

Quality
Standards
for Support
Brokers

*The Dane County Department of Human Services
and The Dane County Support Broker Coalition
Madison, Wisconsin*

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Preface

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Using principles of self-determination, the Dane County Department of Human Services provides long-term support to individuals with developmental disabilities. Since 1998, the County has put changes into place that have been both simple and monumental. In October, 1998, a document authored by the County, entitled "Forging a Partnership", described the evolution of a traditional service system to one of Self-Directed Supports:

"It is the intent of Dane County to support all adults and children with developmental disabilities within the fabric of our rich and varied communities. We believe we are most likely to achieve that goal by providing the necessary support to enable each person we serve to make their own choices. They and those who speak for and with them will determine how to obtain services they need within the funds we are able to make available to them. Paying for support in this manner will forge a partnership with the people we serve, and build upon the strengths and connections of each person with their families, neighbors, and fellow citizens."

With self-determination as the goal, Self-Directed Supports provide the tools an individual can use to build a life of her/his choosing. The tools of Self-Directed Supports include:

- Reserving a rate of funding for each individual based on her/his needs
- Hiring a Support Broker to help plan and coordinate resources
- Having the ability to choose and hire providers and authorize payments to providers

The principles that guide the service system in its provision of Self-Directed Supports are listed on the next two pages. These principles are not absolutes. However, they offer some additional guidance about how to provide advocacy and assistance for individuals as they become more experienced at making choices and taking control of their lives.

November, 2005

Guiding Principles of Self-Determination¹

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.

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.

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.

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. The choices must be available to all.

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.

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.

¹ 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). Available at http://www.co.dane.wi.us/humanservices/acs/implement_choice.pdf, Print copies available at no charge.

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Purpose of This Guide

The purpose of this guide is to document the shared understanding of Dane County Adult Community Services and the Support Broker Coalition of the current role and best practices for Support Brokers. Together, we expect to deliver a high quality of service to Dane County residents with developmental disabilities. We want to assure individuals who hire Support Brokers and others who care about them that all Support Brokers subscribe to quality standards that are endorsed by all Support Broker agencies. We will also continue to celebrate the individuality, passion, advocacy and skill that each Support Broker brings to her/his work – qualities that cannot be defined by standards. In addition, each Support Broker agency has policies and procedures that describe and guide the specific day-to-day work of its Brokers.

Dane County Adult Community Services and the Support Broker Coalition plan to update these standards as we learn more from individuals and others that have agreed to be on this journey of assisting individuals with disabilities to lead self-determined lives.

While this guide is intended primarily for Support Brokers, others may read it to better understand the work of Support Brokers and the standards for our work. This may include individuals who hire Support Brokers, funders, State and County staff and others. We believe that this will be a helpful outline of the best practices for Support Brokers.

Role of the Support Broker

Each individual with developmental disabilities who receives funding from the Dane County Human Services Department has the responsibility of hiring a Support Broker. Support Brokers assist individuals in planning, setting up support, assuring over time that goals are met, facilitating opportunities to have and make choices, and monitoring safety. A Support Broker can be a friend or family member, or a person who does this job professionally. Each Support Broker is affiliated with an agency that provides training and supervision. Although Support Brokers perform similar tasks for individuals who hire us, each agency has its own character and culture, which adds to the richness of choice in our service system.

Dane County has outlined the multifaceted role of the Support Broker in a paper entitled "Obligations of Being a Support Broker". The following information was adapted from "Understanding the obligations of supported living," a section of Assistance With Integrity, by John O'Brien and Connie Lyle O'Brien, Responsive Systems Associates, Lithonia, GA., 1993. It is written from the perspective of the Support Broker.

People with developmental disabilities need committed, capable allies if they are going to overcome the barriers imposed by widespread prejudice and discrimination. It is important for a Support Broker to be committed to becoming such an ally. Being someone's ally doesn't necessarily mean becoming a close friend or endorsing everything the person does or wants. From the point of view of the Support Broker, whose primary role is to help people obtain what they want, it means being willing to be involved in a constructive way in helping a person discover and move toward a desirable personal future.

Obligations to the Person

There are a variety of obligations Support Brokers accept in relation to the people we assist. We acknowledge that in order to assist individuals effectively, we must earn trust and the distinction of being an ally by:

- respecting the individuals who hire us
- listening carefully so that we can keep getting to know each person better
- learning with each individual about the kind, amount, and style of assistance needed to live successfully in her/his home and community
- learning with each individual about her/his interests and preferences and helping identify the kind of support that will offer a safe and reasonable basis for participation in community life
- working with the individual, and her/his family and friends, to identify ways to obtain the assistance needed
- recognizing the social, financial, and personal barriers to the kind of life each individual wants, and helping identify ways to overcome them
- understanding each person's vulnerabilities related to her/his disability and personal history, and carefully negotiating safeguards with each person to balance risk and safety in a responsible way
- using our knowledge and experience to help individuals be flexible and creative with all the resources available, and responding as her/his interests, preferences, and needs change
- keeping responsibilities clear so that, in every area in which we work together with individuals that hire us, all team members are aware of each other's contributions and responsibilities

- minimizing our intrusion into each individual's life by periodically checking to make sure we are not doing unnecessary things or doing necessary things in intrusive ways
- sticking with each person during difficult times
- learning from our mistakes
- following through on our commitments to the people who hire us and not making promises that we cannot keep

We recognize that social, legal, and service developments may open many new possibilities for people with developmental disabilities, and we accept responsibility to:

- provide current information to individuals who hire us
- invite and encourage each person to try new experiences
- invite and encourage each person to widen her/his circle of friends and contacts
- hold high expectations for the quality of each individual's life, and assist her/him in participating as a full citizen and community member
- stretch our own awareness of possibilities by actively seeking contacts with people involved in building up our communities, and with people who are developing more effective and practical ways to assist people with disabilities

We realize that team members may disagree with us or be dissatisfied with our assistance to the individuals who hire us, and we accept responsibility to:

- negotiate openly with each individual in search of mutually satisfying outcomes
- try new ways to assist, then check to see if the new approach has good results
- work hard to understand communication about the adequacy and acceptability of our assistance, especially when an individual more often communicates with behavior than words
- help each individual explore other sources of assistance, if she/he wants to do that

Obligations to the Person's Family and Friends

We acknowledge the importance of family and friends to the individuals we assist. We want to invite and encourage active support for a positive future for the people who hire us, and we do not in any way seek to replace family and friends in the person's life. We recognize that family and friends may disagree with us or be dissatisfied with the support we provide. Thus, we accept responsibility to:

- respond to concerns about the person's safety and well being
- negotiate openly in search of mutually satisfying outcomes

We realize that the individuals we assist and their family and friends may have different, perhaps even conflicting ideas about what is possible and desirable for the individual. In the event of these differences, we agree:

- to uphold the importance of mutually respectful relationships among family members
- to assist everyone involved to negotiate a satisfactory resolution to the conflict, if our help is acceptable to the person we assist and to involved family and friends
- that if the conflict is serious and we cannot resolve it, we will maintain respectful contact with all parties but honor the choice of the person we assist

To help each individual build the future she/he wants, we believe we must invite and assist others within our community to do what the human service system cannot do alone, which is to help people create satisfying lives and fulfilling community relationships.

Who Makes an Effective Support Broker?

The role of Support Broker is multifaceted and requires certain skills and personal characteristics. Every Support Broker grows and evolves in this role and may not initially possess all of these qualities and skills, but may work towards attaining them. The following list is a compilation of skills and traits originally authored in two separate documents by the Dane County Human Services Department, and by Ellen Cummings from the Center for Self-Determination.

A Support Broker is someone who has:

- Experience assisting individuals with disabilities
- The ability to develop close relationships with individuals who receive support and all of the people who are important in their lives
- Knowledge of how to lead
- The capacity to listen
- Negotiation skills and the ability to resolve conflicts
- Approachability
- Availability
- The ability to understand budgets and work within them
- Knowledge of the community and its resources through experience and being an active community member
- Commitment and the ability to uphold the concepts of self-determination
- The ability to assist people with disabilities, their guardians, and support team members in the evaluation of services and supports
- Organizational skills
- Skills in service coordination
- Skills in designing, organizing, and facilitating person-centered planning
- A clear vision of the role of Support Broker, and the ability to “check one’s ego at the door”
- Trustworthiness, creativity, flexibility, and responsiveness
- The ability to work in an environment of ambiguity

What do Support Brokers Do?

The Support Broker Coalition created a general job description that outlines the duties of all Support Brokers. In addition, each Support Broker agency provides a more detailed job description specific to that agency. Below is the general job description:

Support Broker Job Description

Purpose: To advocate for adults with developmental and other disabilities to lead a self-directed life. We believe people with disabilities deserve the opportunity to direct their own supports while maintaining or improving their quality of life in their homes and in their community.

Position Duties and Responsibilities: The following categories are an outline of the job duties expected of the Support Broker.

Planning: The Support Broker is expected to initiate the planning process with the person and her/his team. A Person Centered Plan must be completed annually, at a minimum. The team will determine the type of Person Centered Plan that will be used. The Support Broker is expected to be well informed on a variety of person-centered planning tools. The Support Broker will coordinate the planning meeting, help ensure all key people have input, and document the planning session. A written copy of the Person Centered Plan will be given to the person and all interested parties, including the person's Dane County manager. This plan must be reviewed a minimum of every 6 months.

Training: The Support Broker is expected to complete all mandatory Support Broker training offered by the Support Broker Coalition and Dane County. Support Brokers may be required to attend information sessions throughout the year as a means of gaining resources and learning more about Self-Directed Services.

Fiscal Responsibility: The Support Broker is charged with informing the person and/or guardian with the choices available in Self-Directed Services. To accomplish this, the Support Broker must be aware of the State and Federal funding programs, both for personal funds and support funds, and how this relates to county funding. In addition, a broker should understand how an individual may blend their personal funds, family resources and public funding to help an individual achieve their goals. Paperwork related to this job duty must be completed within the necessary timelines. Support Brokers negotiate with support providers within a person's rate. Advocacy with Dane County may be necessary if a person's support needs change.

- **Knowledge of Personal Funds.** It is expected that all Support Brokers will have a clear understanding of SSI and SSDI benefits along with the knowledge of who is eligible for SSI-E. There must also be an understanding of how MA is related to personal funds and knowing who is eligible and appropriate for the MAPP program. The Support Broker must also understand the representative payee responsibility and make ensure all representative payees have the knowledge to follow through with job duties accurately.
- **Knowledge of public funding.** It is expected that all Support Brokers will have a thorough understanding of how County, State and federal funds work together through the waiver program. Accurately completing the assessment for the waiver program is a necessity. It is just as important to accurately complete the IFP, narrative and agreement/voucher forms in order for Dane County funding to be paid to support providers. The Support Broker is expected to review their Dane County funding statement from Fiscal Assistance with each client/guardian every three months.

Communication: The Support Broker is expected to have a minimum of monthly contact with one person on each support team. A face to face visit with each individual is required a minimum of once every three months in a variety of settings. Person-directed exceptions can be written in the person's support plan. The County Manager will be informed of any crisis situations and/or any situational change that has occurred in a person's life.

Mandatory Reporting: Each Support Broker is required to be proficient in the Abuse and Neglect Policies provided by Dane County Human Services and the State of Wisconsin, and must follow this format for any suspected abuse and neglect situation.

Paperwork/Documentation: The Support Broker is responsible to complete a variety of paperwork for people to receive both Dane County Human Services and State of Wisconsin funding. This includes annual plans, fiscal paperwork, case notes, requests for adaptation modifications and DD system change form. All communication must be documented in a case note that details who the communication was with, what type of communication it was, what was discussed in detail, and how long the interaction was. The above protocol should also be used to document any administrative time spent.

Knowledge of Community Resources: The support Broker is expected to have an extensive knowledge of community and neighborhood resources. These include both paid and natural supports.

- **Housing:** It is expected that all Support Brokers will have a basic understanding of low income programs such as Section 8 housing, opportunities to purchase homes such as Movin' Out, Inc. Brokers don't generally take a lead in finding housing unless a client is moving between agencies and/or no residential agency is involved.
- **Community Connections:** Support Brokers must be aware of a variety of community activities which can strengthen peoples social relationships, enhance people's community membership and increase their self empowerment.
- **Transportation:** The Support Broker is expected to have a proficient understanding of the transportation options in Dane County and how this service is funded. The Support Broker must be able to advocate for the appropriate transportation for each client.
- **Assessment and Referrals:** The Support Broker must be accurate in the assessment needs of each client. When a need is identified, the Support Broker must be able to make a referral to the appropriate person in order to get the need met. Examples of referrals are: Physical Therapy, Occupational Therapy, Psychiatrist, Communication devices, Neurotherapist, etc.

Team Building and Conflict Resolution:

- A Support Broker is expected to assist individuals in building and maintaining strong teams that help a person live the life they desire. Teams typically include a combination of family, friends and paid supports.
- **Conflict Resolution.** Each Support Broker must be proficient in facilitating team meetings when necessary. There also may be a need for the Support Broker to mediate conflicts in order for the team to find a resolution with a situation.

A. Individual, Family & Community Relations

A1. *Building an Individual/Support Broker Relationship*

Standard: Through an interviewing process, the Support Broker is chosen by an individual to help her/him make plans, and to coordinate resources on her/his behalf.

Goal: During the interview, the Support Broker and the individual are able to discuss the individual's needs, wants, and desires, as well as the Support Broker's roles, responsibilities, and availability.

Intent: An individual chooses a Support Broker with whom she/he is compatible. Through interviews, the individual is able to find the best available match and eventually hire a Support Broker.

The assumption is that both the individual and the Support Broker are aware of the roles and responsibilities each will have in their relationship. It is also assumed that each has the choice to change the relationship if necessary.

Examples Of Implementation:

- The Support Broker develops a résumé using the résumé tips form and completes a Support Broker Interest Questionnaire. These documents are provided to the Self Directed Services Coordinator to use when assisting individuals in setting up interviews with Support Brokers.
- The DCDHS SDS Coordinator contacts the individual in need of a Support Broker to provide information about Self Directed Services and the interviewing process.
- The individual, SDS coordinator or a member of the individual's team contacts the Support Broker for the interview. During interviews, the individual and Support Broker exchange questions and discuss the relationship and services to be provided.
- A Support Broker is hired when there is mutual agreement of services provided and relationship responsibilities between the individual and the Support Broker.

Examples of Evidence/Performance

- The Support Broker and/or the individual inform the SDS Coordinator, and the SDS Coordinator sends a letter to announce the hiring of the Support Broker to the individual's support providers.
- A "DD System Change Form" is completed by the Support Broker and returned to DCDHS.
- A "Client/Support Broker Agreement" is signed by the individual, Support Broker and guardian.
- Case notes are written to document that a Support Broker was hired.
- Feedback from individuals indicates hiring of the Support Broker.

A2. Initial Acquaintance

Standard: The Support Broker meets each new individual or family before conducting or participating in an individualized plan.

Goal: Support Brokers develop positive working relationships with the individuals they support so that there is effective communication as well as progress toward meeting each individual's needs and achieving her/his goals.

Intent: Support Brokers need to be familiar with the wishes and dreams of the individuals they support in order to ensure that the service provided is person-centered. The intent is to make certain that the Support Broker gets to know the individual as soon as possible after a new Support Broker is hired.

Examples of Evidence/Performance

Through interviews with individuals and team members, Support Brokers discuss with the individual their wants, needs, and goals.

- Once hired, Support Brokers schedule formal and/or informal meetings with individuals, their families or guardians, and other service providers as appropriate.
- Case notes show that the Support Broker met the individual prior to the first individualized planning meeting. If no meeting occurred, the Support Broker should document that a visit was requested by the Support Broker, and provide the reason it did not occur.
- Feedback from individuals shows the Support Broker met the individual prior to the initial individualized planning meeting.

A3 *Knowing the Individual*

STANDARD: The Support Broker gets to know each individual through visits with the individual in his/her environments, and learns what the individual likes to do.

Goal: Support Brokers develop positive working relationships with the individuals who hire them so there is effective communication, as well as progress toward meeting each individual's needs and achieving her/his goals.

Intent

- In order to promote self-direction, the Support Broker should be familiar with the preferences of the individuals they support. This includes understanding significant information about the individual's life experience, including likes and dislikes.
- Service quality is enhanced when there is continuity of information over time, maintained by the Support Broker and available to other Support Brokers as needed.
- To understand the individual's needs and suggest ways to help meet these needs, the Support Broker should know who the individual is and how she/he lives in her/his environment. This knowledge provides a baseline from which the Support Broker can assess change, and thus help ensure the happiness, health, and safety of the individual.

Examples of Implementation

- The Support Broker gets to know the individual's preferences (such as recreation, shopping, leisure, religion, social contact, education or work) by observing, interacting, and talking with the individual and her/his team in a variety of settings.
- Person-centered planning techniques are used to assist the Support Broker in getting to know the individual, including significant information about the individual's history.
- A Person Centered Plan is developed yearly with an individual and her/his team to create a record of important information about the individual that includes her/his likes, dislikes, needs, desires, and preferences. This process will also define how support will be provided to ensure these things happen with and for the individual.
- Support Brokers maintain thorough written case notes to record important information about the individual and provide continuity of information.
- Consumer files are established by each Support Broker and are used as appropriate to promote continuity of information about an individual. These files are the property of Dane County Human Services and follow the individual if she/he changes Support Brokers.

Example of Evidence/Performance

The file contains important information about the individual's history, preferences, and goals of her/his support.

A4 Working Relationship

STANDARD: The Support Broker develops and maintains a professional and respectful working relationship with individuals, families, and support brokers

Goal

Support Brokers develop positive working relationships with the individuals who hire them to ensure effective communication as well as progress toward meeting each individual's needs and achieving her/his goals.

Intent

To work well with an individual and her/his team, the Support Broker should develop an effective working relationship with the individual and those important to her/him. This may include family members, guardians, service providers, or other community members.

Examples of Implementation

The Support Broker develops and maintains a working relationship with the individual that is both professional and respectful.

The Support Broker asks and knows about the individual's level of comfort and preferences regarding personal contact, and respects the individual's limits.

The Support Broker knows about the individual's family or support system, and understands who is included in the individual's definition of "family".

The Support Broker develops a respectful relationship with each individual who hires her/him, which helps set a positive tone for the individual and the team to set the course the individual chooses, assisting in difficult times and celebrating accomplishments.

Example of Evidence/Performance

The individual and her/his team report an adequate trust level with the Support Broker.

A5. *Regular Contact*

Standard: The Support Broker maintains regular contact with the individual and the team.

Goal: Support Brokers develop positive working relationships with the individuals they support and the teams involved so that there is effective communication, as well as progress toward meeting each individual's needs and achieving her/his goals.

Intent: To provide consistent support to the individual to achieve her/his goals over time, the Support Broker offers and provides regular contact with the individual.

Examples of Implementation:

When the Support Broker is initially hired, the Support Broker and the individual negotiate the frequency of contact and type of support to be provided. This can be negotiated over time as the individual and Broker work together. The Support Broker should also discuss and negotiate the frequency of contact with team members.

The Support Broker must have face to face contact with the individual at least once every three months unless a specific exception is discussed, approved by the State, and documented in the person's file and yearly plan. The Support Broker may be able to provide a more frequent level of support or contact that is reasonable to the individual, the Support Broker, family/guardian, and providers. The goal is to have an annual support plan in place that outlines the support the individual needs and desires.

The Support Broker sees the individuals who hire her/him in a variety of settings, including home, work or school, and the community, to have a well-rounded understanding of the person's life from her/his own perspective.

The Support Broker has direct or collateral contact with or on behalf of the individual at least monthly.

Examples Of Evidence/Performance

The written Support Broker agreement and/or yearly planning document show the frequency and type of contact that is negotiated.

Case notes indicate that the Support Broker has face to face contact with the individual at least every three months and collateral contact every month on the person's behalf.

If there is a request for more frequent contact than the Support Broker can maintain, the Support Broker and individual should renegotiate the Support Broker agreement and/or yearly planning document so that she/he has other resources or activities in place to support those needs.

Individuals as well as other team members report an adequate amount of contact with the Support Broker, consistent with the negotiated Support Broker Agreement.

A6 *Responsiveness*

Standard: The Support Broker is prompt in returning telephone calls and email messages. Every attempt should be made to respond within two (2) working days of receiving the message.

Goal: The Support Broker develops positive working relationships with the individuals who hire her/him, and other team members by using effective communication. This will enhance progress toward meeting each individual's needs and achieving her/his goals.

Intent: Timely response to telephone and email messages is important to convey that communication is valuable while ensuring that the needs of the individual and her/his team are addressed in a timely manner.

Support Brokers are expected to respond to all communication promptly within two working days. Some communication may take a higher priority than others. Guidelines for specific types of communication are outlined below.

Examples Of Implementation

Voice Mail: Support Brokers check their voice mail daily, except for days off, and respond to their voice mail messages promptly, within two days whenever possible. Support Brokers will work with their agency directors on developing a protocol for changing their voice mail when they will not be available to respond within two days. It is preferred that voice mail greetings are changed when Support Brokers are out of the office or not working for several days in a row. The message should refer callers to someone else that can assist during the Support Broker's absence. When Support Brokers are unavailable for an extended period, such as leave or vacation, voice mail should be checked and messages referred to others who can respond. Or, the voice mail message should clearly indicate who to contact for assistance during the Support Broker's absence.

Email: Support Brokers check and respond to email messages at least once daily, except for days off, and respond promptly within two days whenever possible. It is preferable that an automatic return message be sent in response to email messages when a Support Broker is unavailable for an extended period of time. The message should refer the person to someone who can assist during the Support Broker's absence.

Examples Of Evidence/Performance

Case notes show timely response to communication.

Feedback from individuals shows timely response to communication.

There are few to no complaints from individuals, team members, and others regarding a Support Broker's inability to respond to communication in a timely manner.

If applicable, an individual's urgent need was resolved by staff other than that person's Support Broker during the Support Broker's absence.

A7 *Changing Support Brokers or Ending Support Broker Services*

Standard: Transitioning from or between Support Brokers will be smooth and well-coordinated to ensure quality support for individuals.

Goal

Support Brokers develop positive working relationships with the individuals who hire them so that there is effective communication as well as progress toward meeting each individual's needs and achieving her/his goals. When a transition needs to occur, it will be well-coordinated and as well-planned as possible.

Intent/Implementation

The following procedures have been established by Dane County Adult Community Services and will be followed by Support Brokers to ensure continuity of Support Broker services:

Procedures for Ending or Transferring Support Broker Services

When a Person Wants to Hire a New Support Broker

1. The current Support Broker notifies the SDS Coordinator.
2. With the assistance of the SDS Coordinator and Broker Director, the current Support Broker should facilitate the transition to a new Support Broker. Degree of involvement will vary based on the individual's (or her/his guardian's) wishes.
3. Generally, the outgoing and incoming Support Brokers will work with the individual to mutually agree upon a transition date.
4. The outgoing Support Broker will "close-out" her/his 610's at the end of one month. The incoming Broker will "open" her/his 610s the following month. Support Broker services must be continuous in order for the county to receive reimbursement for any service used by an individual.
5. The outgoing Support Broker notifies all providers and team members that a new Support Broker has been hired. The incoming Support Broker completes a DD System Change Form indicating she/he is the new Broker.
6. All paperwork pertinent to the individual will be transferred to the new Support Broker, including the outgoing Broker's consumer file.

Institutional Placements

1. Occasionally, a person's needs change, requiring an institutional placement such as a hospital, nursing home, or state institution. In general, Support Brokers remain involved as long as the individual is actively planning to return to the community. The Broker should play a key role in planning for the individual's return, revisiting and revising their supports as needed.
2. If an individual is in a facility that bills Medicaid for services, Support Brokers should record the overnights as a "hospital day" on the 610 report.
3. If an individual remains in a hospital or institution indefinitely, the Broker should work with the institutional staff on a transition, sharing historical information as needed, provided that releases have been signed. Former community providers should be kept abreast of changes and may participate in planning to the degree needed. The County Manager and Intake staff must be notified of anticipated institutional placements.
4. A Support Broker should continue to work with an individual for 4-6 weeks after an institutional placement. A specific timeframe can be negotiated with the County Manager. Once an individual moves to an institution, the Support Broker should cancel the following month's vouchers with Fiscal Assistance and send an e-mail to the County Manager.
5. When a Broker finishes working with an individual who has moved to an institution, she/he should "close out" the person on the 610, and send an e-mail to the County Manager with a cc: to the County waiver funding staff, Fiscal Assistance, and the SDS Coordinator.

Incarceration:

If an individual is incarcerated, Support Brokers remain involved if she/he is likely to return to the community and continues to need developmental disability support services. Existing providers stay involved to the degree requested by the individual and her/his team. The degree of involvement is individualized based upon the individual's circumstances.

If an individual receives a prison sentence, DD services are typically suspended until the prison term is over. Refer to the Intake policy "Separating DD Service Provision from Criminal Justice System" for guidelines about resuming DD services upon community re-entry.

Examples Of Evidence/Performance

Case notes indicate that the above procedures have been followed.

Individuals receiving services report that they had a smooth transition to a new Support Broker.

Service providers and County staff indicate they received adequate and timely information about the change or cessation of Support Broker services.

A8. *Information Sharing*

Standard: Each Support Broker will provide necessary information when requested by other providers and community members while following agency, DCDHS, and HIPAA policy.

Goal

The Support Broker will follow Support Broker agency, DCDHS, and HIPAA policies while ensuring that necessary information is provided to team and community members.

Intent

Information sharing is important for successful transitions between Support Brokers. Availability of information regarding a person is vital to the development and success of a team.

Examples Of Implementation

As stated in the DCDHS policy, all consumer files are the property of DCDHS and should be made available to other contracted DCDHS providers when requested. Individuals and their guardians agree to this practice with a signature on a release of information form, which is usually signed during the waiver recertification process. Community providers, such as doctors, therapists, private pay agencies, etc., are not covered under this policy. Individuals who are not on a waiver program are also not covered by this policy and would need separate releases for all providers.

When an individual has chosen another Support Broker, the entire consumer file will be transferred to the newly hired Support Broker on or near the date of the official transition date. It is encouraged to schedule the transition date on the first day of the month in order to prevent two Support Broker agencies from billing case management hours on the 610. A transition planning meeting should be scheduled when possible between the Support Brokers and the team.

Information will be shared within a week of the request.

Providers outside the DCDHS contracted system are required to have a release of information form completed by the individual or guardian. The release of information should have pertinent identifying information regarding the individual and the provider as well as the kind of information that will be shared. The agreement is in effect for one year unless otherwise stated.

When a community or family member other than the guardian requests information regarding an individual, a signed release of information form needs to be obtained prior to releasing any confidential information. The release of information should have pertinent identifying information regarding the individual and the provider as well as the kind of information that will be shared. The agreement is in effect for one year unless otherwise stated.

Examples Of Evidence/Performance

All files will contain signed release of information forms when necessary.

Support Brokers, providers, and others will report that information was given within a week of the request.

Individuals and Support Brokers will report a smooth transition of information when there is a change of Support Brokers.

B. Individual Goals and Plans

B1 Preplanning—Planning the Plan

Standard: Each individual who receives support has a current written individualized plan (which is inclusive of a person-centered plan, individual financial plan, and an individual service plan, if applicable) that addresses her/his dreams, goals, needs, and supports.

Goal

Support Brokers facilitate the development of an individualized plan as an effective person-centered process for the individual and her/his team. The purpose of the plan is to state the individual's dreams, needs, and goals, and to develop steps toward achieving success in these areas. The plan also documents the social history of the individual and identifies important people in the individual's life.

Intent

Assisting individuals with planning is the principal role of Support Broker. The Broker facilitates a planning process that makes sense to the individual and puts the plan in writing, which honors the vision the individual has for her/himself and her/his future. In addition, it specifically defines the supports needed to make her/his goals happen.

The Community Integration Program (CIP) rules contain specific requirements concerning the content of the Individualized Support Plan (ISP), as well as the process by which the individualized plan is developed, and the frequency of contacts. If the person desires less than the minimum required contact with the Support Broker, this must be written into the plan. Each plan must contain information about health and safety concerns and the support response to those. The required elements of an individualized plan can be found in the CIP manual as well as in a document produced by Dane County called "Annual Plan (IFP/CIP)".

Some Guidelines for Support Brokers:

- Each plan should be individualized for each person receiving support. The planning process must occur at least yearly. The plan does not need to be in narrative format if all required elements are present.
- The Support Broker meets with each individual to determine the best planning process for that person and her/his situation.
- The process should encourage the leadership of the individual in the process wherever and however possible.
- The Support Broker should use a variety of planning tools and styles with the individuals whom she/he supports.

Examples of Implementation

Training and procedures for Support Brokers outline the elements that need to be addressed in the individualized plan.

Support Brokers develop an annual individualized plan for each individual they support. The plan is reviewed every six months at a minimum.

Examples of Evidence/Performance

Each consumer file should contain a current CIP recertification packet including a current person centered plan, ISP, and Individualized Financial Plan (IFP), and if applicable, a Behavioral Support Plan.

On site reviews show that plans are in place for all individuals served, and those plans are relevant for each individual.

Case notes should indicate that the plan is regularly reviewed with the individual and her/his team through discussion with the individual and her/his team at least every six months in team meetings or other discussions.

B2. Planning for the Future—The Meeting or Information Gathering Process

Standard: The Support Broker actively guides and supports the individual to articulate her/his needs and goals while planning for the future.

Goal

Support Brokers facilitate development of an individualized plan as an effective person-centered process for the individual and her/his team. The purpose of this plan is to state the individual's needs and goals, and to develop steps toward achieving those goals, especially regarding independence, community integration, and quality of life.

Intent

The Support Broker actively supports person-centered planning principles to assist the person in developing a life plan and long term goals. To achieve this, the Support Broker helps the individual and her/his support team to identify shorter-term goals, develop realistic steps toward attaining those goals, evaluate progress toward goals, and decide on the next steps.

The Support Broker ensures that the person has as much control over her/his planning process as possible. Plans should be self-determined and services self-directed to the greatest extent possible.

When an individual is not able to speak for her/himself, the Support Broker will find or arrange ways for the person to direct the process and communicate her/his goals. Examples include adaptive modes of communication, interpreters, or another person (guardian, advocate, personal assistant) who assists the person or speaks for the person's interests.

Examples of Implementation

The Support Broker effectively facilitates planning processes and meetings.

The Support Broker encourages, develops, supports, and promotes the individual's rights and ability to state her/his needs, desires, and preferences, set her/his goals, and to self-direct services with the support of her/his support team.

The Support Broker facilitates person-centered planning when requested and helps arrange for another facilitator when requested or appropriate. The Support Broker assists the person and others supporting the person to use creative options, access non-traditional services, and develop unique supports to achieve the person's goals.

Examples of Evidence/Performance

The person reports satisfaction with the planning process and her/his plan.

Plans show success in developing goals and an action plan to meet those goals.

Files show that a variety of traditional and non-traditional services, as well as unique individualized supports, are accessed to achieve the person's goals.

B3. *Documenting the Plan*

Standard: When an individualized plan (which is inclusive of a person-centered plan, individual financial plan, and an individual service plan, if applicable) is developed, the Support Broker effectively and efficiently facilitates team discussion and decisions based on the individual's dreams, goals, and needs.

Goal

Support Brokers facilitate development of an individual plan as an effective person-centered process for the individual and team. The purpose of the plan is to state the individual's needs and goals, and to develop steps towards achieving those goals, especially regarding independence, community integration, and quality of life. Planning should be done within the individual's budget for support.

Intent

The planning process involves the people whom the person chooses to include in the planning process. The Support Broker facilitates this team to assist the individual in articulating her/his needs and desires, and achieving her/his goals. Support Brokers should encourage individuals to lead their own planning process, if they choose to do so, and also provide education about the individual's budget for support. Effective person-centered planning promotes respectful communication and a sense of partnership among all team members.

The yearly plan is individualized and person-centered so it will reflect the needs, desires, and goals of the individual. The foundation of this plan should include the preferences of the individual, although negotiation may be necessary to address health, safety, individual rights, or other concerns. The individual and the team will identify roles and responsibilities for each team member.

The Support Broker will facilitate or participate in other types of individualized planning processes and/or meetings as necessary.

Examples Of Implementation

Support Brokers receive training in a variety of person-centered planning processes and documentation. In addition, they receive training in relevant communication skills, including effective facilitation of meetings.

The Support Broker documents discussion and decisions on all required or pertinent issues within the individualized plan. Steps for helping the individual attain her/his goals are developed and discussed during the planning process. In team meetings, roles and responsibilities of team members are clearly assigned.

Examples Of Evidence/Performance

Case notes reflect team discussion and development of plans.

Feedback from the person shows individualized plan documents were completed through effective team discussion and were built around the person's needs, preferences, goals, and desires.

B4. Monitoring the Plan

Standard: When an individualized plan (which is inclusive of a person-centered plan, individual financial plan, and an individual service plan, if applicable) is developed, the Support Broker monitors its elements on a schedule set by the person and the team, at a minimum of every six months.

Goal

Support Brokers facilitate development of an individualized plan as an effective person-centered process for the person and her/his team. The purpose of this plan is to state the person's needs and goals, and to develop steps toward achieving those goals, especially regarding independence, community integration, and quality of life.

Intent

Monitoring of a person's plan promotes a proactive approach to assist the person in achieving her/his goals and to review the progress toward stated goals. Thorough and consistent monitoring leads to flexibility in determining whether to change course if the person is not feeling progress, a strategy is not effective, or a goal needs modifying.

The Support Broker works in conjunction with the individual and other team members. The individual and her/his team are in the best position to understand and identify the appropriate type and frequency of monitoring for any given issue, which respects the knowledge and role of the team while allowing flexibility to ensure that monitoring is reasonable and effective. Community Integration Program rules contain specific requirements concerning monitoring frequency. All such expectations will be met or exceeded. If the person requests changes to the rules with regard to contact or monitoring, those requests must be written into the person's plan.

Monitoring helps ensure that the person's health, safety, and rights are protected so that concerns are identified and intervention can occur in a timely manner. Monitoring can promote stronger partnerships between individuals receiving support, Support Brokers, guardians, and service providers, while also increasing opportunities to influence the improvement of quality.

Examples Of Implementation

Support Brokers receive training in appropriate monitoring of individualized plans.

Support Brokers give copies of the individualized plan to all parties involved in the planning process.

Clearly defined monitoring expectations are adopted. This could include a tickler or tracking system adopted to ensure monitoring is completed as needed and to ensure that issues regarding follow-up action are addressed. Support Brokers monitor the tasks they have agreed to fulfill as part of an individualized plan.

When applicable, Support Brokers review and respond appropriately to incident reports written by providers. The Support Broker will write a Critical Incident Report if she/he observes or has knowledge about concerns in areas outlined in the Dane County Abuse and Neglect Policy. Critical Incident Reports will be submitted to the Community Services Consultant at DCDHS as soon as possible after the investigation is complete.

Support Brokers and the DCDHS Community Services Consultant may review provider service quality through Quality Assurance Reviews to identify trends and issues at the request of anyone on the team or through a random selection by DCDHS.

Support Brokers and the team work proactively to identify and remedy service quality issues.

Examples Of Evidence/Performance

The individual and other team members report that the Support Broker inquires about her/his satisfaction and has worked on her/his behalf when improvements need to be made.

Support Brokers receive copies of Critical Incident Reports and file them in consumer files for reference.

The Support Broker has seen the individual in a variety of situations including home, work, and in other settings that the individual frequents.

Case notes show that monitoring has been completed as identified.

Support Brokers demonstrate increased understanding of CIP rules and Dane County policies and procedures and requirements for compliance.

On-site reviews of service provision show improvement in quality of services provided.

C. Ongoing Support

C1. *Self-Directed Decisions*

Standard: The Support Broker will help the individual in her/his self-advocacy efforts.

Goal

Support Brokers will actively support individuals in identifying their goals, and utilizing their voices to do so.

Intent

To promote self-advocacy, the Support Broker will ensure that each individual receives

- Support to develop and maintain personal relationships
- Support to pursue inclusion in community functions and memberships
- Support for partnership and collaboration among team and community members
- Support for increased decision-making by providing active support with learning opportunities. As the individual begins making various decisions in her/his life, the Support Broker explores the potential consequences and rewards with the individual. Once the individual makes an informed decision, the Support Broker will support the self-advocacy of the decision.
- Support to ensure that the individual's rights are reviewed on an ongoing basis, at least annually

Examples Of Implementation

Whenever possible, the Support Broker will encourage individuals to facilitate their meetings and/or actively participate in discussions.

The Support Broker will provide individuals with information regarding self-advocacy resources.

When applicable, Support Brokers provide support to individuals in evaluating the need for supported decision-making, such as guardianship, and ensure that such decision-making occurs with the least possible intrusion.

When necessary, assist the individual in participating in meetings regarding sensitive issues with guardian/family.

Examples Of Evidence/Performance

Individual files will have a completed person centered plan which indicates input from the individual.

Case notes indicate the Support Broker is providing information about self-advocacy and building these skills as applicable to each person.

C2. *Advocacy Through Coordination of Supports*

Standard: The Support Broker will advocate for each individual to lead a life of her/his choosing.

Goal

Support Brokers will help individuals obtain their chosen supports.

Intent

Support Brokers play an important role in advocating and facilitating effective interdependent relationships that connect individuals with disabilities to service providers, family members and guardians.

Some people with developmental disabilities have been subjected to abuse and neglect within institutions, community settings, and their own homes. Support Brokers are dedicated to helping people be as safe as possible in their environments by following the Abuse and Neglect Policy outlined by DCDHS. This policy requires notification of County staff if issues arise that place individuals at risk. To document the situation and the resolution, if applicable, Support Brokers complete and submit a State of WI Incident Report form to DCDHS personnel.

To help people live a life of their choosing with others who love and care about them, Support Brokers will

- Help identify “non-negotiable” outcomes and issues of health and safety for each individual and ensure that those outcomes and issues are addressed on an ongoing basis
- Communicate with providers to ensure that all persons involved in providing support are adequately trained and are familiar with each individual’s support plan, and are paying particular attention to non-negotiables and the identified issues of health and safety
- Affirm that the individual is living in safe and decent conditions; that the individual’s money is appropriately managed; that the individual is receiving needed health and dental care; and that the individual is receiving adequate assistance to manage consequences and vulnerabilities of her/his particular disability. If any of these conditions are not being met, the Support Broker is personally involved in efforts to assure that they are met.

Examples Of Implementation

The Support Broker will attend SDS meetings to advocate for changes in support as necessary.

When hiring a new provider, the Support Broker will research and gather information on available providers and provide the information to the individual.

The Support Broker will coordinate meetings with team members to discuss problem areas and sensitive issues while establishing an individual plan to meet these goals.

The Support Broker will remain current on resources and services in Dane County.

Examples Of Evidence/Performance

Personnel files will document the completion of trainings.

Case notes indicate that a variety of resources are offered to the team as well as options when a new provider is needed.

Completed Incident Reports are in files when necessary.

C3. Access to Community Resources

Standard: The Support Broker ensures that the individual is offered access to community resources.

Goal

Support Brokers provide information and access to community resources in accordance with each person's needs and interests.

Intent

Community participation offers opportunities to develop ongoing social connections that enhance the individual's life.

The Support Broker's role is to help the individual identify and obtain access to community resources and primary supports. The Support Broker does not provide primary social support to the individual. Arranging community participation is especially important if there is no one else to advocate for the individual.

Examples Of Implementation

The Support Broker will try to identify who will facilitate and support the individual's relationships and access to community resources. For example, the Support Broker may work with family, friends, support staff, advocates, and/or guardians to arrange for a faith community to support an individual to attend a weekend service.

Planning processes can highlight a person's hopes for community membership while also assisting people in budgeting for costs of memberships and having reciprocal relationships.

Examples Of Evidence/Performance

Support Brokers have documented referrals to community resources in person centered plans and case notes.

Individuals report that their use of community resources is successful and satisfying.

C4. *Problem Solving*

Standard: The Support Broker actively guides and supports the individual to make decisions while identifying and addressing problems.

Goal

Support Brokers provide ongoing problem-solving support, assisting the individual in decision-making as the need arises.

Intent

The Support Broker's role in assisting with decision-making is to provide support to the individual and/or guardian, which may include

- active listening and support so the individual can resolve a problem
- assisting the individual to do research as needed
- identifying resources the individual already has, or could access
- gathering and providing information
- facilitating problem solving
- providing coordination between providers and agencies
- applying assessment skills to determine the most important priorities

The Support Broker is skilled in these areas and is able to assist individuals to make decisions and resolve problems as they occur.

When an individual is her/his own decision-maker, the Support Broker will respect her/his decision regarding the involvement of family or other significant people.

Examples Of Implementation

If a problem arises and the individual needs or requests assistance in making a decision, the Support Broker assists with

- Clarifying the issue or problem
- Identifying the options
- Weighing pros and cons of each option
- Assisting with decision-making when needed
- Advocating for the individual's decision, even if the Support Broker personally disagrees
- Continuing to provide support regardless of the decision made. The Support Broker's role is to provide education, not to prevent an individual from making a decision that may be perceived as unpopular.

Examples Of Evidence/Performance

Case notes show that the individual's problems are identified, addressed and when possible, resolved.

Individuals report receiving the support they need to address and resolve their problems.

C5. *Managing Risks*

Standard: The Support Broker provides information about benefits and risks while helping the individual to assess options and consequences.

Goal

Support Brokers provide ongoing support to assist the individual with risk management as the need arises.

Intent

In order to help the individual make informed decisions and manage risks associated with her/his choices, the Support Broker provides understandable information when discussing options and the potential consequences of each option.

If abuse or neglect is reported or observed, the Support Broker understands that she/he is a mandatory reporter and follows her/his Support Broker agency policy for reporting abuse and neglect.

Examples of Implementation

The Support Broker assists the individual in understanding her/his rights and responsibilities while evaluating the consequences resulting from the behavior or decisions.

The Support Broker also discusses roles as related to each individual's situation. For example, if an individual has a guardian, the Support Broker will explain the guardianship requirements and provide a copy of the guardianship statutes to the guardian(s) so she/he knows the law.

When conflicts or difficulties are observed, the Support Broker's role is to assist with

- Clarifying the issue or problem
- Identifying the options
- Weighing pros and cons of each option
- Assisting with decision-making when needed
- Advocating for the individual's decision, even if the Support Broker personally disagrees
- Continuing to provide support regardless of the decision made. The Support Broker's role is to provide education, not to prevent an individual from making a decision that may be perceived as unpopular.

The Support Broker is not a detective or police officer, but an advocate. As an advocate, the Support Broker does not ignore issues of concern about the individual's well being; however, she/he is not a legal advisor.

Example Of Evidence/Performance

Case notes show evidence of discussion of rights and risks, and of the roles of the individual and others.

When applicable, documentation of guardianship and protective placement is in the individual's file.

C6. *Rights and Responsibilities*

Standard

The Support Broker provides information to both the individual and those she/he cares about on rights and responsibilities.

Goal

Support Brokers provide ongoing support to assist the individual with understanding her/his rights and responsibilities and how she/he may exercise them in various circumstances.

Intent

Individuals and those with whom they interact may have different perceptions about the individual's rights and choices. Information on individual rights and responsibilities can assist in developing new relationships as an individual gains skills and experience.

Examples of Implementation

For adult children living with family members, the Support Broker will provide information about age-appropriate decision-making and family participation.

The Support Broker may help other people with whom the individual interacts to understand the choices and support needs of the individual.

The Support Broker may assist the individual in communicating with a guardian or others regarding the person's rights and responsibilities. Assistance from an outside facilitator (or another appropriate person) may be requested if both parties would benefit from this.

The Support Broker will understand and discuss the responsibilities of the individual in accepting and using public funding. This could include responsible community citizenship in using only what is needed to meet her/his needs so others who are waiting will have some funding available.

Example Of Evidence/Performance

Case notes show appropriate information sharing regarding a person's rights and responsibilities.

D. Fiscal Responsibilities

D1. *Making Resource Decisions*

Standard

After person-centered planning has occurred, the Support Broker works with the individual to identify and prioritize her/his support needs. The Broker then assists the individual in identifying the best ways to achieve the desired outcomes within the specified budget.

Goal

A Support Broker assists in developing an Individual Financial Plan (IFP) that utilizes public dollars, personal funds, and community and family resources to achieve the outcomes prioritized in the person-centered plan.

Intent

The intent is to help people purchase the best outcomes possible. Typically, this includes ensuring that an individual lives in a place of her/his own choosing with people of her/his choosing, generates her/his own income, has meaningful memberships in community organizations of her/his choosing, and has friends and intimate relationships, in accordance with her/his preferences.

The IFP and its corresponding vouchers are tools for allocating public dollars in a manner that most effectively meets a person's needs. Often, individual rates do not include enough funds to purchase every support or service a person may want. Brokers work with the individual to set priorities, ensuring that an individual's basic health and safety needs are met.

When people have the ability to control how they spend their individual rates, they also have a responsibility to spend public dollars wisely. Brokers help familiarize people with support and service providers within the developmental disabilities community as well as more generic community resources and informal supports. Then, Support Brokers help individuals select the service most likely to produce the desired outcome at the most reasonable price.

Before asking for additional service dollars or spending money on non-essential services, people should consider the needs of other people who are on waiting lists to receive government funding. When additional funds are necessary, Brokers should advocate for funding adjustments.

Examples Of Implementation

Each individual will have a current Individual Financial Plan (IFP) that correlates with the priorities outlined in an individual's person-centered plan.

Each individual will have an understanding of her/his IFP as well as a written statement describing how the individual rate is spent.

Support Brokers will help individuals revise their IFP and vouchers as service needs and priorities change.

When additional funding is needed to ensure health and safety, Brokers will advocate for funding adjustments at Dane County's SDS meetings.

When assisting people in developing and revising IFPs and corresponding vouchers, Brokers will demonstrate an extensive knowledge of community resources available for purchase as well as natural supports available within an individual's personal network, neighborhood, and larger community.

Examples Of Evidence/ Performance

Case notes document a connection between an individual's person-centered plan and the services purchased on the IFP.

Individuals report satisfaction with the outcomes purchased, such as adequate health and safety, paid employment, living in homes that they like, increased community membership, and the presence of meaningful relationships.

Brokers successfully advocate for additional funding, when necessary, as well as assist individuals in returning unused or unneeded funds so people on the waiting list may benefit.

D2. Financial Paperwork

Standard

The Support Broker coordinates the flow of financial paperwork necessary to ensure prompt and accurate payment to providers.

Intent

To provide effective support, providers and vendors need timely, accurate payment.

Examples of Implementation

Support Brokers will help individuals complete Individual Financial Plans (IFP's), vouchers, and waiver paperwork to ensure that providers receive accurate, timely payment for services rendered.

Accurate IFPs, vouchers, and waiver paperwork arrive at Dane County and Fiscal Assistance in a timely manner.

Examples Of Evidence/Performance

Individual files contain copies of accurate and current IFP and vouchers.

The individual's name does not appear on the Fiscal Assistance "late list" indicating delayed payment, except in rare cases of extenuating circumstances.

D3. Knowledge of Fiscal Resources

Standard

Brokers will demonstrate knowledge and understanding of an individual's benefits as well as resources and funding streams beyond county-funded developmental disability services. This includes but is not limited to social security benefits, Medicaid and Medicare, trust information, affordable housing options, DVR, aging resources, and a variety of generic community resources and natural supports.

Intent

County-funded developmental disability resources cannot fully address the personal goals, dreams, and support needs of most individuals. Community resources and natural supports enhance the richness of people's lives and can address gaps not met by county funding.

Examples of Implementation

Brokers identify support gaps in an individual's person-centered plan that are not met through county funding. Brokers actively seek to fill these gaps with natural supports, generic community resources, and alternate funding streams.

Brokers regularly attend trainings to keep abreast of new information and changes in benefits information, available community resources, and alternate funding streams.

Examples of Evidence/Performance

Individual plans indicate a combination of service dollars, informal supports, and a variety of community resources utilized to achieve an individual's stated priorities.

When an individual can benefit, case notes reflect Support Broker efforts to develop and/or access informal supports, community resources, and alternate funding streams.

Training and supervision records show that a Broker routinely seeks out information or attends trainings on the topic of benefits, funding streams, and community resources.

D4. Preventing Financial Exploitation

Standard: Brokers remain mindful of potential financial conflicts of interest and financial exploitation.

Intent

The Support Broker serves as a critical link assuring the overall quality of an individual's services. This includes
looking for and trying to minimize potential financial conflicts of interest that may be present in a person's support
ensuring a system of financial oversight is in place
immediately reporting suspected financial exploitation

Examples of Implementation

Brokers encourage teams to develop a system of financial oversight with checks and balances needed to identify and minimize financial conflicts of interest as well as prevent financial exploitation.

If a Support Broker observes a potential financial conflict of interest, she/he will openly discuss it with the involved parties, then work to eliminate or minimize the potential conflict.

When a Broker suspects or observes financial exploitation, she/he will immediately report the incident to the appropriate parties as outlined in the Dane County Abuse and Neglect Guidelines.

Examples of Evidence/Performance

When applicable, files contain evidence that the individual and her/his team have identified and discussed potential financial conflicts of interest, and ways to minimize or eliminate these conflicts.

The Support Broker confirms awareness of the Dane County Abuse and Neglect Policy, and knows how to report suspected financial exploitation.

E. Support Broker Skills and Conduct

E1. *New Support Broker Training—Core Knowledge*

Standard: New Support Brokers will complete both DCDHS and BDDS required training. They will also complete specific agency training and mentorship.

Intent: New Support Brokers are provided with formal training on the functions of their jobs and relevant DCDHS and BDDS policies. Each Support Broker is also provided with comprehensive training specific to her/his Support Broker agency. Initial Support Broker training will take place during the first three weeks of hiring. DCDHS and BDDS training will take place within time frames established by those departments.

Training and mentorship is used as a means of building teamwork and mutual support among all Support Brokers.

Examples Of Implementation

A Support Broker training curriculum is completed by the Support Broker agency and covers the following topics in detail:

- internal Support Broker agency policies and procedures
- skills necessary to complete job duties
- types of available resources
- information on community agencies that support people with developmental disabilities
- the role of DCDHS and BDDS

Training and mentorship policies are established by each Support Broker agency to provide the new Support Broker with the opportunity to work with an experienced Support Broker to perform tasks, such as filling out required paperwork, planning for and facilitating team meetings, sharing of resources, advocating, community building, and attending meetings at DCDHS.

When a Support Broker is given new responsibilities, the supervisor will work with her/him to develop an individualized training plan.

Examples Of Evidence/Performance

Performance evaluations for the new Support Broker show that skills have been learned and are used to provide quality services.

Core Knowledge for Support Brokers:

- Person-centered planning techniques
- Financial planning
- Respectful support techniques and strategies
- Abuse and neglect policy—DCDHS and agency
- How to assess quality
- Benefits and funding
- Conflict resolution
- Service system overview
- Community services overview
- State Community Integration Program Requirements—Home and Community Based Waivers and Long-Term Care Functional Screen
-

E2. Ongoing Training

Standard: The Support Broker will stay current with available training designed to clarify job duties and enhance her/his overall job performance.

Goal

The Support Broker will develop and use her/his knowledge and skills to offer individualized support to people in the community.

Intent

The Support Broker will attend various trainings each year in order to increase her/his knowledge of job responsibilities, requirements, expectations, and changes in the field. Training is developed to provide the Support Broker with opportunities to enhance her/his job performance and to encourage her/him to be responsive to the needs and desires of each individual.

Training can occur in a variety of settings such as staff meetings, Brown Bag forums, and those sponsored by the County or State.

Examples of Implementation

Training topics include but are not limited to job specific skills training, person-centered planning, diversity training, team building, conflict resolution, abuse and neglect, fact finding, individual support plan development, criminal justice, WI Chapter 51 and 55, Social Security benefits, Taste of Dane County, and a variety of trainings offered by the Waisman Center Training and Consultation program.

Each Support Broker is required to attend the annual Support Broker Symposium.

Supervisors will work with each Support Broker to select appropriate trainings.

Personnel files document the trainings attended by each Support Broker.

Examples Of Evidence/Performance

Training certificates and performance evaluations show that the Support Broker met this training goal.

Feedback from individuals reflects that the Support Broker has mastered the knowledge required, and has exhibited skills in her/his particular job areas.

New training needs are identified within each Support Broker agency as well as in the Support Broker Coalition. Training plans are developed accordingly.

E3. New Support Broker Supervision

Standard: Support Broker supervisors meet with each new Support Broker individually and frequently to discuss progress and to assess the Support Broker's strengths and needs.

Goal

Support Brokers will receive support to develop and use their knowledge and skills to support people in the community.

Intent

By means of frequently scheduled meetings, new Support Brokers and their supervisors are able to monitor and ensure progress during the initial months of work. Areas that require improvement are addressed promptly. By assessing their performance and needs frequently, Support Brokers feel confident in their roles, and are encouraged to provide the most effective services possible for individuals with developmental disabilities. Additional meetings or consultation may also occur as needed.

Examples Of Implementation

Supervisors set a meeting schedule for weekly meetings with each new Support Broker.

Agency supervisors use these meetings and reviews in accordance with agency standards for performance review.

Supervisors from each Support Broker agency develop a standard documentation system that records the progress of new Support Brokers. This documentation system is completed at each meeting and may be used as back up information in the personnel file at the time of evaluation.

Agency supervisors review one consumer file regularly kept by each Support Broker.

Agency supervisors review narratives and plans prepared by Support Brokers before they are submitted to the County.

Support Brokers are responsible for obtaining information from missed meetings.

Example Of Evidence/Performance

Notes of formal and informal meetings with Support Brokers are present in the supervisor's working files.

Support Broker evaluations are completed and reflect achievement of basic skills.

Support Brokers and supervisors report that frequent individual supervisory meetings have occurred.

E4. Ongoing Supervision

Standard: Supervisors meet on a regular schedule with each Support Broker to ensure skill and resource knowledge levels, and to attend to other issues that may arise.

Goal

Support Brokers will receive adequate support to develop and use their knowledge and skills to support people in the community.

Intent

With regularly scheduled individual meetings, Support Brokers and supervisors are able to monitor and ensure progress on an ongoing basis. Areas that require development and enhancement are addressed. By assessing her/his performance and needs regularly, Support Brokers feel confident in their roles, and are encouraged to provide the most effective services possible for individuals. Each Support Broker is continually encouraged to master advanced skills and identify areas of specialized interests. Additional meetings or consultation may occur as needed.

Examples Of Implementation

Supervisors set a regular meeting with each Support Broker.

Supervisors use these meetings and reviews as a framework for annual performance review.

Supervisors review consumer files regularly.

Supervisors review plans and written narratives before they are submitted to the County.

Support Brokers are responsible for obtaining information from missed meetings.

Examples Of Evidence/Performance

Supervisors develop a standard documentation system that records progress of Support Brokers.

Annual Support Broker evaluations are completed and reflect skill enhancement goals and achievements.

Support Brokers and supervisors report that regular individual supervisory meetings have occurred.

E5. *Conduct and Ethics*

Standard: All Support Brokers will follow rules of work conduct established by DCDHS, BDDS and the agency that employs them. They will also follow HIPAA confidentiality requirements.

Goal

Support Brokers will conduct themselves in a professional manner at all times as they offer individualized support to people in the community.

Intent

Support Brokers will demonstrate professional conduct at all times during working hours. Supervisors enforce professional standards within their individual agencies.

Examples Of Implementation

Supervisors assure that Support Brokers know all rules of work conduct, consumers' rights and grievance procedures, agency standards, and all confidentiality requirements.

Supervisors monitor compliance through contact with and input from the individuals who have hired Support Brokers, discussion with providers, and regular meetings with Support Brokers.

Supervisors provide additional information, explanation, or training for Support Brokers when concerns arise.

If discipline becomes necessary, the supervisor must follow disciplinary actions stated in the agency personnel policy.

Examples Of Evidence/Performance

Support Broker personnel files and performance evaluations will include any violations of rules of professional conduct, including concerns that have arisen, appropriate investigation, intervention, and retraining of the Support Broker.

Consumer satisfaction surveys and informal consumer feedback reflect that Support Brokers are performing their jobs in accordance with standards set forth.

Work/Conduct Guidelines

- Support Brokers will remain aware of the potential for conflicts of interest that may affect their ability to exercise discretion and unbiased judgment.
- As their highest priority, Support Brokers will maintain the best interest of the individuals they support, with due respect to the interests of others.
- Support Brokers will strive to develop relationships of trust with individuals, taking care not to intrude unnecessarily on the privacy of individuals.
- Support Brokers will foster self-help and self-reliance for individuals and will avoid creating dependent relationships.
- Support Brokers will relate to others with respect, integrity, and courtesy, seeking to understand differences in viewpoints.
- Support Brokers will take into account and examine the impact their own racial and cultural identities, views, and biases can have on their work, and on the people they support.

F. Assessing Quality

F1. Annual Quality Assurance Surveys

Standard

Each Support Broker agency will conduct a comprehensive Quality Assurance Survey every two years.

Goal

Each Support Broker agency will develop Quality Assurance tools for individuals and team members to complete to give feedback to the agency about the quality of their services.

Intent

Support Brokers provide a variety of services for each individual and her/his team. The individual and team will be invited to give feedback to the Broker and her/his agency regarding the support. The feedback will provide each Broker with positive comments as well as suggestions for improvement.

Examples Of Implementation

Each Support Broker agency will develop a Quality Assurance Survey for each of the following: the individual, the providers, and any other member on the team. Each person will be sent an applicable survey every two years.

The information gathered will be given to each Support Broker in order to provide positive feedback and to determine areas of improvement. If a pattern of negative feedback is established, a plan for improvement will be developed between the Support Broker and her/his supervisor.

Each agency will consolidate the data collected in a report prepared for DCDHS.

Example Of Evidence/Performance

DCDHS will receive Quality Assurance Reports from each Support Broker agency every two years, per their contract.

Each team member will report her/his satisfaction, in accordance with her/his ability to give feedback to the Support Broker and the Support Broker agency.