

SUPPORTS BROKER POLICY MANUAL

For Supports Brokers Operating within the Office of Developmental Programs, Pennsylvania's Department of Human Services

June 2016



Institute on Disabilities



Project of the Institute on Disabilities at Temple University in Collaboration with Values into Action-PA.

Funding for this project is provided through a grant from the Pennsylvania Developmental Disabilities Council

Copyright © 2016 Institute on Disabilities at Temple University and Pennsylvania Developmental Disabilities Council. Permission to reprint, copy and distribute this work is granted provided that it is reproduced as a whole, distributed at no more than actual cost, and displays this copyright notice. Any other reproduction is strictly prohibited.

CONTENTS

Acknowledgements.....	3
Guiding Principles of Person-Driven Services	4
Role of the Supports Broker	6
Supports Broker Job Description.....	7
Summary of Position Duties and Responsibilities:	7
Who Can be a Supports Broker?	10
Qualifications.....	10
Office of Developmental Programs' Limitations on Supports Broker Service.....	12
Supports Brokering and Supports Coordination Role and Responsibilities.....	14
Duties and Responsibilities by Role in Participant-Directed Services	16
Performance Standards	24
A. Standards: Building an Individual/Supports Broker Relationship.....	24
B. Standards: Individual Goals and Plans	24
C. Standards: Support with Decision-making and Problem-Solving.....	24
D. Employer-Related and Fiscal Responsibilities	25
E. Assessing Quality	25
Appendix A: Needs Assessment for Broker Services	26
Appendix B: Matching Tool for Broker Selection	28
Appendix C: Supports Broker Checklist for Getting Started with a New Person	30

ACKNOWLEDGEMENTS

Thanks and gratitude to the people and their families who were courageous enough to participate in the Person-Driven Services and Supports Demonstration, and in doing so, pave the way for others to determine courses of their own. Without them, neither this manual, nor the growth of self-directed services in Pennsylvania, would be possible.

We would also like to thank the Dane County Department of Human Services and The Dane County Supports Broker Coalition who granted us permission to use their publication *Quality Standards for Supports Brokers* (February 2006) in creating this manual. Some sections and much of the framework of this manual are taken directly from their work.

This policy manual was made possible by the collaborative expertise and contributions of the following people who share a commitment to the self-determination of all people:

- Kristin Ahrens, M. Ed, Institute on Disabilities, Temple University
- Marian Frattarola-Saulino, CEO, Values into Action – PA
- Javier G. Salazar, Supports Broker, Values into Action – PA

GUIDING PRINCIPLES OF PERSON-DRIVEN SERVICES¹

Choice and Control

People have the right to choose what they will do with their lives. When people need help, friends and family can be most effective in assisting them to broaden their experiences and to exercise their right to make their own choices.

Everyday Lives

Everyday Lives means that people with disabilities can live, work, play, and worship in their communities to have lives just like everyone else. The fundamental concept of Everyday Lives is that, with the support of family and friends, individuals with disabilities decide how to live their lives and what supports they need. It also means that they are responsible for their decisions and actions. Everyday Lives is the driving philosophy for the Office of Developmental Programs.

Dignity and Respect

All people have the right to be treated with dignity and to be respected as a whole person. All people have the right to “the dignity of risk.” Many of our greatest lessons are learned when we make choices that we later realize were mistakes. The network of support makes risk possible by providing safety and supporting growth.

Relationships

It is essential that relationships are maintained and expanded. Paid services can isolate people. Relationships provide everyone with strength, support and security. The development of new relationships is crucial.

Giving and Community

Everyone has the ability to give to his or her community in a meaningful way. When we give of ourselves, we feel a sense of belonging. Community membership includes having your own home, a job, being involved in your community, and making a difference in the lives of others.

Dreaming and Planning

All people have hopes and dreams for the future as well as goals they want to achieve. A supportive team helps people identify these dreams, then creates a plan to prioritize and realize these dreams.

¹ Many of the below principles were adapted from The Yellow Book - Implementing Choice 2nd Edition, Dane County Department of Human Services-Adult Community Services Division-Developmental Disabilities Unit, 1202 Northport Drive, Madison WI 53704 608-242-6200 (12-18-03).

Fiscal Responsibility

When there is control over how funds get spent, there is also responsibility to live within a budget. There is a financial obligation to those waiting for services as well as others needing government funding. Making things happen does not always require money. To find the best quality for the most reasonable price, people are able to purchase supports in and out of the service system.

The Role of Professionals

Professionals become partners with the people who hire them. They assist people in understanding what their choices are and realizing their dreams.

Choice Has Limits

Public funds will not be used to support choices that are illegal or harmful to the person or others.

Self-Determination is Not Abandonment

Self-determination is not an excuse for abandoning someone in an unsafe situation on the grounds that he or she “chose” it. There are limits to the level of risk society will allow people to take with their own lives and physical well being. It is not acceptable to offer a “choice” of either excessive restrictions or no support at all. Self-determination means becoming more creative in helping people find ways to learn about decision-making and managing their actions.

Responsiveness

People with disabilities often rely on support through human services systems for everyday activities. People with disabilities should not have aspects of their lives on hold while waiting for people to enact agreed upon activities. When people ask for support, professionals should respond quickly, with the same timeliness they would expect from others.

Whatever It Takes

An answer of “No, we can’t” is replaced by “How can we make this happen?” There is a commitment to help people determine their dreams, respect their dreams, and help their dreams come true.

ROLE OF THE SUPPORTS BROKER

Objective of the Service

Supports Brokers provide the needed support for people to successfully direct their own services and have lives rich in community involvement.

Obligations to the Person

Supports Brokers are obligated to act, first and foremost, as an ally and advocate for the person and perform the duties, as assigned, in the job description or contract. A Supports Broker is, further obligated to have the expertise and knowledge to perform the duties assigned by the person and to communicate effectively with other people involved in the person's life.

Obligations to the Person's Family and Friends

Supports Brokers are obligated to act, first and foremost, as an ally and advocate for the person and perform the duties, as assigned, in the job description or contract. This obligation often includes regular communication with and occasional facilitation of meetings with family and friends.

Obligations to Supports Coordination, Administrative Entities

Supports Brokers are obligated to perform the duties as outlined in the job description or contract in compliance with rules and regulations. Supports Brokers should communicate, at the direction of the person, with Supports Coordination, Financial Management Services and Administrative Entities to ensure that the person receives the necessary support to self-direct services and live a life rich in community involvement.

SUPPORTS BROKER JOB DESCRIPTION

This position supports people to direct their own services through the provision of support broker services to people with intellectual disabilities who are authorized to use Pennsylvania's Participant Directed Services. The Support Broker provides information; guidance and technical assistance to the individual so that s/he can access, organize and utilize opportunities, resources and services necessary to live a self-determined life. Services are designed to provide assistance as needed with employer-related functions, planning, accessing community resources and service and support continuity and maintenance.

The role of the Support Broker is uniquely defined by the individual utilizing the brokering service. The Support Broker's responsibilities vary depending on the choice and preferences of each individual participant, who are acting as an employer of record or managing employer. Additionally, the intensity of support provided may range from teaching skills to performing a task for the individual. The individual and/or her or his surrogate select who they will work with as a Support Broker and will determine Support Broker duties and scope of work. The individual participants and/or their surrogates make their own decisions and cannot be forced or expected to accept Support Broker recommendations. The Support Broker is not a surrogate decision-maker.

SUMMARY OF POSITION DUTIES AND RESPONSIBILITIES:

Promoting best practices in employee recruitment and management:

- Providing explanation and assistance in completing employer or managing employer related paperwork and in understanding and fulfilling the responsibilities outlined in the Common Law Employer or Managing Employer Agreement forms.
- Assist the individual in developing effective recruiting, interviewing, hiring, and scheduling, supervising and payroll practices.
- Participate in Financial Management Service's (FMS) orientation and other necessary trainings and interactions.
- Help to determine worker pay rates, based on funding and budget availability.
- Help to arrange and/or provide training for the workers.
- Facilitate detailed training and education on human resource standards, basic problem solving and conflict resolution.
- Provide information on workplace safety and assist with developing and implementing strategies for effective management of workplace injury prevention.
- Assist with management of workers and in completing performance reviews on a regular basis.
- Work with the individual to develop appropriate procedures for managing worker performance and if needed, separating with workers and/or communicating with the FMS organization regarding the need or desire to remove workers from the individual's team

Ensuring civil and personal rights:

- Assist the person in realizing her/his full civil rights as a participating member of her/his community and as a citizen of the United States.
- Promote the health, rights and safety of the individual.
- Maintain confidentiality regarding all communication and information related to the participant, employees and other people involved with the individual's services.
- Demonstrate an understanding of the Pennsylvania Home and Community Based Waiver Services, including the Participant Directed option and all applicable policies and procedures.
- Immediately report alleged, observed or suspected abuse and/or neglect.
- Provide information on the Pennsylvania Office of Developmental Programs' Incident Management process.

Working as an effective member of the team:

- Assist the individual in identifying and sustaining an effective personal support network of family, friends and paid supporters which may include facilitating regular "Circle of Support" meetings
- Use effective communication skills to benefit the person, specifically as it relates to interaction with the informal, unpaid resources and networks in the community as well as the Financial Management Service, Administrative Entity, Supports Coordination Organization, and the Office of Developmental Programs (ODP).
- Maintain monthly contact with the individual and maintain a Contact Log, documenting all activities, conversations or assistance provided.
- Maintain regular contact with the Support Coordinator, as per the individual's preferences.

Partnering to ensure the best possible planning:

- Using person-centered planning techniques and approaches, coordinate formal and informal supports.
- Assist the individual with planning prior to and during the Individual Support Plan process and other meetings to ensure access to community resources and formal paid services.
- Assisting the individual in identifying and communicating proposed modifications to the Individual Support Plan.
- Assist the person with arranging for and effectively using generic community resources and informal supports this may include use of community mapping strategies.
- Provide technical assistance with developing, implementing and modifying a back-up plan for services, staffing for emergencies and/or worker absences.

Ensuring the best possible use of public funding:

- Provide education and guidance with person centered thinking, planning and action; risks and responsibilities of directing one's own services; rights; community resources and developing and sustaining a natural support system.

- Assist with ensuring that efforts and resources are directed at and supporting the person to accomplish his or her desired outcomes.
- Assist with managing, monitoring and reviewing services utilized and funding, including budgeting and review and evaluation of monthly expenditure reports.
- Assist with completing and submitting all required documentation and with complying with the standards, regulations, policies and waiver requirements related to Participant Direction.

WHO CAN BE A SUPPORTS BROKER?

QUALIFICATIONS

ODP requires that people who provide Supports Broker services meet these minimum qualifications:

1. Be a legal resident of Pennsylvania or a state contiguous to Pennsylvania with supporting documentation.
2. Have a waiver service location in Pennsylvania or a state contiguous to Pennsylvania.
3. Have a signed ODP Provider Agreement on file with ODP (for an individual who is not Support Service Worker).
4. Complete standard ODP required orientation and training.
5. Be at least 18 years of age.
6. Complete necessary pre/in-service training based on the participant's ISP.
7. Agree to carry out the Supports Broker responsibilities based on the ISP.
8. Have criminal clearances as per 35 P.S. §10225.101 et seq. and 6 Pa. Code Chapter 15.
9. Have child abuse clearance (when the Waiver participant is under age 18) as per 23 Pa. C.S. Chapter 63.
10. Have automobile insurance for all vehicles owned, leased, and/or hired and used as a component of the Supports Broker Service.
11. Have a valid driver's license if the operation of a vehicle is necessary to provide Supports Broker Services.
12. Have Workers' Compensation Insurance, in accordance with state statute or in accordance with ODP FMS policies.
13. Have one of the following:
 - a. Received training in basic employment law (this training should include the following topical areas: discrimination law, wage and hour law, confidentiality and workplace safety),
 - b. One year of experience working in human resources (this should include experience recruiting, screening, interviewing and managing employees),
 - c. One year of experience in a management position with human resource responsibilities, OR
 - d. A certificate or degree in human resources from an accredited post-secondary academic institution.
14. Have received training on the principles of self-determination.
15. Have received training on participant directed services.
16. Have received training on person centered thinking if assisting in planning meetings.
17. Be trained to meet the unique needs of the participant which includes but is not limited to communication, mobility and behavioral needs.
18. Comply with 55 Pa. Code Chapter 51 "Office of Developmental Programs Home and Community-Based Services" and other Department standards related to provider qualifications.

Agencies providing Supports Broker services are bound to this conflict of interest policy:

- The Supports Broker provider may not provide other direct or indirect waiver services or base funded ID services when authorized to provide Support Broker services to the waiver individual.
- Supports Broker providers may not provide administrative services such as Health Care Quality Unit (HCQU), Administrative Entity (AE) functions or Individual Monitoring for Quality (IM4Q) Program.

OFFICE OF DEVELOPMENTAL PROGRAMS' LIMITATIONS ON SUPPORTS BROKER SERVICE

This service is limited to a maximum of 1040 (15-minute) units per individual per fiscal year based on a 52-week year (260 hours which is an average of 5 hours per week). This service is limited to individuals who are self-directing their services through an Agency With Choice (AWC) or Vendor Fiscal/Employer Agent (VF/EA) Financial Management Service (FMS).

This service cannot duplicate Supports Coordination services and is limited to the following duties:

- Explaining and providing support in completing employer-or managing employer related paperwork.
- Participating in FMS orientation and other necessary trainings and interactions with the FMS provider.
- Developing effective recruiting and hiring techniques.
- Determining pay rates for workers.
- Providing or arranging for worker training.
- Developing worker schedules.
- Developing, implementing and modifying a back-up plan for services, staffing for emergencies and/or worker absences.
- Scheduling paid and unpaid supports.
- Developing effective management and supervision techniques such as conflict resolution.
- Developing proper procedures for termination of workers in the VF/EA FMS option or communication with the Agency with Choice regarding the desire for removal of the workers from working with the individual in the AWC FMS option.
- Reviewing of workplace safety issues and strategies for effective management of workplace injury prevention.
- Assisting the individual or their designated surrogate in understanding and/or fulfilling the responsibilities outlined in the Common Law Employer Agreement form and the Managing Employer Agreement form
- Facilitating a support group that helps to meet the individual's self-direction needs. These support groups are separate and apart from the Individual Support Plan (ISP) team meetings arranged and facilitated by the Supports Coordinator (SC).
- Expanding and coordinating informal, unpaid resources and networks within the community to support success with individual direction.
- Identifying areas of support that will promote success with self-direction and independence and share the information with the team and SC for inclusion in the ISPs.
- Identifying and communicating any proposed modifications to the individual's ISP.
- Advising and assisting with the development of procedures to monitor expenditures and utilization of services.

- Complying with the standards, regulations, policies and the waiver requirements related to self-direction.
- Advising in problem-solving, decision-making, and achieving desired personal and assessed outcomes related to the individual directed services.
- When applicable, securing a new surrogate and responding to notices for corrective action from the FMS, SC, AE or ODP.
- All functions performed by a Supports Broker must be related to the personal and assessed outcomes related to the individual directed services in the ISP.

SUPPORTS BROKERING AND SUPPORTS COORDINATION ROLE AND RESPONSIBILITIES

Aspect	Supports Brokering	Supports Coordination (SC)
Selection	The Supports Broker is selected by the person using services and works solely for that person, and is obligated to carry out his or her wishes.	The Supports Coordination Organization (SCO) is selected by the person receiving services, but the person does not select the specific SC. The SCO assigns a SC. The person receiving services may request a specific Support Coordinator but this is not guaranteed.
Accountability	The Supports Broker works for the person. The Supports Broker does not have a conflict of interest, as s/he does not represent a service provider or the payer of services and does not provide other direct services.	The Supports Coordinator is assigned to people and works for the SCO.
Scope of Services	<p>Supports Brokering can only be provided to people who self-direct their services and supports and is limited in scope to assisting people with activities related to self-direction.</p> <p>The Support Broker can help a person with employer-related duties, enhancing informal/natural supports and following program rules.</p>	<p>The Supports Coordinator's main role is to assist the person in locating, coordinating and monitoring formal services. This is largely focused on traditional services and resources, not informal resources.</p> <p>The Supports Coordinator also provides information to people and their families about self-directing their services; however, they do not assist with the activities related to self-direction.</p>
		Supports Coordination is a critical service that involves the primary functions of:

Aspect	Supports Brokering	Supports Coordination (SC)
		<ul style="list-style-type: none"> - Facilitating and writing the Individual Service Plan (ISP) locating, - Coordinating, and monitoring needed services and supports for waiver participants. - Including assistance in linking, arranging for, and obtaining services specified in ISP and to services such as Supports Brokering.
Relevance to Individual Support Plan (ISP)	All functions of the Supports Broker must be related to the person self-directing and outcomes identified in the ISP.	The Supports Coordinator is responsible for the facilitation of and creation of the ISP in Home Community Services Information System (HCSIS) as well as monitoring implementation and updating the ISP as needed.
Collaboration	Supports Brokers must work collaboratively with the Supports Coordinator and team and may not replace the role of, or perform the functions of a Supports Coordinator.	The role of the Supports Coordinator is to coordinate, locate and monitor services related to the health and welfare of people accepting waiver funding, as well as to ensure people are receiving all services (traditional and/or self-directed) in the ISP, according to the frequency and manner outlined in the Waivers and the Administrative Entity (AE) Operating Agreement. As such, the Supports Coordinator collaborates with a broad range of people involved in the services system including AEs and providers.

DUTIES AND RESPONSIBILITIES BY ROLE IN PARTICIPANT-DIRECTED SERVICES

	Participant	Supports Coordinator (SC)	Financial Management Services (FMS)	Supports Broker
Definition	<p>The person who receives waiver or base-funded services</p> <p>Person must live in a private residence to use PDS</p>	<p>A paid professional assigned by an SCO who is responsible for locating, coordinating, and monitoring supports and services with and for the participant</p>	<p>A provider or organization that provides administrative services that supports some identified employer functions. Primarily a Financial Management Service processes payroll and vendor payments and performs some employer functions on behalf of a participant or surrogate (representative).</p>	<p>A paid professional who assists people with the participant-directed areas of their support plans. This may be support with employer-related duties and/or enhancement of natural supports</p>
Planning	<p>Participant (can be with assistance of a surrogate) is responsible to be an active member in planning for his/her future including participating in team meetings/decision-making. Participant should communicate what is and is not</p>	<p>The Supports Coordinator is responsible for the facilitation of and creation of the ISP in Home Community Services Information System (HCSIS) as well as monitoring implementation and updating the ISP as needed. This includes writing and budgeting for</p>	<p>None</p>	<p>May assist a person with facilitation of a circle of support and other person-centered approaches to enhancing natural, generic and informal supports. The Supports Broker is responsible to communicate with the</p>

	Participant	Supports Coordinator (SC)	Financial Management Services (FMS)	Supports Broker
	working with plan(s).	the participant-directed sections of the ISP.		SC about needed changes in the ISP and progress toward outcomes related to self-direction.
Budgeting	<p>Participant and/or surrogate is responsible for understanding what services are in the ISP and how much of the services are available.</p> <p>Deciding the wages that workers should be paid.</p> <p>Reviewing monthly statements from FMS for accuracy and management of budget</p> <p>Participant is responsible for staying within the limits of services that are approved on the ISP</p>	<p>SC writes the ISP which includes the “Services and Supports” section in which each service is outlined including how much of the service is authorized and how much each service costs.</p> <p>SC is responsible for submitting revisions to the plan if the person’s needs change. This may include re-budgeting.</p>	<p>FMS are provided with the authorizations for each service.</p> <p>The FMS is responsible to ensure that they are paying workers and vendors the approved wages/amounts for the approved services.</p> <p>The FMS is responsible to provide the participant with a monthly statement for how of each service was used and the remaining balances.</p>	<p>The Supports Broker may assist a participant/surrogate with establishing wages for workers, understanding the budget for the person’s participant-directed services, understanding statements and correspondence from the FMS, making decisions about service usage to ensure that the person is not over or underutilizing services outlined in the ISP.</p>

	Participant	Supports Coordinator (SC)	Financial Management Services (FMS)	Supports Broker
Recruiting	Participant/surrogate is responsible to find SSWs to perform duties outlined in ISP	None	In AWC the participant or surrogate can recruit and interview Support Service Workers and refer prospective Support Service Workers to the Financial Management Service for assignment back to the participant or select Support Service Workers referred to them by the Financial Management Service. VF/EA has no responsibility to assist with recruitment of SSW.	The Supports Broker can assist the participant to recruit SSWs by writing and placing ads, networking, etc.
Hiring	The participant decides who is hired for each approved service. If using VF/EA participant/surrogate is responsible to ensure all qualified Support Service Workers who provide waiver services meet applicable provider	None	Participant or surrogate (representative) can recruit and interview Support Service Workers and refer prospective Support Service Workers to the AWC for assignment back to the participant or select Support Service Workers referred to them by the	The Broker may assist the participant/surrogate with interviewing, determining which applicant is most suitable for the job, reference checks, and collecting all necessary paperwork

	Participant	Supports Coordinator (SC)	Financial Management Services (FMS)	Supports Broker
	<p>qualification criteria; the Financial Management Service assists with this function as necessary and maintains documentation of qualification.</p> <p>In VF/EA the participant literally hires the SSWs because the participant is a Common Law Employer</p>		<p>AWC. The AWC and participant or surrogate (representative) are joint-employers of Support Service Workers; the AWC is the legal employer for human resources, payroll and quality assurance purposes; the participant or surrogate (representative) is the Managing Employer. With AWC the AWC ensures that the SSWs the person refers for hire meet the applicable provider qualification criteria for providing Waiver services, which includes conducting the required background checks. If the SSW meets all qualifications, the AWC hires the person to work for the participant.</p> <p>In VF/EA the VF/EA processes all employee paperwork submitted by the participant who is the Common Law Employer. The VF/EA conducts background checks and collects all</p>	<p>to ensure that the SSW meets the qualifications for the position.</p>

	Participant	Supports Coordinator (SC)	Financial Management Services (FMS)	Supports Broker
			documentation that the SSW meets the applicable qualifications for the position.	
Managing Workers	<p>Responsible for providing clear and reasonable expectations per SSW job description.</p> <p>Manage daily activities including worker schedules and ensure that they are performing the work in their job descriptions and following all applicable ODP rules.</p>	None	<p>The AWC is the employer of record and therefore responsible for overall management of the SSWs. The participant is the managing employer of the SSW's daily activities.</p> <p>VF/EA – no responsibility for managing workers. The VF/EA does provide documents with guidance for employers on how to manage their SSWs.</p>	The Broker is able to assist providing clear expectations, providing the source of supervision and complete performance reviews.
Training	Responsible for training SSWs	Document training needs in ISP	<p><u>AWC</u></p> <p><i>For Managing Employer:</i> Responsible for providing training to the managing employer about the responsibilities of the role.</p>	Broker may provide training to managing employer and common law employers to help them successfully self-direct services. The broker may also

	Participant	Supports Coordinator (SC)	Financial Management Services (FMS)	Supports Broker
			<p>For SSWs: AWC is responsible for a certain level of training (may include First Aid/CPR, Incident and abuse reporting, other required ODP training)</p> <p><u>VF/EA</u></p> <p>For Common Law Employer: Responsible for providing training to the common law employer about the responsibilities of the role.</p> <p>For SSWs: None</p>	assist a participant to locate training for SSWs or provide training to the SSWs.
Job Descriptions	Responsible for developing job descriptions in accordance with ISP outcomes and all and rules and regulations.	None	AWC – As the employer of record, the AWC is responsible for developing a job description that covers the general duties of all SSWs. The managing employer/participant is responsible for adding specific duties related to his	The Broker is able to assist with developing, revising and evaluating SSW job descriptions.

	Participant	Supports Coordinator (SC)	Financial Management Services (FMS)	Supports Broker
			or her ISP. VF/EA – none	
Payroll	Responsible for ensuring accurate record and submission of hours worked. Responsible for ensuring required documentation is completed	None	Review payroll documentation submitted by participant/surrogate. Ensure that proper billing codes are used and that the time and service submitted was authorized in the ISP. Process all payroll including paying all local, state and federal taxes, unemployment and workers compensation costs.	The Broker can assist the participant with submission of timesheets and documentation.
Support Network	Actively participates in building a support network, if desired	Can be a part of an informal support network. Responsible for convening the ISP team (which is a more formal support network)	AWC – can be an active member VF/EA - none	Guides the person in building and sustaining network of paid and unpaid people. Can facilitate formal or informal meetings or activities to build or maintain a network.

	Participant	Supports Coordinator (SC)	Financial Management Services (FMS)	Supports Broker
Maintenance and Monitoring	Provides input and feedback	Monitors for outcomes ISP and regulatory standards	AWC – on-going regarding SSW and administrative requirements V/FA – fiscal only	Assists as needed related to the self-directed services.

PERFORMANCE STANDARDS

A. STANDARDS: BUILDING AN INDIVIDUAL/SUPPORTS BROKER RELATIONSHIP

1. Through an interviewing process, the Supports Broker is chosen by an individual to help her/him make plans, and to coordinate resources on her/his behalf.
2. Through an assessment process, the person is clear on the role of a broker and has communicated the support that he or she needs from the broker to successfully self-direct.
3. The Supports Broker gets to know each person through visits with the person in his/her environments, and learns about the person preferences and interests.
4. Demonstrating responsiveness, the Supports Broker is prompt in returning telephone calls, texts and email messages. Every attempt should be made to respond within 24 hours of receiving the message.

B. STANDARDS: INDIVIDUAL GOALS AND PLANS

1. The Supports Broker clearly understands the person's desired outcomes and helps the person arrange resources and supports to achieve those outcomes.
2. Through a person-centered process that involves creativity, community-mapping, understanding key relationships in the person's life and building natural supports, the Supports Broker assists the person to achieve his or her *outcomes without always relying on paid supports*. A Supports Broker's first instinct should be how can we support this activity through community, natural supports or technology, *not* "what service will support this need."
3. The Supports Broker looks holistically at the person's needs and desired outcomes and assists in acquiring, enhancing, coordinating and arranging those resources to meet the person's goals.
4. Employer-related support is provided to ensure quality staffing and efficient use of resources that help the person achieve his or her desired outcomes.
5. By understanding the ISP authorizations and reviewing the monthly statements, the Supports Broker assists the person/surrogate follow program rules and stay within the limits of the authorized services.

C. STANDARDS: SUPPORT WITH DECISION-MAKING AND PROBLEM-SOLVING

1. Through a person-centered approach the Supports Broker has a clear understanding of support needs a person may have related to decision-making and problem-solving. The Supports Broker actively guides and supports the individual to make decisions and solve problems.
2. Using approaches like circles of support or the 4+1 tool the Supports Broker actively supports a person with identifying and addressing problems.
3. The Supports Broker provides information about benefits and risks while helping the individual to assess options and consequences.

4. The Supports Broker advocates for the individual's decision, even if the Supports Broker personally disagrees.
5. The Supports Broker reports all incidents and suspected abuse, neglect, abandonment and exploitation.

D. EMPLOYER-RELATED AND FISCAL RESPONSIBILITIES

1. The Supports Broker has a working relationship with the Financial Management Service and clearly understands the expectations for documentation and payroll processing that the managing or common law employer must meet.
2. The Supports Broker understands the wage and rate structures and can advise the participant about their budget for services and the implications for changes in services, wages, or number of units authorized.
3. The Supports Broker remains mindful of potential financial conflicts of interest and financial exploitation.
4. The Supports Broker clearly understands where paid supports are needed and the frequency and duration of the authorized services and assists the person to recruit, hire and train qualified well-matched staff in a timely manner.
5. Through job descriptions, regular communication and good management practice, Support Service Workers are clear on the expectations for their duties and performance and the outcome(s) they are supporting the person to achieve.

E. ASSESSING QUALITY

1. The Supports Broker regularly asks these questions of the person/team and adjusts accordingly:
 - a. Is the person living the life he or she wants?
 - b. Is the support the person receiving helping him or her achieve his desired outcomes?
 - c. What are the SSWs doing that works? That doesn't work?
 - d. Are the SSWs a good match for the job?
 - e. Is the person satisfied with the services and supports being provided?
 - f. Are there any unmet needs?

APPENDIX A: NEEDS ASSESSMENT FOR BROKER SERVICES

Participant: _____ Date: _____

How challenging are each of these areas in managing your support staff? (Or how challenging do you think they *will be* if you are not yet directing your own services and supports?)

#	Area	No Challenge for Me	A Little Challenging	Very Challenging
1	Recruiting/finding good support staff	No Challenge for Me	A Little Challenging	Very Challenging
2	Screening and Interviewing support staff	No Challenge for Me	A Little Challenging	Very Challenging
3	Selecting staff	No Challenge for Me	A Little Challenging	Very Challenging
4	Hiring staff	No Challenge for Me	A Little Challenging	Very Challenging
5	Paperwork for self-directed supports	No Challenge for Me	A Little Challenging	Very Challenging
6	Managing employees	No Challenge for Me	A Little Challenging	Very Challenging
7	Timesheets/payroll	No Challenge for Me	A Little Challenging	Very Challenging
8	Scheduling workers	No Challenge for Me	A Little Challenging	Very Challenging
9	Reading statements from PPL or Agency With Choice	No Challenge for Me	A Little Challenging	Very Challenging
10	Budgeting my support plan and following my approved budget	No Challenge for Me	A Little Challenging	Very Challenging
11	Making sure I am following all of the rules for directing my own services	No Challenge for Me	A Little Challenging	Very Challenging
12	Training or finding training for staff	No Challenge for Me	A Little Challenging	Very Challenging
13	Developing a good back-up plan for services, staffing for emergencies and/or worker absences.	No Challenge for Me	A Little Challenging	Very Challenging
14	Other: (Please write in)	No Challenge for Me	A Little Challenging	Very Challenging

How challenging are each of these areas in being involved with and getting support from friends, family and/or your community?

#	Area	No Challenge for Me	A Little Challenging	Very Challenging
15	Asking for help/support	No Challenge for Me	A Little Challenging	Very Challenging
16	Communicating with friends, family and community members	No Challenge for Me	A Little Challenging	Very Challenging
17	Coordinating schedules with people	No Challenge for Me	A Little Challenging	Very Challenging
18	Knowing where and how to meet new people	No Challenge for Me	A Little Challenging	Very Challenging
19	Knowing how to get involved in new activities	No Challenge for Me	A Little Challenging	Very Challenging
20	Building relationships with new people	No Challenge for Me	A Little Challenging	Very Challenging
21	Getting people (either paid or unpaid people) to help me achieve my goals	No Challenge for Me	A Little Challenging	Very Challenging
22	Bringing people that care about me together to brainstorm and plan	No Challenge for Me	A Little Challenging	Very Challenging
23	Getting people I trust to help me with decision-making when I need it	No Challenge for Me	A Little Challenging	Very Challenging
24	Planning for my future or changes in my life	No Challenge for Me	A Little Challenging	Very Challenging
25	Other:	No Challenge for Me	A Little Challenging	Very Challenging

APPENDIX B: MATCHING TOOL FOR BROKER SELECTION

Support Needed and Wanted	Yes	Skills and Experience Needed	Desired/Needed Personality Traits (both your preferences for personality types and anything you think it will take to get the job done)
Recruiting/finding good support staff			
Screening and Interviewing support staff			
Selecting staff			
Hiring staff			
Paperwork for self-directed supports			
Managing employees			
Timesheets/payroll			
Scheduling workers			
Reading statements from PPL or Agency With Choice			
Budgeting my support plan and following my approved budget			
Making sure I am following all of the rules for directing my own services			
Training or finding training for staff			
Developing a good back-up plan			

Support Needed and Wanted		Skills and Experiences Needed	Desired/Needed Personality Traits
Coordinate formal and informal supports.			
Identifying and sustaining an effective personal support network of family, friends and paid supporters which may include facilitating regular "Circle of Support" meetings			
Figuring out how to and planning to expand connections and networks within the community to support success with participant direction			
Expanding and coordinating informal, unpaid resources and networks within the community to support success with participant direction			
Identifying areas of support that promote success with self-direction and independence and sharing with SC for inclusion in ISP			
Other: (Please write in)			

APPENDIX C: SUPPORTS BROKER CHECKLIST FOR GETTING STARTED WITH A NEW PERSON

#	Item	Checkbox
1	Ensure the person understands the full scope of work the broker can perform <i>[Suggestion: Use the assessment (Appendix A) tool with the person]</i>	
2	Review the ISP Outcomes and Service Details sections – Ensure you understand the scope of outcomes the person is working on and what you are authorized to support the person with (and start/end date and units authorized)	
3	Work with the person to develop a job description, contract and/or scope of work for your service. Clearly outline priorities, measurable objectives and timelines for your work.	
4	With the person's approval, meet with the Supports Coordinator, FMS and the AE to gain a full understanding of the history and status of services, learn about challenges and successes, identify potential obstacles to the person realizing their expressed wishes. This may be through an ISP team meeting or separately scheduled meetings.	
4	Work with the person to clarify expectations around communication including methods of communication and frequency of communication.	
5	Assess the depth of person-centered planning that has been done and determine your approach to planning with the person <ul style="list-style-type: none"> • Does s/he need a PATH, Essential Lifestyle Planning, or Future's Plan? • What will you need as the broker to help the person build an effective informal network of support – paid and unpaid? • Will circle meetings work for doing person-centered planning and building a support network? 	
6	Get a clear picture of the person's decision-making skills and needs. <ul style="list-style-type: none"> • Does the person need support for decision-making? • What is in place to support the person with decision-making? • If nothing is in place, what has been tried? • How will you work with the team to provide the needed support for decision-making? • What approaches will you take to ensure that the person is maximally involved in decision-making about his or her life? 	