDING POLICIES

### **EMPLOYMENT SERVICE GUIDELINES AND POLICIES**

#### **SHELTERED WORKSHOP CAPITAL IMPROVEMENT AND EQUIPMENT**

##### **GUIDELINES AND POLICIES**

(Revised November 2016)

The Sheltered Workshop Capital Improvement and Equipment funds may be available for the following capital needs:

- Capital expansion
- Capital Improvements
- Equipment that has an essential business function

The Sheltered Workshop Capital Improvement and Equipment pool will be allocated based on the square footage of each sheltered workshop to the total square footage of all St. Louis County sheltered workshops. The purpose of these funds is to maintain the health and safety of the workshop facilities and provide equipment to support the employment of St. Louis County residents with developmental disabilities.

Each sheltered workshop's Capital Improvement and Equipment Fund balance will be capped annually at two (2) times their FY'12 allocation (after transfer of 35% to operations). Annual balances will be determined as of June 30 each year. Any capital improvement and equipment expenditures approved prior to June 30, but paid after June 30 will be deducted from the June 30 balance before determining the annual appropriation from each workshop's annual allocation, not to exceed their established cap.

Funds approved and not expended by the end of the fiscal year that exceed the two (2) year cap will be canceled.

A request to carryover funds not expended by the end of the fiscal year that exceeds the two (2) year cap may be submitted for consideration if identified capital needs exceed the agency's June 30 capital appropriation balance. The request must identify the business justification for the specific capital improvements and/or equipment, the cost of the items requested and a timeline for expenditure, not to exceed one year. Funds not expended within the specifications of the original request will be canceled.

These funds will be administered with the following conditions:

1. Requests will be considered for one-time costs for capital improvements to sheltered workshop facilities and capital items that have an essential business function.

## SHELTERED WORKSHOP CAPITAL IMPROVEMENT AND EQUIPMENT

### GUIDELINES AND POLICIES (Continued)

(Revised November 2016)

2. Costs will be reimbursed upon submission of a PLB Invoice of Expenditures and the following required documentation:
  - a) Three bids for the purchase of non-consumable capital items including equipment, construction, renovations and other capital requests when the unit cost is \$1,000 or more. The bid protocol for Capital Items will apply. ([Policies Related to Capital Items, General Guidelines](#))
  - b) Statement of business justification for production equipment. ([Policies Related to Capital Items, General Guidelines](#))
  - c) Paid invoice(s) for the item(s) purchased.
  - d) Lien waivers will be provided for any building construction and renovations.
  - e) To accommodate cash flow difficulties, a request to pay the vendor directly may be submitted.
3. The monthly PLB Invoice of Expenditures provides the original amount of funds approved, year-to-date expenditures and remaining balance.

## **POLICIES RELATED TO CAPITAL ITEMS**

### **CONSTRUCTION AND RENOVATION GUIDELINES**

(Revised November 2015)

For Sheltered Workshop construction and renovation requests; ([Sheltered Workshops Checklist and Procedures for Construction/Renovation Projects](#)), ([Sheltered Workshops Funding Request Procedure Guidebook](#)), and ([Sheltered Workshops Sample Construction Bid Document](#)).

1. The PLB and/or its agents reserve the right to:
  - a) Review and approve all contractual agreements related to the projects;
  - b) Review and approve all original and revised project plans, including but not limited to design, cost, appraisal, regulatory requirements, zoning issues, and proposed services;
  - c) Monitor the progress of the renovation and, at the PLB's discretion, certify satisfactory percentage of completion prior to funds disbursement.
2. The verification of the sheltered workshop's waiting list must be completed and submitted with the sheltered workshop's request for expansion. ([Procedure for Verification of Sheltered Workshop Waiting List](#))
3. All construction and renovation projects shall comply with the requirements of Chapter 290 RSMo. as they apply to public works (construction and renovation projects paid for wholly or in part out of public funds).
4. In accordance with the executed Deeds of Trust, Loan Agreements and Promissory Notes, if the Agency either sells or trades the facility that was purchased, constructed and/or renovated with PLB funds, or ceases to provide the same services at such facility, all PLB funds disbursed to the Agency for this project, less any amounts previously repaid, shall be repaid to the PLB.
5. In accordance with the Restrictive Covenants, if the Agency either sells or trades the facility that was purchased, constructed and/or renovated with PLB funds, or ceases to provide the same services at such facility, then all or part of PLB funds disbursed to the Agency for this project shall be repaid to the PLB. The amount of funds to be repaid to the PLB will be calculated as follows: Total amount of funds disbursed, less one tenth per year for each year the property is used for the purpose represented in the project. The PLB reserves the right to require an Agency to repay the total amount of funds granted for renovations if the Agency sells their facility or ceases to provide the same service.
6. If the facility is sold and the PLB has provided prior approval of the Agency's plans to reinvest the sale proceeds in another facility to be used for the same purpose, the Agency shall be liable to refund only the excess sale proceeds not reinvested in the new facility. This refund shall be limited to the amount of the grant provided to the Agency.
7. If the Agency ceases to provide the same services at such facility, but continues to use the facility in a manner that would otherwise meet the statutory and policy requirements of the PLB, no refund of the grant provided shall be required as long as the Agency receives **prior approval from the PLB**. Any change in the services rendered at the facility may be made only after application to and written approval from the PLB.

## **POLICIES RELATED TO CAPITAL ITEMS**

### **VEHICLE ACQUISITION**

(Revised November 2017)

The PLB will consider granting funds to an agency for no more than 20% of the cost to purchase vehicles that are used primarily for transporting St. Louis County residents with developmental disabilities to St. Louis County sheltered workshops. The PLB will consider exceptions to the 20% maximum for agencies not eligible for Section 5309 or 5310 funding from the Federal Transit Administration. If PLB funds are requested to replace existing agency vehicles, the PLB may require the agency to reduce the costs to the PLB by the “book” or trade-in value of the vehicle to be replaced.

1. The PLB will consider applications for funds to purchase the equivalent of no more than one-third (1/3) of the agency’s vehicle fleet during a one-year period.
2. If funds appropriated remain at the end of the fiscal year, they will carry over to future fiscal years until utilized.
3. All accessible vehicles purchased with PLB funds must comply with the standards of the Federal Transit Authority, pursuant to Title II of the Americans with Disabilities Act.
4. Applications for funds will be considered for replacement of agency vehicles only when the odometer reading is at least 150,000 miles and the vehicle is five (5) years old, or it can be demonstrated that the vehicle is inoperable due to accident or total mechanical failure not caused by negligent maintenance.
5. It is the intent of this policy to encourage the use of other sources of funding available for vehicle acquisition/replacement (e.g., Section 5309 and 5310 programs).
6. Agencies are required to provide the PLB with vehicle serial numbers and other appropriate identifying information on vehicles purchased with PLB funds, for purposes of monitoring the application of this policy. For vehicles purchased entirely with PLB funds, the vehicle must be titled with the PLB listed as the first lien holder and PLB will physically hold the title during the duration of time the agency owns the vehicle. For vehicles purchased with Section 5309 or 5310 funding from the Federal Transit Authority, the vehicle must be titled with PLB listed as the second lien holder. The Missouri Department of Transportation will physically hold the title. A copy of the lien must be submitted to the PLB.

#### [\(Vehicle Addendum\)](#)

7. Agencies are required to submit an annual PLB Agency Inventory Tracking Report as long as the vehicle is in service, including service as a backup vehicle.

## **VEHICLE ACQUISITION (Continued)**

(Revised November 2017)

8. Unless a vehicle purchased with PLB funds is sold outright or traded in at the time of replacement, the vehicle must be maintained in use for St. Louis County residents with developmental disabilities. In cases where vehicles have been partially purchased with federal or Missouri Highway and Transportation Department funds, their property management standards shall prevail, with remittance of the sale price to the PLB equal to the PLB's percentage match.

Agencies must submit a request in writing for the PLB's permission to dispose of a vehicle purchased with PLB funds. Vehicles may be sold outright to a third party, transferred to another not-for-profit agency for similar use, or sold by the agency to itself for replacement into another service. The PLB reserves the authority to determine a reasonable sale price and shall use the wholesale value of the vehicle as specified in The Official Bus Blue Book by Bus Solutions, in consideration with straight-line depreciation methods. If a vehicle is sold outright to the agency itself, the agency shall remit the sale proceeds (less \$100 for agency expense) to the PLB within ten (10) days of the sale.

## APPLICATION FOR FUNDING

### **APPLICATION PROCEDURES**

#### **ANNUAL FUNDING CYCLE PROCESS**

(Revised November 2014)

The following is an overview of the PLB annual funding cycle process:

1. The PLB will announce funding cycle dates and timelines for the:
  - a. Corporate Information meeting;
  - b. Funding application trainings; and
  - c. Application and Corporate Information due dates.
2. The agency's Board must authorize the application for PLB funding and identify the Agency representative who is authorized to sign the PLB Service Agreement.
3. The agency shall annually provide the PLB with the following Information:
  - a) Corporate Resolution
  - b) Corporate Documents
    - i. Certificate of Good Standing
    - ii. Any revisions to bylaws, articles of incorporation and IRS determination letter.
  - c) Insurance Information
  - d) User Access Report
  - e) Agency Contacts
  - f) Emergency Contacts
  - g) Agency Board Membership
4. Project Directors are required to meet with PLB staff to discuss any proposed changes to the project prior to completing the funding application.
5. Project Directors are required to attend funding application trainings annually.
6. The Agency may request technical assistance to complete the funding application.
7. The final funding application is submitted online to the PLB.

## **ANNUAL FUNDING CYCLE PROCESS (Continued)**

(Revised November 2014)

8. Funding applications are reviewed and evaluated by Productive Living Board staff. The PLB considers the following criteria in its evaluation of applications:
  - a) Accuracy and relevance of information;
  - b) Agency's demonstrated ability to achieve stated outcomes;
  - c) Evidence of agency's fiscal and programmatic competency;
  - d) Proposed project's relationship to the PLB's mission, values, service definitions and outcomes, and
  - e) Compliance with the PLB Service Agreement and PLB Funding Manual.
9. Application information and staff evaluations are forwarded to the appropriate PLB service committee for review with copies forwarded to agencies, if applicable.
10. Service committees review the application information and staff evaluations. Service committees will meet, in accordance with Missouri Sunshine Laws, for the purpose of reviewing applications. Project Directors and Agency Liaison will be notified in advance of such meetings and may be asked to provide a brief presentation on the content of their application.
11. Service committees will formulate a recommendation to the full Board for approval or denial of the application.
12. The Board takes action on the service committee recommendations. Action may involve approval or denial of the application, or referral back to the service committee for further review and clarification.
13. If the application is approved, a PLB Service Agreement is sent to the authorized Agency representative.

## FUNDING PROCEDURES

### **APPLICATION PROCEDURES**

#### **OFF CYCLE FUNDING PROCESS**

(Adopted July 2018)

The PLB will annually review the availability of funding for new or expanded services. If funding is available, PLB may choose to implement a Request for Proposal (RFP) process. The PLB will determine whether this opportunity will be open exclusively to current partner agencies or will include agencies not currently funded by PLB. The decision will be made based on the targeted topic areas that are identified and the capacity of current PLB partner agencies to meet the current needs.

1. A Letter of Intent will be required to determine if the agency will be invited to submit a full application for Board consideration.
2. Agencies not previously funded by PLB may be considered and will be required to submit additional documentation pertaining to agency governance and operations.
3. All agencies will be required to adhere to the PLB Funding Manual: A Guide to the PLB's Policies and Procedures and the Quality Enhancement/Service Excellence System.
4. To be considered for funding, applications/projects must:
  - a) Include documented need for the service
  - b) Have an evaluation process to demonstrate progress towards outcomes
  - c) Impact the priorities identified in the PLB's strategic plan
  - d) Describe how the service increases independent living or employment opportunities, skill development, or community involvement
  - e) Include the agency's efforts to secure additional funding sources

If it has been determined that an off cycle funding RFP will be issued, the full application and the criteria to be included in the Letter of Intent will be available on the PLB website.

## FUNDING PROCEDURES

### **APPLICATION PROCEDURES**

#### **REQUESTS FOR PROPOSALS**

The PLB may, at its discretion, issue Requests for Proposals (RFPs) for competitive bids. RFPs will generally contain instructions for proposal completion and submission, as well as for PLB evaluation and selection.

FUNDING PROCEDURES

**CONTRACTS**

**PLB SERVICE AGREEMENT**

([PLB Service Agreement](#))

**PLB SECURITY AGREEMENT**

([PLB Security Agreement](#))

## BILLING

### **INVOICING AND PAYMENT PROCEDURES**

(Revised January 2013)

1. A signed Service Agreement, Security Agreement and/or Loan Agreement must be on file in the PLB office and all conditions set forth for disbursement of funds must be met to the satisfaction of the PLB prior to authorization of expenditures.
2. In most circumstances, PLB funds will be utilized to reimburse agencies for expenditures for approved services
3. All requests for payment shall be submitted online through the appropriate PLB Invoice of Expenditures and PLB Purchase of Service Addendum programs. The invoices are generated by the PLB for each project and placed on the agencies' PLB website on a monthly basis. If an agency needs to bill for units from a prior month, the agency shall enter the prior month information on the Purchase of Service Addendum that includes the individual's social security number or Individual Taxpayer Identification Number (ITIN), number of units, and month of service. Units of service from multiple months for a individual should not be reported collectively on the same line. If there are no expenditures for a given month, the agency must submit a no expenditure invoice for that month, before the next month invoice will be available to be accessed.
4. An Invoice Summarization Sheet (attachment) must accompany each grant reimbursement request. Additional supporting detail for line items may be required as outlined on the Invoice Summarization Sheet.
5. Funds awarded to agencies, with the exception of POS projects, will be designated by line items. Agencies shall be limited to expenditures not to exceed the amounts specified for each line item. Line item adjustments, although not encouraged, may be made using the following process:
  - 1) The agency submits a Contract Revision Request Form giving a detailed explanation for the adjustment.
  - 2) The request will be considered based upon the following:
    - 1) There are reasonable and justifiable facts to warrant approval of the request;
    - 2) The request does not change the overall intent of the project and
    - 3) The adjustment requested does not change the total amount approved for the project.

A copy of the completed form will be returned to the agency indicating the status of the request.

## **INVOICING AND PAYMENT PROCEDURES (Continued)**

(Revised January 2013)

6. If direct services to individuals are rendered through contractual agreement with another vendor, agency shall upload electronically through the invoice program the vendor's signed original invoice, including a listing of individuals to whom the service was rendered, the date(s) service was rendered, the number of units of service, the unit cost (if applicable), and written verification from the agency that services were rendered as specified.
7. The following required documentation shall be submitted with the PLB Invoice of Expenditures for reimbursement of capital expenditures by uploading electronically through the invoice program: ([General Capital Guidelines](#)) ([Sheltered Workshop Capital Improvement and Equipment](#)) ([Equipment Addendum](#))
  - a) Copy of the bid specifications;
  - b) Three (3) bids for capital items with a unit cost of \$1,000 or more;
  - c) Paid invoices for the item(s) purchased;
  - d) Lien waivers for any building construction or renovations and
  - e) Sheltered workshops shall submit a statement of business justification and anticipated outcomes for equipment that has an essential business function.
8. All PLB reporting requirements (program, financial, quality, etc.) must be satisfied prior to the release of any PLB funds.
9. Invoices submitted to the PLB by the 5th of the month will be paid by the 15th of the same month. Invoices submitted to the PLB by the 20th of the month will be paid by the 30th of the same month. If a due date falls on a weekend or holiday, the due date is the Friday before. All required documentation must be uploaded electronically through the invoice program in order for it to be processed by the above timelines. If you receive notification from the PLB regarding a discrepancy with the Invoice of Expenditures and/or individual information, your invoice will be held until resolved.
10. Invoices for a given month must be submitted within 90 days of the end of the month in which the expenditures were incurred. Invoices submitted over 90 days after the month in which the expenditure was incurred will not be considered for payment. If an individual has been deducted from an invoice, all discrepancies must be resolved and re-billed within 90 days of the end of the month in which the expenditures were incurred. Agencies may appeal to waive this policy due to extenuating circumstances.
11. Fiscal year-end invoices are due approximately 15 days after June 30 of the fiscal year. A notice will be mailed each year to all agencies specifying the due date of the year-end invoices.

**PRODUCTIVE LIVING BOARD -- POS AND GRANT INVOICING REQUIREMENTS**

<b>FUNDING CLASSIFICATION</b>	<b>Invoice of Expenditure</b>	<b>Invoice Summarization</b>	<b>POS Addendum</b>	<b>Equipment Addendum</b>	<b>Vehicle Addendum</b>	<b>Contract Revision</b>	<b>Consumer Eligibility Form</b>	<b>3 Bids</b>	<b>Lien Waivers</b>	<b>Business Justification</b>
<b>POS</b>	Monthly		With each invoice that services are provided to consumers			To transfer funds	New consumer/change to consumer and as requested by PLB			
<b>GRANTS</b>										
<b>Program</b>	Monthly	With reimbursement request	With each invoice that services are provided to consumers			To transfer funds	New consumer/change to consumer and as requested by PLB			
<b>Other Capital</b>	Monthly			With each equipment invoice		To transfer funds		With invoice as required	With invoice as required	With invoice as required
<b>Vehicle Acquisition</b>	Monthly				With each vehicle invoice	To transfer funds		With invoice as required	With invoice as required	

## FUNDING PROCEDURES

### **FISCAL MONITORING/REPORTING**

(Revised November 2009)

As stated in the PLB Service Agreement, staff and/or its designees may conduct visits to an agency and/or program site for the purpose of monitoring projects that are funded by the PLB. The goals of general monitoring of projects are:

1. To assure that funds disbursed by the PLB on behalf of St. Louis County taxpayers are expended in compliance with the PLB Service Agreement, the PLB Funding Manual, PLB policies and the agency's Application for Funds.
2. To ascertain the progress of the agency and/or project in achieving outcomes set forth in the PLB Application for Funds, and to assure the delivery of quality services to persons with developmental disabilities and their families in compliance with the PLB Service Agreement, the PLB Funding Manual, PLB policies and the agency's Application for Funds.

Monitoring may be accomplished by on-site visits to an agency and/or project site for a fiscal on-site visit, a program on-site visit, or a quality on-site visit. When needed, PLB staff will share findings of on-site visits with the agency involved, members of the PLB and/or other funding sources.

## FUNDING PROCEDURES

### **FISCAL MONITORING/REPORTING**

#### **FISCAL MONITORING AT PLB OFFICE**

1. Review of Invoices
  - a) Verify that Service Agreements have been signed and received by the Productive Living Board.
  - b) Determine that all required documentation (e.g., corporate information, Certificate of Insurance and insurance synopsis, by-laws, etc.) has been submitted and agency is in compliance with PLB's requirements.
  - c) Determine that all line item requests are within the approved budget amount.
  - d) Verify that required invoice documentation has been obtained.
  - e) Verify that POS reimbursements are for eligible St. Louis County individuals only.
  - f) Determine that the reimbursement request is for purchases or payments made during time period of the service agreement.
2. Review of quarterly unaudited financial statements.
3. Review agency annual independent audits, management letters, and audited unit cost reports.
4. Maintain inventory of equipment and vehicles purchased with PLB funds.
5. Periodic meetings to discuss any fiscal issues related to the project.

## FUNDING PROCEDURES

### **FISCAL MONITORING/REPORTING**

#### **ON-SITE FISCAL MONITORING**

(Revised November 2016)

On-site fiscal monitoring conducted by PLB finance staff shall occur to review the substantiating documentation that supports: the information reported on the agency's audited unit cost report; the information submitted for reimbursement for grant projects; invoices submitted for reimbursement for POS projects; other corporate and fiscal documentation to support the agency's compliance with PLB fiscal policies; and other items deemed necessary based on the results of the In-House fiscal monitoring. On-site fiscal monitoring shall include reviewing all required supplemental schedules that support the agency's audited unit cost report and any source documents that substantiate these schedules and other costs included on the audited unit cost report.

To complete the on-site fiscal monitoring, one or more of the following actions may take place:

1. Review detailed financial statements (balance sheet and statement of income and expenses, including verification of account balances).
2. Review allocation schedule of personnel showing staff payroll, percent allocated to each project or cost center and allocation among billing sources (PLB, DMH, St. Louis Office of DD Resources, etc.), allocation of all project direct costs, and allocation of administration costs among the various cost centers as well as allocation to the various funding sources.
3. Review bank statements and reconciliations and any supporting documentation such as general ledger, cash receipts journals, cash disbursements journal, etc.
4. Review Board meeting minutes as requested.
5. Review most current agency budget.
6. Review quarterly payroll tax returns and canceled checks (or other evidence of payment) for payroll tax deposits.
7. Review documentation for the POS project/component as requested, including attendance records, payroll records, canceled checks, recording of expenditures and receipt of income in general ledger and any other pertinent schedules, reconciled to the PLB invoices submitted.
8. Verify that equipment and vehicles purchased with PLB funds are properly used and maintained. Review depreciation schedules and accounts for equipment and vehicles.
9. Review other items identified to ensure compliance with all PLB fiscal policies.
10. Fiscal on-site reports shall be distributed to the agency, PLB Project staff, Executive Director and agency general file. As necessary, reports may also be distributed to Productive Living Board members and to the agency board president.

(Revised November 2015)

<b>PRODUCTIVE LIVING BOARD FISCAL REPORTING REQUIREMENTS FOR POS AND GRANT PROJECTS</b>					
<b>FUNDING CLASSIFICATION</b>	<b>PROPERTY INVENTORY</b>	<b>AGENCY UNAUDITED FINANCIAL STATEMENTS</b>	<b>EVIDENCE OF INSURANCE COVERAGE</b>	<b>AUDIT REPORT AND MANAGEMENT LETTER</b>	<b>AUDITED UNIT COST REPORT</b>
POS		Quarterly	Annually	Annually	Annually or project end
<u>GRANTS</u>					
Program		Quarterly	Annually	Annually	
Capital	Annually for as long as property is in service		Annually	Annually	
Vehicle Acquisition	Annually for as long as vehicle is in service		Annually	Annually	

**PRODUCTIVE LIVING BOARD  
FISCAL REPORTING REQUIREMENTS FOR EXISTING LOANS**

TYPE OF LOAN	EQUIPMENT AND VEHICLE INVENTORY	EVIDENCE OF INSURANCE COVERAGE	EVIDENCE OF COMPLIANCE WITH CONDITIONS	AUDIT REPORT AND MANAGEMENT LETTER
Capital Improvement Projects and Acquisitions		Annually for duration of loan	Annually for duration of loan	Annually for duration of loan
Major Renovation Projects		Annually for duration of loan	Annually for duration of loan	Annually for duration of loan
Equipment/ Furnishings	Annually	Annually for duration of loan	Annually for duration of loan	Annually for duration of loan

## FUNDING PROCEDURES

### **MONITORING/REPORTING**

#### **FINANCE TIMELINE**

(Revised November 2016)

1. If in any finance standards are not met, PLB will notify the agency in writing within 5 business days of the completion of the standards review. The agency must provide documentation to demonstrate that the standard has been corrected or submit a plan of correction within 25 business days of the completion of the standards review.
2. If the agency submits a plan of correction, it must include timelines indicating the manner in which the standards will be met.
3. PLB staff will acknowledge the receipt of the documentation or plan of correction within 5 business days.
4. PLB staff will review the documentation or the plan of correction to assure PLB finance standards are met. If the documentation or the plan of correction does not meet PLB requirements, PLB staff will contact the agency within 10 business days of the receipt of the plan of correction.
5. If the agency does not meet the PLB finance standards as indicated in the plan of correction, the agency will receive official notification.
6. If the agency is unable to meet the PLB finance requirements within 60 business days from the date of the official notification or the end of the fiscal year, the agency may be in jeopardy of losing their PLB funding.
7. The appropriate PLB Committee may request a meeting with the agency to discuss the plan of correction, and to discuss future funding implications.

## FUNDING POLICIES

### **AGENCY AUDITED UNIT COST REPORT**

(Revised November 2016)

The PLB requires an annual independent audit that will certify the true and actual PLB purchase of service contract's unit cost in accordance with generally accepted accounting principles (GAAP). The audited unit cost shall include all project costs and all units provided regardless of whether the units were reimbursed by the PLB, another funder or covered by the agency and shall include all direct costs and appropriately allocated indirect costs of units of service provided.

Agencies shall determine the overall cost of general administration of their organizations. These costs shall be allocated through a formula that spreads costs equitably to all cost centers within the agency. The method of allocating these costs shall be documented and reviewed annually.

An Audited Unit Cost Report is required for every project contract of \$50,000 or greater. Purchase of service contracts for less than \$50,000 are exempt from the Audited Unit Cost Report requirement. ([Audited Unit Cost Report Pro Forma](#))

#### **General Guidelines**

The following guidelines are intended to assist the agency in preparing the Audited Unit Cost Report and supporting schedules and to assist the agency's auditor in conducting their audit of the agency's unit cost report.

The Audited Unit Cost Report shall be prepared in the uniform format required by the PLB and prepared consistent with the following instructions. Supplemental schedules A through D shall be prepared as indicated and retained for review by the agency's independent auditor and PLB staff.

The Audited Unit Cost Report shall identify the following general information:

1. Agency name
2. The agency's fiscal year end date (the Audited Unit Cost Report shall report on activity during the agency's fiscal year which may be different than the contract fiscal year).
3. The PLB Project number (which consists of a four digit project number and a two digit component number)

Agencies that contract with the PLB may also contract for the same service with other SB40 Boards (e.g. St. Louis Office for Developmental Disability Resources, Developmental Disabilities Resource Board of St. Charles County, etc.). If an agency's procedures, internal controls, accounting software, and reporting abilities allow them to track these services separately, then it may be appropriate to report on these services as separate programs/cost centers. If an agency cannot report on the PLB service separately, then it is appropriate to combine the costs and report on all expenses and all units related to the service.

## **AGENCY AUDITED UNIT COST REPORT (Continued)**

(Revised November 2016)

### **Guidelines for Reporting Expenses**

Project expenses are categorized as direct expenses and indirect expenses.

- Direct expenses represent those expenses that are incurred as a direct result of providing a service.
- Indirect expenses represent management and general expenses that are allocated to a project to support the service.

All direct expenses shall be supported by appropriate documentation. If costs are allocated by expense category (e.g. facility costs) or if management and general costs are allocated in total, the method of allocation shall be documented in writing and reviewed annually. Any costs not applicable to the project, even if they are included in management and general costs shall be excluded in the cost allocation (e.g. bad debts, etc.). The methodology for determining cost allocations may vary for different costs and should reasonably reflect the actual cost for that particular project. (e.g. rent and utilities may be allocated based on square footage, management and general costs may be allocated based on total agency costs, etc.)

### **Direct Project Expenses**

#### **1. Personnel Costs – Wages**

Wages represent salary expenses for program staff providing direct service and other staff whose time is devoted directly to this project. **Examples of eligible functions include direct support of individuals, supervision of direct support staff and program coordination. Salary expenses must be properly allocated to reflect the staff person's percentage of time in this project. Administrative staff wages shall be included as an indirect expense and allocated as part of management and general expenses.** When staff works in various projects during the fiscal year that varies from the budget allocation, the percentages need to be adjusted to reflect the actual time worked in each project.

Line 1 Personnel Costs – Wages, on the Audited Unit Cost Report equals the total from Schedule A Personnel Costs – Wages.

## **AGENCY AUDITED UNIT COST REPORT (Continued)**

(Revised November 2016)

To complete Schedule A: ([Schedule A](#))

- a) Complete the Agency Name, PLB Project # and Fiscal Year End Date.
- b) In the Staff Name column, record the names of staff who work directly in the project. This should **not** include management and general staff (e.g. finance department, administrative staff, etc.).
- c) In the Title column, record the staff persons' respective titles.
- d) Record each staff person's total wages either by quarter for the fiscal year or in total only for the fiscal year. (For some agencies it may be easier to accumulate this information on a quarterly basis.)
- e) In the Project Percentage column, indicate the percentage of the staff's wages that are directly related to this service for the fiscal year indicated. For example, if a staff person's time is allocated among multiple services, enter the percentage of time they worked in this service for the fiscal year indicated, if a staff person only works in this service, enter 100%. *(If an agency's payroll system separates and reports the staff payroll expense by project for each pay period, enter the total wage expenses for the service and indicate "100%" as the respective project percentage.)*
- f) In the Project Portion column, multiply the Total Wages by the Project Percentage to determine each staff person's wages related to this service.
- g) Total the Project Portion column and transfer the amount to Line 1 of the Audited Unit Cost Report.
- h) Enter the name of the agency staff person that confirmed the percentage of time for each agency staff person.

### **2. Personnel Costs – Benefits**

Benefits represent fringe benefit expenses incurred by the agency for the staff whose time is devoted directly to this project as reported on Schedule A. Examples of eligible fringe benefit expenses are included on Schedule B, such as employer FICA match, workers compensation premiums, retirement plan contributions, as well as various employer paid insurance coverage.

Line 2 Personnel Costs – Benefits on the Audited Unit Cost Report equals the total from Schedule B Personnel Costs – Benefits.

## **AGENCY AUDITED UNIT COST REPORT (Continued)**

(Revised November 2016)

To complete Schedule B: ([Schedule B](#))

- a) Complete the Agency Name, PLB Project # and Fiscal Year End Date.
- b) In the Staff Name column, record the names of staff who work directly in the project. These names should agree with those listed on Schedule A, and should **not** include management and general staff (e.g. finance department, administrative staff, etc.).
- c) In the Title column, record the staff persons' respective titles.
- d) Complete all columns for each respective staff. For the various employer paid insurance premiums, be sure to include only the employer paid premium (including dependents), i.e. do not include the portion of the premium paid by the employee.
- e) In the Project Percentage column, indicate the percentage of the staff person's benefit expenses that are directly related to this service for the fiscal year indicated.
- f) In the Project Portion column, multiply the Total fringe benefit expenses by the Project Percentage to determine each staff person's fringe benefit expenses related to this service.
- g) Total the Project Portion column and transfer the amount to Line 2 of the Audited Unit Cost Report.

### **3. Consumable Project Equipment/Supplies**

Consumable project equipment/supplies include expenses that are directly incurred to provide the service. Examples of eligible expenses include, first aid supplies, linens (for in-facility projects), activities supplies, etc.

### **4. Office Equipment/Supplies**

Office equipment and supplies include expenses that are directly incurred in order to provide the service. Examples of eligible expenses include printing/copying supplies, envelopes, administrative office supplies, computer supplies, equipment leases, and depreciation expense for equipment. All expenses shall be properly allocated to reflect the percentage directly related to this project. Any direct administrative costs shall be deducted/excluded from the Administrative Allocation (indirect expenses) calculation.

## **AGENCY AUDITED UNIT COST REPORT (Continued)**

(Revised November 2016)

### **5. Facility Costs**

Facility costs include expenses that are directly incurred to provide the service as identified on Schedule C. All expenses shall be properly allocated to reflect the percentage directly related to this project.

Line 5 Facility Costs on the Audited Unit Cost Report, equals the total from Schedule C Facility Costs.

To complete Schedule C: (Schedule C)

- a) Complete the Agency Name, PLB Project # and Fiscal Year End Date.
- b) If an agency is allocating Facility Costs from multiple locations, report eligible expenses for each location separately.
- c) In the Project Square Footage column, identify the respective number of square feet that the project utilizes. Include square feet that are occupied by the activity or by the program's staff.
- d) In the Total Square Footage column, indicate the total square feet of that facility/location.
- e) Divide the project square footage by the total square footage to calculate the Project Percentage.
- f) Direct facility costs shall be reported on the line below the allocated expenses for each location.
- g) In the Agency Total column, list the expense for the eligible expense categories listed. In the Project Portion column, multiply the Project Percentage by the Agency Total for each line item.
- h) Total the Project Portion column and transfer the amount to Line 5 of the Audited Unit Cost Report.

### **6. Communication**

Communication includes expenses that are directly incurred to provide the service. Examples of eligible expenses include pager and cellular phone services, postage, printing, etc. All expenses shall be properly allocated to reflect the percentage directly related to this project.

## **AGENCY AUDITED UNIT COST REPORT (Continued)**

(Revised November 2016)

### **7. Staff Training**

Staff Training includes expenses directly incurred for staff to remain current on required training, practices and standards, and to acquire new skills. Examples of eligible expenses include reasonable conference registration fees, travel expenses related to conferences, tuition costs, fees paid to group trainers (such as CPR training), etc. All expenses shall be properly allocated to reflect the percentage directly related to this project.

Conferences/training related to national accreditations should **not** be included.

### **8. Staff Travel**

Staff travel includes expenses directly incurred to provide the service.

Schedule D Staff Travel must be completed **only** for those projects where the staff travel expense is equal to or greater than 5% of the total project expenses on the Audited Unit Cost Report.

To complete Schedule D: (Schedule D)

- a) Complete the Agency Name, PLB Project # and Fiscal Year End Date.
- b) In the Staff Name column, record the names of staff that work directly in the project. These staff should typically agree with the staff listed on Schedule A, and should **not** include management and general staff (e.g. finance department, administrative staff, etc.).
- c) In the Title column, record the staff person's respective titles.
- d) In the Total column, report the mileage reimbursement expenses included for the twelve months.
- e) In the Total column below the chart report any project related parking fees.
- f) In the Total column below the chart report any other project related travel expenses.
- g) Transfer the Total Project Staff Travel amount to Line 8 of the Audited Unit Cost Report.

### **9. Vehicle Operating Costs**

Vehicle operating costs for agency owned or leased vehicles include expenses directly related to providing the service. Examples of eligible expenses include vehicle rental, gasoline, vehicle repairs, and preventive maintenance. All expenses shall be properly allocated to reflect the percentage of vehicle operating costs directly related to this project.

## **AGENCY AUDITED UNIT COST REPORT (Continued)**

(Revised November 2016)

### **10. Professional Services/Fees**

Professional services/fees include expenses directly related to provide this service. Examples of eligible expenses include consulting fees, interpreters, licensing renewals and legal or audit fees directly related to the project. These expenses do not include general agency professional fees such as legal or audit fees – these types of professional fees may be allocated as an indirect administrative allocation.

### **11. Client Assistance**

Client assistance includes expenses that directly benefit the individual, such as attending an event or activity which fits within the scope of the project's service definition. All expenses shall be properly allocated to reflect the percentage directly related to this project. This does not include items outside of the Service Definition of the project such as items that an individual could not afford and the agency elected to purchase for the individual (e.g. household supplies, groceries, medication, etc.). This type of benevolent assistance is to be funded through the agency's fundraising efforts or other sources and shall not be included in the Audited Unit Cost Report.

### **12. Food Costs**

Food includes costs directly benefiting the individual and directly related to the service provided, such as in-facility residential and camp projects. All expenses shall be properly allocated to reflect the percentage directly related to this project. Agency food expenses, such as staff meals, should **not** be included in the Audited Unit Cost Report.

### **13. Total Project Direct Expenses**

Once all Direct Expenses have been reported on the Audited Unit Cost Report, total the Project Direct Expenses on the Audited Unit Cost Report.

## **Indirect Expenses**

### **14. Administrative Allocation**

Even if an agency's administrative expenses exceed 15% of the agency's total expenses, the PLB limits administrative allocations to 15% of the total project expenses when determining the PLB unit rate.

Administrative costs should not include nationally affiliated association costs and/or fundraising costs. Examples of eligible expenses include: insurance, other professional fees, allocated wages and benefits of support staff (e.g. finance, human resources, administrative, etc.) information technology expenses, etc.

Any costs related specifically to other activities or services shall be excluded in the cost allocation.

## **AGENCY AUDITED UNIT COST REPORT (Continued)**

(Revised November 2016)

### **15. Total Project Expenses**

Once all expenses have been reported on the Audited Unit Cost Report, total the Project Expenses on the Audited Unit Cost Report.

### **16. Total Units Provided**

Per the PLB's Funding Manual, a unit is defined as one hour (sixty minutes) of face to face service/support directly related to the individual's outcomes as identified in the individual support plan as it relates to the PLB funded project.

Some exceptions to the face to face requirement do apply for ISLA and Supported Employment projects, and where the Board has approved a specific waiver of policy. Other exceptions exist where a unit is defined as a trip or as a daily rate. ([PLB Funding Manual Purchase of Service Definitions](#))

Enter the total number of units of service provided during the fiscal year.

- If total project expense is for PLB funded project only, include only units applicable to PLB project.
- If total project expense is for a project that includes funding by other sources, include all units.

### **Cost Per Unit**

Divide the Total Project Expenses by the Total Units Provided to calculate the Cost Per Unit.

## FUNDING PROCEDURES

### **MISCELLANEOUS**

#### **APPEALS PROCEDURE FOR AGENCIES**

(Revised November 2016)

If an agency believes that the PLB has taken an action which 1) does not comply with PLB policies/bylaws, or 2) is taken without the benefits of available facts, said agency may submit a written appeal regarding such action to the PLB's Executive Committee within 30 days of the PLB's action. The appeal shall cite the policies/bylaws that appellant claims not to have been complied with (if applicable) and describe in detail how PLB failed to comply and it shall provide the additional facts (if applicable) that PLB should consider. The appeal shall be deemed submitted on the date it is received at the PLB. Any appeal received after 30 days from the date of the action will not be considered by the PLB and the PLB's action will prevail.

Upon submission of the appeal, the Executive Director shall conduct an impartial review of the allegations contained in the appeal to determine if the PLB has failed to comply with its policies/bylaws or acted without the benefit of available facts. The Executive Director shall submit a report to the Executive Committee within ten working days of receipt of the appeal.

Within ten working days after receipt of the Executive Director's report, the Executive Committee shall meet to review the findings of the Executive Director's report. Representatives of the agency may also be requested to submit written statements to the Executive Committee.

The meeting of the Executive Committee shall be open to the public, except in matters pertaining to personnel, litigation, and/or real estate. At the Executive Committee meeting, the agency will be permitted, at the discretion of the Executive Committee, to respond to questions and the findings of the Executive Director's report. All proceedings shall be electronically recorded, and a permanent record maintained on file by the PLB.

The Executive Committee shall make its recommendation to the full Board at the next regularly scheduled Board meeting. The Board shall inform the agency in writing of its decision within ten working days of the Board meeting.

The decision of the Board on all appeals is final.

## FUNDING PROCEDURES

### **EDUCATION/TRAINING SUBSIDY**

(Revised November 2014)

PLB financial subsidy is available for qualified applicants to help defray the cost of registration fees for national, state and/or local seminars, conferences or educational workshops.

#### **QUALIFIED APPLICANTS**

1. Staff/Board Conference Reimbursement subsidy is for agency staff and board members to gain skills and knowledge of best practices in the field of developmental disabilities and improve the quality and effectiveness of their agency's services and supports. PLB funded agencies are eligible to apply for up to \$1,000 per fiscal year in education/training subsidies.
2. Individual/Family Conference Reimbursement subsidy is for individuals and family members to improve their knowledge of services and supports as well as their ability to make informed choices in selecting services to meet their needs. Requests for individual/family subsidy must be made through a PLB funded agency on behalf of individuals/families. The purpose of these funds is to provide a reduced registration fee or scholarships. Subsidies shall be limited to one member per family.

#### **FINANCIAL SUBSIDY**

Subsidy to cover (full or partial) registration fees is available for those seminars, conferences or educational workshops that are related to the PLB Core Services: community and employment services. The PLB subsidy is limited to the registration fee.

1. State and/or National Conferences or Workshops
2. Financial subsidy is available for up to 100% of the registration fee for not more than three persons per agency to attend state or national conferences or workshops. The PLB subsidy is limited to the registration fee.
3. Local Conferences or Workshops
4. Financial subsidy is available for up to 100% of the registration fee for sending not more than five persons per agency to attend local (St. Louis area) conferences or workshops. The PLB subsidy is limited to the registration fee.
5. Financial subsidy is not intended to cover the cost of agency required training.
6. Consideration of all requests for financial subsidy will be made on a first come, first served basis within the PLB's annual amount budgeted for Education/Training Subsidy.

## **EDUCATION/TRAINING SUBSIDY (Continued)**

(Revised November 2014)

### **PROCEDURE FOR APPLYING FOR PLB SUBSIDY**

Applicants seeking PLB subsidy to local, state or national seminars, conferences or educational workshops shall submit an “Education/Training Request for Subsidy” Form to the PLB at least 30 days prior to the date of the program for approval.

[\(Education/Training Request for Subsidy\)](#)

Each person approved for funding shall submit a written evaluation of the seminar, conference or educational workshop. [\(Evaluation of Conference/Seminar\)](#)

Reimbursement of approved costs will be issued upon receipt of the written evaluation along with appropriate documentation of registration payment. [\(Education/ Training Program Invoice\)](#)

### **PLB SPONSORED CONFERENCES OR WORKSHOPS**

The PLB may sponsor or co-sponsor a local conference or workshop based upon identified training needs. Attendees at these workshops may be charged a nominal fee or no fee at the PLB’s discretion.

## FUNDING PROCEDURES

### **INSTRUCTIONS AND FORMS ON-LINE**

The following instructions and forms are available on the For Agencies Only section of the PLB website for review, searching, printing and downloading by agencies.

The PLB website can be found at [www.plboard.com](http://www.plboard.com).

#### Forms and Instructions

Addendum - [Equipment](#) | [Vehicle](#)

Agency Audited Unit Cost Report - [Pro-Forma](#)

Application - [Residential Capital Down Payment Assistance](#)

Application - [Residential Capital Renovations and Repairs](#)

Automatic Direct Deposit Agreement - [First Time](#) | [Change](#)

[Individual Photo Release Form](#)

[Contract Revision Request Form](#)

[Corporate Resolution \(Mid-Year\)](#)

[Data Access Request](#)

[Education/Training Request for Subsidy \(rev. 07/16\)](#)

[Education/Training Program invoice \(rev. 07/16\)](#)

[Education/Training Workshop/Conference Evaluation \(rev. 07/16\)](#)

[In-Home and/or Facility Based Residential Supports Exceeding 200 Hours Per Month \(rev. 07/16\)](#)

[In-Home and/or Facility Based Residential Supports Extension Request Over 504 \(rev. 07/16\)](#)

ISLA - [Application for ISLA Services \(rev. 07/16\)](#)

ISLA - [Application for ISLA Start-Up and/or Replacement Funds \(rev. 07/16\)](#)

[ISLA Services Exceeding 50 Hours Per Month \(rev. 07/16\)](#)

[ISLA - Request for ISLA Assigned Funds](#)

[Invoice Summarization](#)

[Pre-Employment Data Sheet Annual \(rev. 07/16\)](#)

[QE/SE Agency Visit Checklist \(rev. 07/16\)](#)

[QE/SE Project Visit Checklist \(rev. 07/16\)](#)

## **INSTRUCTIONS AND FORMS ON-LINE (Continued)**

Supported Employment - [Request for Supported Employment Assigned Funds \(rev. 07/16\)](#)

Supported Employment - [Supported Employment Retention Supports Exceeding 41 Hours Per Month \(rev. 07/16\)](#)

Sheltered Workshops - [Checklist & Procedures for Construction/ Renovations Projects \(rev. 07/16\)](#)

Sheltered Workshops - [Funding Request Procedure Guidebook \(rev. 07/16\)](#)

Sheltered Workshops - Personal Care Assistance - [Individual Support Plan \(rev. 07/16\)](#)

Sheltered Workshops - Personal Care Assistance - [Weekly Summary Report \(rev. 07/16\)](#)

Sheltered Workshops - [Procedures for Verification of Waiting List \(rev. 07/16\)](#)

Sheltered Workshops - [Sample Construction Bid Document \(rev. 07/16\)](#)

Sheltered Workshops Training - [Individualized Support Plan \(rev. 07/16\)](#)

Sheltered Workshops Training - [Individual Progress Notes \(rev. 07/16\)](#)