

Quality Enhancement and Service Excellence (QE/SE) Manual

Fiscal Year 2020



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PLB : PRODUCTIVE
LIVING BOARD
EMPOWERMENT ACROSS A LIFETIME

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MODIFICATIONS FOR FY'20

Letter to Agency Partners
Previous Process and Modified Process for FY'20

Dear Agency Partners,

At the July 8, 2019 Productive Living Board meeting, the Board again approved a one year modification of the Quality Enhancement /Service Excellence (QE/SE) System to allow time for the alignment of Outcomes and Standards with our partnering SB40 Boards. In order to ensure that agencies continue to demonstrate the current QE/SE standards are met, we are asking agencies to review their own documentation and self-report using the following modified process:

1. Agency and Project staff will submit the appropriate self-assessments, using the current QE/SE standards. The individuals who sign and submit the self-assessment acknowledge they have reviewed all policies and procedures within the QE/SE Manual and the PLB Funding Manual, certify the information contained is true and accurate, and that there is evidence the standards have been met.
 - Agency and Project self-assessments are due on October 30, 2019.
 - Summer Project self-assessments are due on July 31, 2020.
2. PLB staff will review the Agency and Project self-assessments to determine next steps, which may include:
 - Providing a letter stating the Agency and/or Project has met the QE/SE Standards for FY'20, or
 - Scheduling an on-site meeting to review documentation, or
 - Providing technical support as needed.
3. PLB staff will continue to complete Project observations and meet with individuals served throughout FY'20.
4. Due to the upcoming changes, PLB will continue to suspend the Outcome Measurements.

We appreciate your partnership as we move forward with the Alignment and Integration with our partnering SB40 Boards. Our goal is to be able to communicate the impact of our continued work together, which ensures a spectrum of high quality services that create opportunities for St. Louis County residents with developmental disabilities to thrive in the homes, communities and employment settings of their choosing.

Please don't hesitate to contact us if you have any questions.

With Regards,



Kimberly A. Kopff, M.A. | Director, Agency and Community Relations



Jennifer Boedeker | Agency Relations Specialist

FY'18 Process	FY'19 and FY'20 Process
On-Site Agency Standards Review	Agency Standards self-assessment
On-Site Project Standards Review	Project Standards self-assessment and project reviews of random sample
Technical Assistance/Support	No Change - Continue as needed and/or as requested by the agency
Project Observations	No change - Continue visiting projects
Satisfaction Survey	Modify to include both service satisfaction and current needs. It is now called the Annual Survey.
Outcome Measurements	Suspended

INTRODUCTION

Mission, Vision, Core Service Definitions and Outcomes
Quality Enhancement/Service Excellence Standards



The Productive Living Board for St. Louis County Citizens with Developmental Disabilities was established in 1979 when St. Louis County Voters passed a property Levy to develop services and supports for residents with developmental disabilities. The present tax is set at 8.8¢ per \$100 assessed value and generates approximately \$22 million annually. Currently, the PLB contracts with over 36 agencies that provide services to approximately 4,400 individuals with developmental disabilities in St. Louis County.

The PLB Mission:

To ensure funding for a spectrum of high quality services that create opportunities for St. Louis County residents with developmental disabilities to thrive in the home, community and employment settings of their choosing.

The PLB Vision:

Individuals of all abilities are provided with opportunities that allow them to fulfill their potential and live as respected and included members of the community

Core Service Definitions- Community Services:

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.

ISLA 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.

ISLA Outcomes

1. Persons with developmental disabilities acquire new residential living skills that support them in their home and community.
2. Persons with developmental disabilities form new and maintain relationships and natural supports at home and in their community.
3. Persons with developmental disabilities are satisfied with residential services received.

Individual Support 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.

Individual Support Outcomes

1. Persons with developmental disabilities acquire new residential living skills that support them in their home.
2. Persons with developmental disabilities form new and maintain relationships and natural supports at home.
3. Persons with developmental disabilities are satisfied with residential services received.

Community Support 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.

Community Support Outcomes

1. Persons with developmental disabilities acquire new skills to actively participate in their community.
2. Persons with developmental disabilities form new and maintain relationships and natural supports in their community.
3. Persons with developmental disabilities are satisfied with the community support services received.

Core Service Definitions- Community Services (continued):

Older Adult Supports 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.

Older Adults Supports Outcomes

1. Persons with developmental disabilities acquire new and maintain relationships/natural supports that assist them in their transition into retirement and community activities.
2. Persons with developmental disabilities will acquire new and maintain skills to independently participate in community retirement activities.
3. Persons with developmental disabilities are satisfied with older adult services receive

Community Transportation Service Definition: Community transportation provides access to safe, reliable transportation.

Community Transportation Outcomes

1. Persons with developmental disabilities access safe and reliable transportation.
2. Persons with developmental disabilities are satisfied with residential transportation services received.

Core Service Definitions- Employment Services:

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.

Pre-Employment 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.

Pre-Employment Outcomes

1. Persons with developmental disabilities acquire new and maintain employment skills that support them in their employment and community.
2. Persons with developmental disabilities form new and maintain relationships/natural supports in their community.
3. Persons with developmental disabilities are satisfied with employment services received.

Employment 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.

Employment Outcomes

1. Persons with developmental disabilities are employed in a position of their choice.
2. Persons with developmental disabilities acquire new and maintain employment skills.
3. Persons with developmental disabilities form new and maintain work-related relationships/natural supports.
4. Persons with developmental disabilities are satisfied with employment services received.

Employment Transportation Service Definition: Sheltered Workshop Transportation provides access to safe and reliable transportation to work.

Employment Transportation Outcomes

1. Persons with developmental disabilities access safe and reliable transportation.
2. Persons with developmental disabilities are satisfied with employment transportation services received.

Core Service Definitions- Employment Services (continued):

Employment – Sheltered Workshop Allocation 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 towards independent living.

Employment – Sheltered Workshop Allocation Outcomes

1. Persons with developmental disabilities are employed in a position of their choice.
2. Persons with developmental disabilities acquire new and maintain employment skills.
3. Persons with developmental disabilities form new and maintain work-related relationships/natural supports.
4. Persons with developmental disabilities are satisfied with employment services received.

Sheltered Workshop Personal Care 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.

Sheltered Workshop Personal Care Outcomes

1. Persons with developmental disabilities maintain continuous employment.
2. Persons with developmental disabilities are satisfied with employment services received.

Sheltered Workshop Training 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.

Sheltered Workshop Training Outcomes

1. Persons with developmental disabilities are employed in a position of their choice.
2. Persons with developmental disabilities acquire new and enhance employment skills.
3. Persons with developmental disabilities form new and maintain work-related relationships and natural supports.
4. Persons with developmental disabilities are satisfied with employment services received.

Quality Enhancement/Service Excellence Standards:

The Productive Living Board (PLB) for St. Louis County Citizens with Developmental Disabilities has the responsibility to assure individuals, families, and citizens of St. Louis County that PLB funded agencies are providing services and supports in healthy and safe environments and that services/supports are designed to meet the needs of individuals with developmental disabilities.

The PLB strives to ensure that all St. Louis County citizens with developmental disabilities have an equal opportunity to achieve their goals. Quality Enhancement/Service Excellence (QE/SE) Standards have been put into place to ensure:

- Individuals and their families have confidence that their choice of providers have met minimal requirements ensuring their health and safety.
- Agencies provide quality programs that encourage individuals to acquire new skills, increase levels of independence and build relationships.
- Standardized and clear agency expectations to support the PLB with monitoring public funds and to ensure they are appropriately utilized by agencies.
- Report to the St. Louis County taxpayers the positive ways their tax dollars are assisting individuals with development disabilities in their community.

The Quality Enhancement/Service Excellence Standards consists of three reviews; **Agency Standards, Project Standards and Project Observations**. The QE/SE manual provides the agency with information needed to successfully meet the required standards.

The purpose of these guidelines and quality improvement activities is not to insist on the use of any particular documents, but to assure that proper documentation is maintained to support the services provided to individuals with developmental disabilities.

QE/SE reviews are completed annually to ensure the standards are present and meet PLB requirements. If an Agency or Project is missing any of the required elements the Agency will be notified. Agencies and Projects have a period of time to meet the required standards prior to the end of the fiscal year.

AGENCY STANDARDS

Annual Agency Board Approved Policies
Health and Safety Standards
Staff Competencies
Employee Training
QE/SE Standards Timeline

Annual Agency Board Approved Policies:

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. The 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 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.

Annual Agency Board Approved Policies (continued):

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 list of 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 individual 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).

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".

Annual Agency Board Approved Policies (continued):

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;
 - 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.

Health and Safety Standards:

Documentation will be available for PLB review annually.

Safety Plan: There is a detailed safety plan used by the organization that conforms to accepted certification/accreditation standards appropriate for the agency.

- a) The safety plan describes strategies and methods to identify and respond to safety, health and abuse/neglect risks whether the supports are provided in the community or in a facility-based setting.
- b) The safety plan is proactive as well as reactive in response to health, safety and adverse incidents.
- c) The safety plan clearly identifies specific health and safety procedures for people whose needs are unique (i.e. mobility, visual, auditory, sensory, etc.).

Crisis Drills: There is clear documentation that a variety of crisis drills are conducted quarterly at all agency owned/leased facilities (e.g. fire, natural disaster, missing persons, bomb threats, etc.).

- a) Documentation will include date, time and type of drill. Drills must occur at different times throughout the year.
- b) Documents the performance of staff and individuals during crisis drills.
- c) Documentation will include a plan of correction and any action taken.

Safety Inspections: There is clear documentation of safety inspections, completed on all agency owned/leased facilities that occur on a semi-annual basis.

- a) Safety inspections include review of potential risks for both health and safety issues.
- b) Documentation will include a plan of correction and any action taken.

External Fire Inspections: There is documentation of annual fire inspections completed on all agency owned/leased facilities from an external fire protection agency. Inspections are completed at all facilities that are utilized by individuals (e.g. office, facility based services).

- a) Findings of the external fire inspections are available for review.
- b) Documentation will include a plan of correction and any action taken.

Health and Safety Standards (continued):

Vehicle Safety Standards:

These standards apply only to agencies that provide transportation to PLB funded individuals in agency owned/leased vehicles.

The following documentation will be available for PLB review annually.

1. State license and registration for each vehicle.
2. Current insurance for each vehicle and agency driver.
3. All vehicles shall have the following safety equipment on board and in good working order:
 - a) First aid kit;
 - b) Fire extinguisher;
 - c) Seat belts; and
 - d) Wheelchair tie-downs, if applicable.
4. There is clear documentation that all vehicles are inspected prior to each use for obvious signs of safety and cleanliness. Evidence of such inspections must be available for review.

Staff Competencies:

The PLB staff monitors these core competencies of staff delivering services in PLB funded programs. The agency must maintain the minimum standards below regarding those programs that are funded by the PLB. Many of these same requirements and practices are already required by contractual agreement and/or state or federal law. The agency will have the following documentation available for PLB review annually:

1. **Job Descriptions:** Agency will have a job description for each staff position funded by the PLB.
2. **Background Checks:** Background checks must be conducted at the time of hire and annually thereafter for all staff and volunteers, which includes 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.

FCSR results for staff, volunteers and those who may be in potential contact with individuals served will be available for PLB staff review.

3. **Licensure/Certification:** Professional employees requiring licensure or certification as part of their duties have appropriate licensure/certification. Documentation of current licensures/certifications of these direct support staff are available for review.

Agency employees working in Supported Employment Projects must obtain their Employment Services Certification within their first year of employment. Employees must complete a minimum of four hours of approved training each calendar year to maintain their certification. Documentation will be available for PLB staff review.

4. **Food Preparation and/or food handlers:**

- a) Current sanitation certificate is required for at least one staff within agencies/projects that provide food service.
- b) Hepatitis A vaccinations are required as defined in St. Louis County Health Department Hepatitis A Ordinance.

5. **Driver Qualifications:** For all agency employees who transport individuals as part of their regular duties:

- a) There is documentation that all agency employees who transport individuals in their personal vehicles as part of their duties have a valid, Missouri Class E driver's license or equivalent license from another State.
- b) All agency employees who transport individuals in their personal vehicles as part of their duties have current automobile insurance.
- c) There is documentation that all agency employees who transport individuals in agency owned/leased vehicles have at least a valid, Missouri Class E driver's license or equivalent license from another State.
- d) There is documentation that all agency employees who transport individuals in agency owned/leased vehicles that are licensed to transport 16 or more passengers (including the driver) have a valid, commercial driver's license (CDL) or equivalent license from another State.

Employee Training:

1. All agencies receiving PLB funding will demonstrate a commitment to employee training. Documentation will be available for PLB review annually. Documentation shall include name of the training, date, signature of the employee and the instructor/supervisor verifying the training has been completed.
 - a) All direct care staff who work on PLB funded projects will have an individual employee training/development plan (samples on Insert 1).
 - b) Training involves structured classes or seminars conducted by a qualified agency approved trainer.
 - c) All newly hired direct support staff shall be trained within a defined period of time per the agency policy. In the absence of a policy, all newly hired staff will be trained within ninety (90) days. All direct care staff who work on a PLB funded project are trained annually on the topics listed below (minimum requirements for each training on Insert 2):
 - PLB Policies and Procedures
 - PLB Documentation Requirements
 - Health and Safety
 - a) Agency policies and procedures
 - b) Individual health and safety supports
 - c) Safe Transfer Techniques (e.g., manual transfers, utilizing equipment, etc.) for employees who work with individuals with physical support needs.
 - Abuse and Neglect Prevention
 - Incident Reporting
 - Human Rights
 - HIPAA
 - OSHA standards for employees who may reasonably be anticipated to have exposure to bodily fluids and/or infectious materials as part of their job duties including but not limited to Universal Precautions and Blood borne Pathogens.
 - Positive Supports
 - Crisis Intervention policy - staff directly supporting individuals will be trained on agency policy.
2. **All agency employees involved in direct support** are certified and certification is available for PLB staff review:
 - CPR (child and/or adult as applicable) and
 - First Aid
3. **Agency employees working in Supported Employment Projects** must obtain their Employment Services Certification within their first year of employment. Employees must complete a minimum of four hours of approved training each calendar year to maintain their certification.

Employee Training (continued):

4. All **agency employees who distribute medications** to individuals must:
 - Pass and maintain Medication Aide certification.
 - 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).
 - The curriculum must be the most recently revised edition of “Level 1 Medication Aide Curriculum”.

5. All **agency employees who transport individuals** shall receive training on the agency policies as follows:
 - Training on procedures for emergencies, accidents and breakdowns.
 - Agency employees who transport individuals in agency owned/leased 16 or more passenger (including the driver) vehicles must complete a safe driving instructional class specific to the type of vehicle(s) they operate.

EXAMPLE 1

Employee name: John Hancock

Date of hire: March 29, 2010

Last Background check completed: March 13, 2018

Training	Date Completed	Certificate/Documentation
PLB Policies & Procedures		
PLB Documentation, Writing ISP/PCP & progress notes		
Health & Safety Standards		
Abuse & Neglect Prevention		
Incident Reporting		
Human Rights		
HIPAA		
OSHA		
Positive Supports		
Crisis Intervention Agency Policy Training		
CPR		(certificate required)
First Aid		(certificate required)
Employment Services Certification – Initial and 4 hours annually		(certificate required)
Administering Medication		(certificate required)
Driver Training (if applicable)		
Driver Training (16+ passengers)		

If using to document actual attendance, please insert signature and date line for both employee and employee’s supervisor and/or trainer.

EXAMPLE 2

Employee Name	Date of hire	Family Care Safety Registry	PLB policies and procedures	Documentation, Writing ISP & progress notes	Health & Safety Standards	Abuse/Neglect Prevention	Incident Reporting	Human Rights	HIPAA	OSHA	Positive Supports	Crisis Intervention Agency Policy Training	CPR	First Aid	Administering Medication	Driver Training (if applicable)	Driver Training (16+ passengers)
Patti Day	1/5/02	X	X		X	X			X			X	X	X	N/A	N/A	N/A
John Hancock	4/16/95	X	X	X		X			X		X		X	X	N/A	N/A	N/A
Bobby Hull	5/16/10	X		X	X	X			X				X	X	N/A	N/A	N/A
Curtis Joseph	7/11/90	X	X	X	X	X			X			X	X	X	N/A	N/A	N/A
April Showers	8/02/05	X	X	X	X	X			X		X		X	X	N/A	N/A	N/A
Cindy Smith	9/26/03	X	X		X	X			X			X	X	X	N/A	N/A	N/A

If using to document actual attendance, please insert signature and date column for both employee and employee’s supervisor and/or trainer.

PLB Required Staff Trainings Defined

- Individual Employee Training/Development Plan
 - Employees working in PLB funded projects are listed (preferably in alphabetical order).
 - PLB required trainings are clearly identified (as listed in PLB policies/procedures).
 - Each training attended is identified w/ supporting documentation and are available for PLB staff review.
 - Signatures and dates are included to verify attendance.
- Training involves structured classes/seminars by a qualified agency approved trainer.
- PLB policies and procedures
 - Employees working in PLB funded projects are trained on the policies/procedures related to the specific project, as well as, overall agency required PLB policies/procedures.
- PLB documentation requirements – Individual Support Plans (ISPs), writing progress notes
 - Employees working in PLB funded projects are trained on how to write both ISPs and progress notes. Employees are aware of all of the components which go into an ISP and/or progress note.
 - Progress notes are written accurately; following each service provided, are written in a factual manner (excluding personal opinions/feelings, etc.) and are written in behavioral language. Progress notes document individual's progress (or lack of) toward meeting stated goals/outcomes.
- Health and Safety Policies and Procedures
 - Employees working in PLB funded projects are aware and knowledgeable regarding the agencies safety plan, policies and procedures. Employees understand the systematic process of conducting crisis drills (how to complete documentation of drills), safety inspections (how to complete documentation of inspections), etc. If applicable, the training must also include:
 - Individual health and safety supports: Safe Transfer Techniques (e.g., manual transfers, utilizing equipment, etc.) for employees who work with individuals with physical support needs
 - This includes vehicle procedures if transporting individuals.
 - This includes property procedures if agency owns property (where PLB currently has loans or has participated in Housing Development or down payment assistance).
- Abuse and Neglect Prevention Education
 - Employees working in PLB funded projects are able to recognize the signs, etc. of abuse and/or neglect; are knowledgeable and understand when/if follow up is needed and what type of follow up is needed (i.e.: notifying authorities, counseling, doctor/ER visit, etc.).
 - Employees working in PLB funded projects are trained on the proper procedures for completing a hotline call to FSD or DHSS.
 - Employees are provided the hotline numbers and trained how to document these types of calls, incidents, etc.
 - Employees should be trained on the most recent/updated information regarding the state and federal laws/guidelines regarding abuse/neglect.

PLB Required Staff Trainings Defined (continued):

- Incident Reporting
 - Employees working in PLB funded projects are trained on how to properly complete an incident report as well as how to report the incident to the appropriate governing body authorized to investigate.

- Human Rights
 - Employees working in PLB funded projects are trained on basic human rights (i.e.: shelter, finances, relationships, food, etc.) and understand the steps to take in the event an individual's human rights are violated.
 -
- HIPAA/Individual Confidentiality
 - Employees working in PLB funded projects are trained on how to properly comply with state and federal law/guidelines. Employees are knowledgeable on how to protect individual's confidential information, when to obtain a release of information form, where release of information forms is maintained (at the agency) once completed.

- OSHA
 - Employees working in PLB funded projects and who may anticipate having occupational exposure to bodily fluids of others and/or infectious materials as part of their job duties (including, but not limited to Universal Precautions and Blood borne Pathogens), as well as, being trained on how to properly comply with state and federal law/guidelines.

- Positive Supports
 - Employees working in PLB funded projects are trained to support an individual in a positive manner to ensure the individual is achieving their desired outcome(s)
 - Positive Supports are individually designed and are provided to participants who have difficulties that may jeopardize their ability to remain in the community of choice. Positive supports should be provided in the situation where the difficulties occur.
 - Services include but are not limited to:
 - A comprehensive assessment of the individual's support needs (in the context of their medical diagnosis as determined by the appropriate health or mental health professional), skills and abilities, existing and potential natural and paid supports and the environment;
 - The development and implementation of a holistic structured individualized plan, including specific realistic goals which can also be utilized by other providers and natural supports. The plan must include a clear description of successive levels of support starting with the simplest and least intrusive level. All plans must be written in a manner so that all natural and paid supports will be able to follow it;
 - The training of family, natural supports and other providers so they can effectively use the basic principles of the plan;
 - Regular reassessments of the effectiveness of the plan, making pro-active, positive adjustments to the plan as needed.

- Crisis Intervention Agency Policy
 - Employees working in PLB funded projects are trained on the agency's crisis intervention/restraint policy.

PLB Required Staff Trainings Defined (continued):

- CPR
 - Employees working in PLB funded projects are trained in proper CPR techniques and maintain certification.

- First Aid
 - Employees working in PLB funded projects are trained in proper first aid techniques and maintain certification.

- Employment Services Certification
 - Agency employees working in Supported Employment Projects must maintain a current Employment Services Certification. Employees must complete a minimum of four hours of approved training each calendar year to maintain their certification. Documentation will be available for PLB staff review.

- Administration of medications
 - Employees working in PLB funded projects must pass and maintain medication aide certification, curriculum must be taught by an approved instructor, a licensed nurse (RN) in the state of MO who meets the qualifications as stated in rule 9 CSR 46-3.070 (10); curriculum must be the most recently revised edition of “Level 1 Medication Aide Curriculum”.

- Driver training (accident and breakdown procedures)
 - Employees working in PLB funded projects, who transport individuals, are trained in proper accident and breakdown procedures regarding the vehicle which they utilize. These accident and breakdown procedures may vary by agency.
 - Employees working in PLB funded projects, who transport individuals, obtain and maintain proper licensure (i.e.: license class).
 - Agency must provide proof each employee transporting individuals has current and appropriate insurance coverage.

- 16+ passenger vehicles (driver must complete a safe driving instructional class specific to the type of vehicle(s) operated)
 - Employees working in PLB funded projects, who transport individuals, are trained, obtain and maintain proper licensure (i.e.: license class) to operate a vehicle equipped to transport 16 or more passengers.

QUALITY ENHANCEMENT/SERVICE EXCELLENCE TIMELINE

1. If any QE/SE 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 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 QE/SE 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 QE/SE standards as indicated in plan of correction, the agency will receive official notification.
6. If the agency is unable to meet the PLB QE/SE standards **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.

PROJECT STANDARDS

Individual Eligibility
Individual Support Plan
Individual Progress Notes
Project Monthly Unit Summary
Sheltered Workshop Specific Standards
Summer Project Standards
QE/SE Standards Timeline

PROJECT STANDARDS

Individual Eligibility:

The PLB recognizes individuals to be eligible for PLB funded services and supports who reside in St. Louis County and have a qualifying disability as defined by statute.

Starting July 1, 2018 agencies may be asked to assist in the uploading of the proof of disability for all individuals who are not registered with the St. Louis Regional Office, Department of Mental Health. We expect to complete this process by October 1, 2018. Once all records are entered agencies will no longer be required to maintain proof of disability on file for PLB staff review. Disability verification will occur at the time of billing.

FOR INDIVIDUALS CURRENTLY BEING SERVED BY PLB

Agency will enter the individual's Social Security Number and Birthdate. If the individual has been served by the PLB their profile will appear.

If the individual is currently being served by your Agency, you may also use the Advanced Search function to search by Last Name, First Name, City or SSN.

FOR INDIVIDUALS NEW TO PLB

Agency will enter the individual's Social Security Number and Birthdate. If the individual is new to the PLB the "add record" will appear.

The following fields are required:

Social Security Number

Date of Birth

First Name

Last Name

Address

City

State

Zip Code

Press Edit/Verify to verify the address is in St. Louis County

Race

Gender

Currently Residence Type

Diagnosis

The agency may use the following forms of documentation to show individual eligibility:

- The St. Louis Regional Office (CIMOR Data Sheet) or
- Signed statement of disability from a physician or Nurse Practitioner or
- Signed statement of disability from a psychologist or
- Signed Autism assessment completed by an LCSW identifying tests administered and diagnosis or
- A Vocational Rehabilitation Eligibility Determination document.

Individual Eligibility (continued):

The above documents must state one of the following diagnosis:

Autism,
Epilepsy,
Cerebral Palsy,
Intellectual Disability (previously Mental Retardation)

If diagnosis is anything other than the 4 listed above, then the agency must provide documentation of substantial functional limitations in 2 or more major life areas:

Capacity for Independence,
Receptive and Expressive Language,
Learning, Self-Direction,
Self-Care or
Mobility

OR

For children under the age of 17, an agency may use the Individual Education Plan (IEP), which must include diagnosis of disability. The agency is required to update proof of disability every three years (when the triennial evaluation expires as stated on the IEP) if using the IEP for individuals under the age of 17.

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 205.97

Individual Eligibility (continued):

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.

PROJECT STANDARDS

Individual Eligibility (continued):

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.

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

RESIDENCY

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; or
2. That orderly administration of a PLB-sponsored or assisted program would require equal assistance to such person.

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

* Revised Missouri Statutes

Individual Support Plan (ISP)

Each person has a choice to live, work, learn and participate in their community. PLB funded services must be delivered based on individual needs and choices as identified in the Individual Support Plan. Services will be designed to support the individual in acquiring and maintaining skills that develop independence and will assist them with being active community members.

To ensure individuals gain skills for independence, each service must maintain an ISP that builds upon the individual's capacity to engage in home and community living and recognizes the individual's strengths, abilities, goals, preferences, choices, needs and desired outcomes. Individual Support Plans are unique to each individual and clearly reflects the individual's expectations. This process involves families, friends, and professionals as desired or requested by the individual.

The Individual Support Plan must document the following elements:

1. Name of the individual;
2. Date the plan was written or updated (amended). Plans must be updated at least annually or as support needs change;
3. Identifies the support needs of the individual served in the project, including health and safety supports;
4. Identifies the level (i.e. individual, group, etc.) of support to be provided;
5. Documents the intensity (i.e. daily, weekly, monthly) of the supports provided;
6. Identifies how to best support the individual to achieve their goals (i.e. how individual's support needs will be addressed by staff);
7. The PLB project must directly relate to the PLB Service Area Definition and Outcomes
8. The services are provided as defined in the application for funding;
9. Goals must be clear, individualized and measurable;
 - Goals state exactly what is expected.
 - Goals include a measurement to determine if the goal is achieved.
 - Goals are clear, specific and understandable to the individual and support staff.
 - Goals are attainable, realistic and can be achieved in a specific time frame.
 - Goals are relevant and targeted to the individual's stated needs.
 - Goals are written to promote the acquisition of skills to increase independence and fading of staff supports.
10. Goals have a clearly defined timeline and includes the anticipated, targeted end date;

Individual Support Plan (ISP) (Continued)

11. Documents how progress will be measured.

- States the method which will be used to measure/determine when a goal should be increased, decreased or is met.

12. Identifies the involvement of the individual and their family, as well as, all the individuals who contributed to the development of the plan with signatures and dates. If an individual has a guardian, the guardian's signature is required.

When applicable, the PLB encourages all agencies to participate with the individuals in the individual planning process through the St. Louis Regional Office and to access and utilize those plans in the agency's service planning for each of the PLB funded individuals. The agency is expected to maintain a person-centered approach to all services/supports.

Individual Progress Notes:

Individual progress notes must document progress toward achieving the outcomes/goals previously stated in the Individual Support Plan. Progress notes are a factual account, including:

- 1) The measurable progress of the individual, and
- 2) Time/units of service spent supporting the individual to attain goals (per PLB Funding Manual - Unit of Service definition).

Progress notes must be legible and the information must be clear to others who read the document. The information contained in the Progress Notes become legal documents maintained in the individual's file. Documentation of Staff Time is required. It does not have to be included on the progress note if the agency maintains this information in another format (i.e.: Staff Time Sheets). Ensure all documents have signatures and dates of all involved.

The Individual Progress Notes must include the following elements:

1. Name of the individual;
2. Date of service, time in and out;
3. Includes units of service billed to the PLB;
4. Verifies staff time worked*;
5. Written after each service/support is provided;
6. Provides a detailed description of the individuals activities and how the individual was supported in making progress or movement towards the outcomes/goals listed in the individuals ISP;
7. Notes must document activities that are goal oriented and relevant. Restroom breaks, for example, would not be included unless the activities involved are part of the outcomes/goals listed in the individuals ISP;
8. Documentation must demonstrate and accurately reflect that units billed/time spent with the individual is directly supporting the individual to attain goals;
9. The documentation matches the service definition and application for funding;
10. Signed by individual for all individual support;
11. Sign in sheets/attendance forms for the individuals attending group programs;
12. Signed and dated by staff;
13. Signed and dated by supervisor;

PLB may recover payment for services when the provider has incomplete and/or missing documentation or progress notes do not meet PLB QE/SE Standards.

***Staff time sheets may be requested to meet these elements.**

PROJECT STANDARDS

Project Monthly Unit Summary:

The Project Monthly Unit Summary outlines a month of services and/or supports provided to individuals within one project. The supervisor should be comparing the Project Monthly Unit Summary to the individual progress notes and ensuring *what is billed to the PLB is accurate.

The Project Monthly Unit Summary must include the following elements:

1. List all individuals receiving services during the month (preferably in alphabetical order);
2. List total billable units of service provided, by individual, by day and/or week of service;
3. Total the billable units of service provided, by individual, for the month;
4. Signed and dated by the person preparing the document; and
5. Signed and dated by the supervisor to verify accuracy.

*The PLB Monthly Invoice summarizes a month of billable services and/or supports provided to individuals within one project. Individuals are listed individually with totals of billable units provided for the month.

The agency must reconcile billable staff time with units billed to the PLB.

PROJECT STANDARDS – Specific Service Area Standards

While most of the PLB standards are the same for all funded projects, there are some differences with Sheltered Workshop funding and with summer projects.

Sheltered Workshop Specific Standards

In addition to the eligibility requirements specified in the PLB Funding Manual, the agency must demonstrate that the individual is certified by Department of Elementary and Secondary Education as eligible for workshop employment.

Summer Project Specific Standards

In addition to the Project standards, summer project standards include the review of Summer Staff Competencies and Employee training. See Attachment C: Project Self-Assessment Checklist – Summer Projects.

QUALITY ENHANCEMENT/SERVICE EXCELLENCE TIMELINE

1. If any QE/SE 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 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.
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5. If the agency does not meet the PLB QE/SE standards as indicated in plan of correction, the agency will receive official notification.
6. If the agency is unable to meet the PLB QE/SE standards **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.

OUTCOME MEASUREMENTS

PLB Outcome Measurements will not be completed in FY'20

ADDITIONAL PLB PRACTICES

Project Observations
Technical Assistance
Financial Audits and Supports

ADDITIONAL PLB PRACTICES

Project Observations:

The Productive Living Board has the responsibility to assure St. Louis County citizens that PLB funded agencies are providing services that meet the individual needs and goals of individuals. One way to help assure that services are provided as defined in their applications is for PLB staff to complete project observations.

PLB Staff complete project observations and meet with individuals, project directors and direct support staff to gain further understanding of services provided within funded projects.

It is the agency's responsibility to obtain the individual's permission for the observation when necessary, prior to PLB staff coming. The intent is for observations to occur in the most natural setting with as little disruption as possible.

Project Observations are completed to review the following:

- Services are provided meeting the individual needs of individuals.
- Services are provided that relate to the individual's individual goals/outcomes.
- Services are provided as outlined in the funding application and in line with the service agreement.
- Services take place in the most inclusive environment.
- The health and safety of each individual is taken into account.
- Individual satisfaction

Technical Assistance:

Technical assistance is provided to support agencies in the enhancement and enrichment of services and supports for persons with developmental disabilities.

This may include, but is not limited to:

- Quality Enhancement/Service Excellence
- Information pertaining to various training resources
- Identify best practice resources
- Policy and Procedures
- Project enhancement
- Issues identified regarding PLB policies, QE/SE Standards, conditions, etc.

Financial Audits and Support:

Details can be found in the PLB Funding Manual.

INDIVIDUAL SATISFACTION

Individual Satisfaction Purpose and Requirement

INDIVIDUAL SATISFACTION

Individual Satisfaction Purpose and Requirement:

In an effort to improve program quality and increase service excellence, the Productive Living Board (PLB) asks that individuals/families receiving PLB funded services complete an annual survey. Once the individual/family completes the survey, it is returned to the PLB and a summary is created, the report is then provided to the agencies.

- Agency staff and PLB may meet to discuss the results of the Annual Survey.



Partners in Quality Enhancement and Service Excellence

