

Partner Funding Manual FY2021

EASTERN REGION ALLIANCE



1	Background	4
1.1	History of SB40 Boards.....	4
1.2	History & Vision of Eastern Region Alliance.....	5
1.3	Purpose of Partner Funding Manual.....	7
2	Funding Overview	8
2.1	Board Priorities	8
2.2	Funded Services	8
2.3	Structure of Funding Framework.....	10
2.4	Types of Funding.....	10
3	Funding Requirements.....	12
3.1	Agency Eligibility Requirements.....	12
3.2	Quality Assurance and Control	14
3.3	Standards	15
3.4	Outcomes.....	20
3.5	Service Guidelines.....	24
3.6	Reporting & Monitoring.....	34
3.7	Annual Survey Process	38
4	Funding	39
4.1	The Alliance Portal	39
4.2	Service Profiles.....	39
4.3	Funding Request	40
4.4	Approval Process.....	40
4.5	Funding Contracts.....	40
5	Invoicing Procedures.....	41
5.1	POS Invoices	41
5.2	Reimbursement Grant Invoices	41
5.3	Invoicing Timeline	41
5.4	Payment	42
6	Timelines	43
6.1	Annual Funding Cycle.....	43
6.2	Submission Requirements (FY '21)	43
7	Glossary.....	44

8	Appendix A: DD Advocates	49
8.1	DD Advocates Information.....	49
8.2	Board of Directors.....	50
8.3	Service Guidelines.....	51
8.4	Approval Process.....	52
9	Appendix B: DD Resources.....	53
9.1	DD Resources Information.....	53
9.2	Board of Directors.....	53
9.3	Service Guidelines.....	54
9.4	Approval Process.....	63
10	Appendix C: DDRB.....	64
10.1	DDRB Information.....	64
10.2	Board of Directors.....	64
10.3	Service Guidelines.....	65
10.4	Approval Process.....	81
11	Appendix D: PLB.....	82
11.1	PLB Information.....	82
11.2	Board of Directors.....	82
11.3	Service Guidelines.....	83
11.4	Approval Process.....	98
11.5	Reporting & Monitoring.....	98

1 BACKGROUND

1.1 HISTORY OF SB40 BOARDS

The progress of services to people with developmental disabilities and their families on a local, state, and federal level has consistently originated with the efforts of self-advocates, parents, and concerned professionals and citizens. These efforts ensured opportunities for people with developmental disabilities to fully participate and be included in their communities when a state statute, Senate Bill 40 (SB40), was enacted in 1969 that allowed the citizens of each Missouri county to vote on a property tax levy that would dedicate funding for support services for individuals with developmental disabilities. County Boards that were created as a result of this tax levy became commonly known as “SB40 Boards” after the Senate Bill that created them and will be referred to as County Boards throughout this manual. Pike County was the first county to pass SB40 enabling legislation, adopting it in May 1970.

In 1979, the Missouri Association of County Developmental Disabilities Services (MACDDS) was formed. It provides a forum for counties from across the state, each reflecting their local county voices, to share information, discuss common challenges, and advocate cohesively. All four County Boards in the Alliance are members of MACDDS.

1.1.1 Developmental Disabilities Advocates’ History

In 1978, the ARC campaigned for and Jefferson County voters passed Proposition S, the "Special Ones" to establish a new property tax to fund services for individuals with developmental disabilities. On August 17, 1978, pursuant to Senate Bill 40, the Jefferson County Court established and appointed the Jefferson County Commission for the Handicapped (JCCH), a board consisting of nine members - four board members related to handicapped persons and five members unrelated, to oversee this new property tax. Through the passage of Proposition S, a 10-cent levy was assessed on each \$100 of property evaluated. In 1985, the 10-cent levy was rolled back to six cents as a result of re-assessment, and in 1988 with the passage of Proposition H, the levy was increased by four cents restoring the levy back up to the original amount of 10 cents on each one hundred dollars of property evaluated. Today Developmental Disability Advocates (DD Advocates) administers approximately \$3 million in tax revenue annually.

1.1.2 St. Louis Office for Developmental Disability Resources’ History

The St. Louis Office for Developmental Disability Resources (DD Resources) was established in August 1980 by a 66% majority vote in the City of St. Louis. The initial vote allowed for five cents per \$100 assessed valuation to be collected. In 1988, the City brought forth and passed Proposition D by a 64% vote to increase the tax rate benefitting DD Resources from five cents to 15 cents per \$100 assessed valuation.

In 1982 DD Resources distributed \$930,261 to 15 agencies. DD Resources now allocates over \$5 million per year to approximately 32-35 agencies benefitting over 1700 individuals with an intellectual or developmental disability. DD Resources allocates dollars to ensure that individuals with developmental disabilities in the City of St. Louis have quality services, choices, and full inclusion.

1.1.3 Developmental Disabilities Resource Board's History

On February 14, 1977 the St. Charles County Association for Retarded Citizens kicked off a campaign to support passage of a SB40 tax in St. Charles County. On April 5, 1977 the levy passed and the Developmental Disabilities Resource Board (DDRB) was established to provide community-based programs and supports for citizens with developmental disabilities. In 1986, voters approved an increase to the levy, for a total of 16 cents per \$100 assessed valuation. The levy currently generates approximately \$12.5 million annually to ensure that St. Charles County citizens with developmental disabilities have quality opportunities and choices to be fully included in society.

1.1.4 Productive Living Board's History

In 1978 the St. Louis Metropolitan Council on Developmental Disabilities began to work toward the passage of the property tax levy in St. Louis County. On April 3, 1979, St. Louis County citizens approved a 5-cent tax for the purpose of developing an SB40 Board to establish support services for people with developmental disabilities in St. Louis County. This generated approximately \$2.5 million in 1979. In 1989 an increase to a 9-cent tax was passed and currently generates approximately \$23 million annually.

1.2 HISTORY & VISION OF EASTERN REGION ALLIANCE

1.2.1 Exploration & Discovery

Each County Board is guided by a similar mission focused on supporting people with developmental disabilities, within the framework of the state statutes. Over the past 40 years, each County Board has created an organization with a structure that meets the unique needs of its community. Similarly, each County Board has also encountered unique challenges and limitations related to data collection, access to services, management processes, and other core operational needs that created inefficiencies for County Boards and agencies alike. The County Boards fund services to the same target population by supporting many of the same organizations while using similar but not identical tools and processes, which has resulted in additional inefficiencies and administrative burdens for agencies.

Building on a history of trusting and valuable relationships amongst the County Boards, the Executive Directors decided to explore innovative ways to address the challenges each was facing. From June through October 2018, the four County Boards that now make up the Eastern Region Alliance (the Alliance) embarked on a thorough exploration and discovery process that examined opportunities to align the standards, processes, and tools that support their work.

The exploration and discovery process included rigorous review of guiding documents from each County Board including funding manuals, quality standards, eligibility criteria, funding applications and reporting forms as well as related policies, procedures, and reports. Through an inclusive and collaborative process, we reviewed and clarified the content of these documents and compared each of our key processes related to consumer eligibility, funding applications, invoicing and reimbursement, quality assurance, and project monitoring.

Results indicated that the County Boards were more alike than not, and the leadership of the organizations believed alignment would be beneficial to agencies and County Boards and that taxpayers would support the creation of new efficiencies. They also determined that to fully realize the benefits of the alignment and provide the support the County Boards were currently each in need of, an integrated information technology system was required.

1.2.2 Execution of Shared Services Agreement

In January 2019, the Alliance entered into a formal Alignment and Integration agreement that solidified our commitment to alignment and officially launched efforts to establish an integrated technology system and a shared technology team. The integrated information technology system is necessary to provide the support that a truly aligned system, with identical billing and reporting procedures, requires. This agreement reflected a spirit of a collective willingness to look holistically at the benefits of a collaboration for the region, while ensuring each County Board can demonstrate its accountability and transparency to the community.

The Alliance designed a comprehensive and collaborative process on an aggressive timeline to meld the four organization's agency-related practices into one. The processes each County Board had were deeply entrenched in each organization's culture and history, and the decision to "let go" of many of those required painstaking evaluation and discussion. County Board staff met at least once weekly throughout 2019 to reach consensus and develop the tools and processes critical to the FY'21 funding cycle. The Alliance invited agencies to take part in the process along the way to ensure the system we created is one that enhances their ability to provide quality services and mitigates the inefficiencies and inconsistencies of the past. We look forward to continuing the conversations, knowing there is always room for improvement.

1.2.3 Vision

All four County Boards within the Alliance recognized the significant challenges we would face when seeking alignment but were fully committed to realizing the benefits of alignment.

Through this Alliance the County Boards expect to:

- Address the varied challenges each of the County Boards face in achieving their missions efficiently and effectively;
- Manage technology as a strategic resource to securely unleash the power of data in driving process improvement and decision making;
- Relieve administrative burden and reduce costs associated with the duplicative and/or conflicting standards, policies, and processes that are placed on agencies;
- Create an environment and infrastructure that empowers the County Boards, as well as their funded agencies, to examine ways of operating more efficiently while responding to the unique support needs of individuals with intellectual and developmental disabilities and their families;
- Accelerate progress in measuring and articulating the impact of the services in helping people live empowered, meaningful, productive lives.

1.2.4 Guiding Principles

The purpose of our Guiding Principles is to articulate, affirm, and promote the characteristics of quality services and partnerships, to which we and our funded partners are committed and toward which we strive. These principles will guide our implementation of the Eastern Region Alliance's new approach, processes, and tools and will be used to foster reflection and self-assessment for ourselves and our partners.

- People-Focused - We and our partners acknowledge the individuality and dignity of those we serve by including, respecting, and responding to their voices and needs as we plan and deliver our services.
- Culturally Responsive - We and our partners value the unique cultures of those we serve and seek to understand and respect those cultures by supporting people to express their identities freely.
- Well-Founded - We and our partners support programs, processes, and services that are founded on research, best practices, and our own learning. We can articulate the rationale and justification for our approaches.
- Goal-Directed - We and our partners ensure that our work is designed to meet specific, measurable goals and is implemented in the ways necessary to achieve results.
- Continuous Improvement - We and our partners gather, reflect on, and use information to continually learn and improve.
- Thoughtful Stewardship - We and our partners recognize that we are entrusted with taxpayer resources and aim to work in efficient and accountable ways that deliver the best possible return on our investments.
- Forward-Thinking - We and our partners strive to spark and support innovation that responds to the changing needs of those we serve and the changing environments in which we operate.
- Trusting and Trustworthy - We and our partners communicate honestly, presume positive intent, and follow-through on our commitments.

1.3 PURPOSE OF PARTNER FUNDING MANUAL

The Eastern Region Alliance has created this Partner Funding Manual as a central resource for County Boards and partner agencies. It expresses our commitment to ensuring the best possible outcomes for individuals with developmental disabilities by leveraging our relationships and taxpayer dollars in a wholly unique way. We believe that by redefining how County Boards partner with each other and with agencies, the community as a whole benefits. To do so, we must capitalize on the collective knowledge and capacity of our own teams and community partners and keep our focus on the people whose success depends upon us. We will do this by learning together, challenging the status quo, sharing our best thinking, and continuously seeking to do better.

This manual frames the principles of the Alliance and serves as the tool we all will use to foster shared understanding and support consistent implementation by the four County Boards. It provides an easily navigated, detailed description of processes for seeking funding, funding requirements, service guidelines, invoicing and reimbursement procedures.

2 FUNDING OVERVIEW

2.1 BOARD PRIORITIES

On an annual basis, each County Board determines the availability of funds to contract for services and may establish annual funding priorities for Cost of Living Adjustments (COLA), market rate adjustments (MRA), service expansion, and priority service development. County Board funding, in most circumstances, is to reimburse agencies for contracted services and expenditures.

2.2 FUNDED SERVICES

The following framework is a guide for County Board funding decisions and funded project service delivery. Each funded project falls within a Core Service, a Service Category, and a Service Type. The structure allows for differences in services, additional eligibility guidelines, caps/limits, methods of billing and guides projects on reporting outputs, outcomes and indicators as outlined in the Service Guidelines in section 3.5. Not all services listed below are funded by all County Boards. Questions regarding funded services should be directed to the applicable county.

Table 1: Funded Services

Core Services	Service Categories	Service Type
Independent Living	Community Living services support individuals with establishing, developing, and maintaining skills needed to live in the community.	Pre-ISLA services are time limited and support individuals who currently reside in their natural home to build skills needed to transition to live independently
		ISLA services support individuals to live independently in the community. Supports promote the development of skills for independence so the individual can stay in his or her own residence and access the community.
		Start-Up reimbursements provide individuals living in the community with furnishings and household items.
		Supportive Housing services support individuals and/or families with long-term housing needs. (DD Resources only)
Community Connection	Community Integration services support individuals in accessing community and social life in self-directed, safe, and inclusive ways.	Camp services support individuals to access time-limited recreational and leisure activities.
		Socialization services support individuals to develop and/or maintain relationships and connections to their community.
		Retirement Support services support adults to develop and/or maintain relationships, connections to their community and to maintain health, safety, and fulfillment in their retirement years.
	Professional Services are provided by qualified professionals and support the physical and/or emotional	Therapy (e.g. OT, PT, equine, etc.) services support individuals to access qualified professionals for Occupational, Physical, Speech, Equine and/or Behavioral Therapy.

Core Services	Service Categories	Service Type
	well-being of the individual and their caregiver(s).	Counseling (e.g. Individual, Family, etc.) services support individuals and families to access qualified professionals to address emotional well-being.
		Adaptive Equipment & Assistive Technology services support individuals and families with accessing equipment, technology and/or home modifications that increases an individual's ability to safely and independently navigate home and community settings.
	Support Systems services strengthen the individual's natural and formal support systems.	Family Support services support individuals and families through education, training, parent-to-parent connections and linking to financial resources.
		Childcare services support children who require additional staff support to fully participate in school break programs and before and after school childcare.
		Advocacy services educate and seek to promote equality, rights and respect for individuals with developmental disabilities.
		Education Support services support individuals with gaining the knowledge and skills necessary to understand their own developmental disabilities, pursue personal interests, and build healthy relationships with others.
		In-Home Support (respite) services provide intermittent, short-term relief to the primary caregivers.
	Facility-Based Support (respite) services provide intermittent, short-term relief to the primary caregivers in a setting outside of the natural home.	
Community Transportation	Community Transportation services support individuals to access the community through safe and reliable transportation.	
Employment	Employment Training services support individuals, who may or may not be employed, to develop the skills necessary to obtain and maintain employment in the community.	Youth Employment Training services are time limited and support youth who are currently enrolled in school to develop the skills necessary to obtain and maintain employment in the community.
		Adult Employment Training services are time limited and support adults, post high school to develop the skills necessary to obtain and maintain employment in the community.
	Employment Services support working individuals to develop and maintain the skills necessary for employment and/or advancement.	Sheltered Employment services provide a supervised employment option with pay based on productivity.
		Supported Employment services support individuals in competitive, integrated work settings.
Employment Transportation	Employment Transportation services support individuals to access employment through safe and reliable transportation.	

Core Services	Service Categories	Service Type
Agency Supports	Agency Supports fund the development and effectiveness of partner organizations.	Capital Funding can be used for equipment or assistance with maintenance or construction of facilities used in the delivery of services.
		General Operating Funding can be used for staff supporting delivery of services.
		One-Time Funding is short term, time limited and project specific.
		Emergency Funding is short-term funding for an agency facing an emergency situation which jeopardizes the continuation of services.

2.3 STRUCTURE OF FUNDING FRAMEWORK

To support the creation of a shared vocabulary and informational technology system – including a portal through which agencies submit funding requests, invoices, and reports online – the Alliance developed a shared framework for describing and structuring its funding.

Agencies seek funding for their Services, which are each classified within a Service Type, Service Category, and a Core Service. Projects represent a collection of funded Services within an agency. The table below illustrates the structure of an example Project:

Table 2: Structure of Funding Framework

Core Service	Employment	
Service Category	Employment Training	
Service Type	Adult Employment Training	
Services within a Project	Talent Connect	Vocational Skills Training

2.4 TYPES OF FUNDING

There are two primary types of funding for services: Purchase of Service (POS) and Reimbursement Grant Funding.

2.4.1 Purchase of Service

A Purchase of Service (POS) Funding Contract funds a unit rate, typically for one-hour of face-to-face service/supports. Agencies may bill in quarter hour increments. Annually, County Boards will review the following in order to establish a unit rate for each funded service:

- The agency’s County Board Project budget and unit projections submitted with the Funding Request
- Most recent independent audited unit cost
- Comparison of budget/unit cost for similar services within the region
- Current year’s County Board contracted unit rate and actual units provided year-to-date
- Previous years’ costs and utilization
- Any other factors that may affect the unit cost

If an audited unit rate review results in a rate that is less than the contracted rate, the County may consider requesting a repayment and/or adjusting the current contracted unit rate.

2.4.2 Reimbursement Grant

A Reimbursement Grant funds a percentage of the actual program expenses incurred or specific line items for services/supports. The cost of ongoing services/supports include expenses/fees directly related to the project as listed in the Project budget. Grant funding requests may be approved with, or without, the requirement to list individuals served on the invoice.

2.4.3 Stipends or Subsidies

Various stipends or subsidies are available for individuals, families, and/or service providers to attend conferences, trainings and other events related to developmental disabilities and the needs of those with developmental disabilities. See DDRB and PLB Appendices for more information.

3 FUNDING REQUIREMENTS

The Alliance supports an array of services for individuals with developmental disabilities and seeks to collaborate with agencies committed to meeting the needs of individuals in ways that ensure they maintain or increase their levels of independence in their communities. In order to be eligible for funding and to demonstrate the Alliance's Guiding Principles, funded agencies and projects will provide the required documentation and demonstrate the following Standards.

3.1 AGENCY ELIGIBILITY REQUIREMENTS

Eligible agencies are not-for-profit corporations, governmental entities, and for-profit agencies recognized by the state of Missouri, who submit the following documentation.

3.1.1 Corporate Information

Agencies must submit the following with their first Alliance Funding Request. Subsequent Funding Requests simply require agencies to affirm they possess the following documentation:

- Certificate of Good Standing
- Articles of Incorporation
- IRS Determination letter

Agencies must submit the following with their first Funding Request and submit revisions thereafter (including a summary of revisions):

- Bylaws
- Cost Allocation Methodologies (see sections 3.3.1.5 and 3.3.1.6)
 - Project Costs
 - Administrative Costs

Agencies must submit the following annually upon completion:

- Audit (within 180 days of the close of agency's fiscal year)
- IRS Form 990
- Certificate of Insurance (see section 3.1.3)

Agencies must obtain a signed Board Resolution that authorizes the agency to seek County Board funding and identifies those authorized to sign contracts.

3.1.2 Audit and Audited Unit Cost Report

Agencies funded by a County Board and/or having an outstanding loan from a County Board will have an audit performed by an independent firm or individual licensed by the Missouri State Board of Accountancy and conducted in accordance with generally accepted accounting principles (GAAP) as outlined by the American Institute of Certified Public Accountants.

The audit report should include:

- A statement of functional expenses;
- A management letter and the agency’s response to the management letter if recommendations for improvement are cited;
- An audited unit cost report for all services funded through a purchase-of-service agreement. The report may reflect combined activity for same service in all counties within the Eastern Region Alliance and should include all program costs and all units provided and all direct costs and appropriately allocated indirect costs of units of service provided. Purchase of Service contracts for less than \$50,000 are exempt from completing an audited unit cost report.

Agencies will submit their audited financial statements within 180 days of their agency financial year-end or project ending date. Requests for an extension to the 180-day due date can be made in writing to the finance staff of each County Board contracted with, prior to the 180th day, stating the need for the extension. If an audit is not received within 270 days, Executive Directors are notified, and County Board of Directors may decide to withhold payments.

Agencies may request, in writing, a waiver of the audit requirement prior to signing the Funding Contract. If waiver is granted, the exempted agency will submit year-end financial statements signed by their board treasurer.

3.1.3 Certificate of Insurance

Agencies will maintain in full force throughout the contract term, at its own cost and expense, one or more policies of Comprehensive General Liability insurance acceptable to the County Board(s), insuring Agency as named insured and County Board(s) as additional insured (and such other person or persons designated by County Board) against liability for injury or death of any person or persons and damage to property in or about the premises.

Each such policy will be issued by an insurer having a minimum Best Rating of B+ and will contain provisions that it cannot be canceled or amended, insofar as it relates to the Premises, without at least thirty (30) days prior written notice to the Board.

Insurance Coverages required for all agencies with minimum coverages to be maintained as follows:

Table 3: Required Insurance Coverages

Indemnity	Minimum
Commercial General Liability	\$1M per occurrence \$2M per aggregate
Auto Liability (Bodily Injury, Property)	\$1M per occurrence
Employer Liability (Workers’ compensation)	\$500k per incident
Building and Personal Property	Replacement cost
Directors and Officers Liability	\$1M
Fidelity Bond or Crime	Minimum fidelity or crime insurance coverage limits should be equal to the largest amount of any of the County Board Funding Contract.
Umbrella Coverage	\$1M

Additional Insurance Coverages required for agencies with funding over \$100,000 from any one County Board include:

Table 4: Additional Insurance Coverages Required

Indemnity	Minimum
Business Interruption	1 year loss sustained
Employment Practices Liability	\$1M
Fiduciary Liability	\$1M
Cyber Insurance	Investigate risk and insure accordingly

Annually, agencies must submit certificate of insurance coverage that meets the above requirements.

3.2 QUALITY ASSURANCE AND CONTROL

Quality Assurance (QA) is the practice of designing work (services, processes, etc.) in ways that ensure they will meet customer expectations. In this case, “customers” include those who purchase services, those who participate in services, and those who benefit from services: County Boards, individuals with developmental disabilities, and their families and communities, respectively.

Quality Control (QC) processes and tools, on the other hand, monitor the degree to which the work is implemented as intended and the degree to which it actually meets standards. Funded agencies are expected to monitor their adherence to the Alliance’s Standards.

The table below summarizes Quality Assurance and Control as applicable to the Alliance Standards.

Table 5: Quality Assurance and Control

	Quality Assurance	Quality Control
What is it?	Preventive efforts to design processes and procedures that can/should meet each Standard	Strategies to monitor the implementation of plans and procedures designed to meet each Standard
Answers the Question	“What <u>will</u> we do to meet the standard?”	“What <u>did</u> we actually do, and <u>did</u> that meet the standard?”
What tools or processes can support it?	<ul style="list-style-type: none"> ● Process maps ● Operating procedures ● Plans ● Manuals ● Responsibility Charts 	<ul style="list-style-type: none"> ● Checklists ● File reviews ● Observations ● Surveys
What does the Alliance require?	Documentation of how the agency intends to meet Standards	Agencies are able to describe their processes for and results of internal review of the Standards

During the Partner Review Meeting (PRM) (see section 3.6.3.1), County Board and agency staff will review relevant documentation of Quality Assurance efforts (i.e. policies, procedures) as outlined in the Standards and will discuss the agency's Quality Control efforts. When additional clarification is necessary to assess the demonstration of Standards and to ensure effective stewardship, the Alliance may request to review documentation of Quality Control efforts.

3.3 STANDARDS

As reflected in our Guiding Principles, the Alliance strives to be a trusting partner that honors the expertise of agencies while also being a thoughtful steward of the public trust and taxpayer dollars. To this end, the Alliance has written our standards to allow agencies' maximum flexibility while exercising the oversight necessary to responsibly steward taxpayer dollars and protect individuals. Standards can include one or more types of requirements:

- Required Documentation - These standards describe what documentation agencies must have (policies, procedures, audits, etc.).
- Required Content - In some cases, the Alliance's standards also describe what those required documents must contain in terms of content areas or specific content.
- Required Practices - In very few cases, the Alliance prescribes specific practices or procedures funded agencies must follow.
- Demonstration of Standards or Principles - Whenever possible, the Alliance has written standards that describe what an agency's practices must achieve without specifying how an agency achieves it.

For a description of how agencies will demonstrate and how the Alliance will assess agencies according to Standards, please see section 3.6.

3.3.1 Agency Standards

Agency Standards outline the documentation, policies, and practices that the Alliance requires of all funded agencies.

3.3.1.1 Agency Policies

Background Checks - Agencies will have a Board-approved policy and documented procedures regarding the completion of background checks for all staff and volunteers who will be in contact with individuals served with County Board funds. Background checks must be conducted prior to the start of an individual's work (volunteer or paid) with an agency and then annually thereafter. Agencies will use the Family Care Safety Registry (FCSR) to complete background checks. If the FCSR indicates findings, the agency must request the additional information regarding these findings from the FCSR. Agencies will use the Disqualifying Crimes Pursuant to the Missouri Revised Statute 630.170 when determining eligibility for employment or utilization of volunteers. The statute requires that agencies will not employ individuals reported as having engaged in disqualifying conduct.

Individual Rights - Agencies will have a Board-approved policy regarding the rights of individuals served. Individual rights will be communicated to all individuals receiving services.

Non-Discrimination in Services - Agencies will have a Board-approved policy affirming that the agency's services will be available to individuals without regard to race, color, religion, national origin, sex,

disability, age, military or veteran status, sexual orientation, gender identity or any other factor prohibited by law.

Incidents - Agencies will have a Board-approved policy and documented procedure regarding critical incidents. The policy will outline a clear and systematic method of (a) documentation, (b) notification, (c) investigation and (d) follow-up. The following incidents will be classified as critical incidents: death of an individual receiving services; an injury that results in the hospital admission of the injured person; or an injury requiring medical intervention (greater than minor first aid); report of abuse/neglect; elopement with law enforcement contacted or involved; criminal activity reported to law enforcement involving consumer as perpetrator or victim; fire, theft, or natural disaster resulting in extensive property damage, loss or disruption of service.

The agency will contact the respective County Board(s) when there is an incident involving media and/or law enforcement immediately.

Grievance - Agencies will have a Board-approved policy and documented procedure for receiving, processing, and resolving individual complaints. The grievance policy will be communicated to all individuals receiving services.

Record Retention - Agencies will have a Board-approved record retention policy. Agencies will maintain all County Board funded project documentation, including details of actual expenses, individuals receiving services, and dates of service for seven (7) years.

3.3.1.2 Legal Compliance

Agencies will comply with applicable federal, state and local laws, executive orders, regulations, and policies governing the funded project, including but not limited to those applicable to conflict of interest, harassment, non-discrimination in hiring, anti-terrorism, and privacy.

3.3.1.3 Annual Budget

Agencies will establish a documented fiscal year operating budget that is approved by its Board on an annual basis.

3.3.1.4 Financial Controls

Agencies will demonstrate financial management controls and record keeping, reports, systems and procedures for monitoring the fiscal position of their agency, which are reviewed by its Board. These are to be in accordance with Generally Accepted Accounting Principles (GAAP).

3.3.1.5 Allocation of Project Costs

Agencies will have a documented process for allocating project costs, which will be reviewed at least annually.

3.3.1.6 Allocation of Administrative Costs

Agencies will establish the overall cost of general administration of their organizations. These costs will be allocated through a formula that spreads costs equitably to all cost centers within their agency.

The method of allocating these costs will be documented and should be reviewed annually. Actual administrative costs that do not exceed 15% of the agency's total project expenses may be included in the cost of services reimbursed. Administrative costs should not include fundraising costs.

3.3.1.7 Publicizing Funding

The Alliance values opportunities to educate taxpayers about how tax dollars, through County Board funding, are being invested in community programs that increase the independence and the quality of life for individuals with developmental disabilities. Identifying County Board(s) as a funding partner acknowledges the community's contribution while educating the public on the quality supports and services available to its citizens with developmental disabilities.

Agencies will acknowledge the County Board(s) as a funding source whenever publicizing funded programs in press releases, articles, media reports, interviews, videos, electronic publications, website, oral and poster presentations, printed brochures, exhibits or other materials.

3.3.2 Project Standards

Project Standards outline the Alliance's requirements for the implementation of funded Projects.

3.3.2.1 Individual Eligibility Requirements

Qualifying Disabilities

The following summarizes the eligibility requirements for the four County Boards.

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

OR

- 630.005 RSMo (DD Advocates, DD Resources, DDRB, and PLB)

A disability which is:

 - 1) Attributable to:
 - a. Intellectual disability, cerebral palsy, epilepsy, head injury or autism, or a learning disability related to a brain dysfunction; or
 - b. Any other mental or physical impairment or combination of mental or physical impairments, and is
 - 2) Manifested before the person attains age twenty-two; and
 - 3) Likely to continue indefinitely; and
 - 4) Results in substantial functional limitations in two or more of the following major areas of life activities:

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

OR

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

OR

- First Steps Enrollment (DD Resources, DDRB, and PLB)
 - Children ages 0 to third birthday who are enrolled in Missouri First Steps.

Proof of Disability

The Alliance accepts the following as proof of disability:

- 1) DMH/DD I.D. Number - Individuals determined eligible for Department of Mental Health (DMH) services and have a DMH/DD I.D. number can access services; after the age of 5, if the individual is determined eligible by DMH they remain eligible for services;
- 2) DESE Certification - Sheltered Workshops may use the DESE Certification, with reference to a developmental disability diagnosis;
- 3) First Steps Individualized Support Plan (IFSP) - Children ages 0 to 3rd birthday enrolled in MO First Steps Agencies must submit the child’s MO First Steps IFSP, page 1 only. After the 3rd birthday, re-evaluation documentation is required. (DD Resources, DDRB, and PLB only)

Agencies may choose to provide services to individuals who have not yet been determined eligible. Agencies that choose to provide services are encouraged to track units of services provided and may back-bill for those units if the individual is deemed eligible within the current fiscal year only. County Boards may approve funding on a case-by-case basis.

DD Resources and PLB

Agencies serving individuals who are not deemed eligible by the Department of Mental Health may provide a signed statement from a physician, nurse practitioner, psychologist or LCSW as proof of a developmental disability. Proof of disability is only required once, upon enrollment.

For children under the age of 17, agencies may use a current Individual Education Plan (IEP) which states one of the following diagnosis: Autism, Cerebral Palsy, Epilepsy, Intellectual Disability. Re-evaluation documentation is required when the triennial evaluation expires.

3.3.2.2 Other Project Funding and Waiver Recipients

Agencies are encouraged to access and utilize all other funding sources (e.g. Medicaid, insurance, EMAP Funding, etc.) when available prior to expenditure of County Board funds. It is the responsibility of the agency to document that a service is not reimbursable under other sources of funding.

3.3.2.3 Residency Requirements

Each County Board’s funding is restricted to the residents of its county. County Boards may approve funding on a case-by-case basis for individuals who do not fall within this definition.

3.3.3 Documentation

Agencies will demonstrate that they have sufficient tools and processes to ensure services are designed and delivered in ways to meet individual needs. Agencies must maintain documentation of service delivery that includes information necessary to: a) verify number of billable units, b) demonstrate that invoiced services are allowable, and c) demonstrate that invoiced services align with the funding contract and service profile.

3.3.4 Safety

Agencies will demonstrate that their safety procedures address the safety risks and needs of the services provided.

3.3.5 Human Resources

3.3.5.1 Capacity

Agencies will maintain adequate staffing levels to deliver services according to the Alliance's Service Definitions and in compliance with their Funding Contract.

3.3.5.2 Training

Agencies will demonstrate that training ensures direct service providers/volunteers have the competencies necessary to deliver the services as described in the funding contract. Additionally, agencies must ensure designated staff are trained in the following areas:

- OSHA/Bloodborne Pathogens – All direct service providers/volunteers
- Abuse & Neglect/Individual Rights – All direct service providers/volunteers
- HIPAA/FERPA – All direct service providers/volunteers
- Behavior Prevention/Intervention – All direct service providers who serve individuals requiring behavior support
- First Aid/CPR – Agency will determine adequate number to ensure safety
- Medication Administration – All direct service providers who pass medications

3.3.5.3 Qualifications

Agencies will ensure that employees have the appropriate licensure and/or certification as required for the Service being provided. Agencies will verify and maintain documentation of current license/certification of required staff qualifications as indicated in the job description(s).

3.4 OUTCOMES

The Alliance developed a standardized list of Outcomes that reflect the impact it aims to make with the services it funds. The Alliance uses outcome data to measure the impact of funded services, assist in funding decisions, and demonstrate a return on the community's investment.

Outcomes answer the question "What are we trying to accomplish?" Outcomes describe the intended impact of the service on the people being served. Outcomes can often be broadly stated and conceptual in nature.

Indicators answer the question, "What will that look like?" Indicators translate Outcomes into more specific and measurable terms, providing operational definitions of the concepts within an Outcome. The Alliance has defined some measurable Indicators for each Outcome. There are often many possible Indicators that a given Outcome has been achieved; those listed here represent the Indicators most aligned with the goals of each Service Type. Agencies have the option of suggesting alternative indicators.

In the Service Profile for each funded service, agencies will select the Outcomes and Indicators that best capture the impact those services are intended to make. These selections should reflect the service's

intentions, design, and focus and align with the description of the program within the Profile. In the Funding Request, agencies set specific numeric goals for how many individuals *are eligible to* achieve the Indicator (denominator) and how many you expect *will* achieve the indicator (numerator) in that funding year. In the Year End Results report, agencies will report on their actual Outcomes.

The Alliance will provide training, technical assistance, peer learning opportunities, and resources to assist agencies in selecting the Outcomes and Indicators that best fit their project; selecting, adapting, or designing measurement tools that are meaningful and manageable; and collecting data.

3.4.1 Outcomes & Indicators

3.4.1.1 *Community Living*

Community Living services support individuals with establishing, developing, and maintaining skills needed to live in the community.

Community Living projects must select and report on all the Outcomes and Indicators listed below. However, the Alliance recognizes that every individual's goals and abilities are unique and that service providers tailor services to meet those individual needs. As such, not every Indicator within the list below will be applicable to every individual participating in the project.

- 1) Outcome: Individuals have life skills necessary to live independently.
 - a) Individuals improve/maintain their ability to manage belongings, financial and community resources.
 - b) Individuals gain/maintain skills for interaction with persons necessary to maintain independent living.
 - c) Individuals gain/maintain skills for housekeeping.
 - d) Individuals gain/maintain skills for health and self-care tasks.
- 2) Outcome: Individuals have the skills to ensure their safety in their homes and community.
 - a) Individuals gain/maintain skills to ensure personal safety and healthy boundaries.
 - b) Individuals gain/maintain skills for following safety procedures.
 - c) Individuals gain/maintain skills to safely navigate their community.
- 3) Outcome: Individuals live independently in the community.
 - a) Individuals remain living independently in the community.
 - b) Individuals transition to living independently in the community.

3.4.1.2 *Community Integration*

Community Integration services support individuals in accessing community and social life in self-directed, safe, and inclusive ways.

- 4) Outcome: Individuals have meaningful and self-directed experiences in the community.
 - a) Individuals report that their experiences in the community were meaningful.
 - b) Individuals report that their experiences in the community were self-directed.
- 5) Outcome: Individuals experience positive and self-directed social lives.
 - a) Individuals report increased frequency of positive interactions with people of their choosing.
 - b) Individuals report increased number of relationships with people of their choosing.
 - c) Individuals gain/maintain skills for self-advocacy.
- 6) Outcome: Individuals have the skills necessary to access and succeed in community and social life.
 - a) Individuals gain/maintain communication skills.

- b) Individuals gain/maintain social skills.
 - c) Individuals gain/maintain skills for self-management.
 - d) Individuals gain/maintain “hard” skills.
- 7) Outcome: Individuals have skills to ensure their safety in the community.
- a) Individuals gain/maintain skills to ensure personal safety and healthy boundaries.
 - b) Individuals gain/maintain skills for following safety procedures.
 - c) Individuals gain/maintain skills to safely navigate their community.

3.4.1.3 Professional Services

Professional Services are provided by qualified professionals and support the physical and/or emotional well-being of the individual and their caregiver(s).

- 8) Outcome: Individuals and their caregivers experience improved emotional well-being
- a) Individuals report experiencing fewer emotional and/or behavioral symptoms.
 - b) Individuals report improved ability to cope with stress.
 - c) Individuals report improved satisfaction with relationships.
- 9) Outcome: Individuals experience improved physical well-being.
- a) Individuals demonstrate improved strength, stability, or motor skills.
 - b) Individuals experience improved self-regulation and/or sensory processing.
- 10) Outcome: Individuals increase independence.
- a) Individuals navigate home and community settings more safely and independently.
 - b) Individuals complete daily tasks more independently.
 - c) Individuals increase their skills to communicate their wants and needs.

3.4.1.4 Support Systems

Support Systems services strengthen the individual’s natural and formal support systems.

- 11) Outcome: Individuals and/or their caregivers are able to meet their needs.
- a) Participants gain skills for stress management.
 - b) Participants report less overall stress.
 - c) Participants report increased confidence in their ability to advocate for and/or seek out services and community supports.
 - d) Participants increase understanding of their or others’ developmental disabilities.
 - e) Participants gain caregiving skills.
 - f) Individuals report increased satisfaction with family relationships.
 - g) Individuals remain in their home.
 - h) Individuals gain/maintain skills to navigate formal support systems.
 - i) Individuals gain/maintain skills to pursue their academic and professional interests.
- 12) Outcome: Individuals have the skills to ensure their safety in their homes and community.
- a) Individuals gain/maintain skills to ensure personal safety and healthy boundaries.
 - b) Individuals gain/maintain skills to safely navigate their community.
 - c) Individuals are free from substantiated reports of abuse or neglect.
- 13) Outcome: Individuals have necessary supports.
- a) Individuals develop/maintain natural supports.
 - b) Individuals develop/maintain connections to necessary formal supports.

3.4.1.5 Employment Training

Employment Training services support an individual, who may or may not be employed, to develop skills necessary to obtain and maintain employment in the community.

Employment Training projects must select and report on all the Outcomes and Indicators listed below. However, the Alliance recognizes that every individual's goals and abilities are unique and that service providers tailor services to meet those individual needs. As such, not every Indicator within the list below will be applicable to every individual participating in the project.

- 14) Outcome: Individuals have the skills necessary to become employed in the community.
 - a) Individuals gain/maintain "hard" skills necessary for employment.
 - b) Individuals gain/maintain "soft" skills necessary for employment.
- 15) Outcome: Individuals who are employed have skills necessary for career development and/or advancement.
 - a) Individuals accept and manage increasing responsibilities.
 - b) Individuals demonstrate increasing productivity.
 - c) Individuals gain skills for increased responsibilities.
 - d) Individual secure employment that utilizes newly developed skills.
- 16) Outcome: Individuals progress toward employment.
 - a) Individuals gain employment.
 - b) Individuals who are unemployed at the program's end are connected to opportunities supporting future employment.

3.3.1.6. Employment

Employment services support individuals with developing and maintaining the skills needed for employment.

Employment projects must select and report on all the Outcomes and Indicators listed below. However, the Alliance recognizes that every individual's goals and abilities are unique and that service providers tailor services to meet those individual needs. As such, not every Indicator within the list below will be applicable to every individual participating in the project.

- 17) Outcome: Individuals have the skills necessary to maintain employment.
 - a) Individuals gain/maintain "hard" skills necessary for employment.
 - b) Individuals gain/maintain "soft" skills necessary for employment.
- 18) Outcome: Individuals who are employed have skills necessary for career development and/or advancement.
 - a) Individuals accept and manage increasing responsibilities.
 - b) Individuals demonstrate increasing productivity.
 - c) Individuals gain skills for increased responsibilities.

3.4.1.6 Agency Supports

Agency Supports fund the development and effectiveness of partner organizations.

- 19) Outcome: The investment provides the agency with the capacity to better serve individuals and their families.
 - a) The agency completes project activities and deliverables.
 - b) The agency achieves project goals/objectives.

- 20) Outcome: The investment provides the opportunity for individuals to live in the home/environment that meets their needs.
- a) The agency completes project activities and deliverables.
 - b) The agency achieves project goals/objectives.

3.5 SERVICE GUIDELINES

Service Guidelines outline the service-specific parameters within which some funded projects must operate including service definitions, caps or limits to the amount or cost of service per individual, billable and non-billable activities, output reporting requirements, and service-specific requirements above and beyond the Project Standards.

Whenever possible, the County Boards within the Alliance have developed shared Service Guidelines that will be applied consistently across the counties. However, in some cases, county-specific Service Guidelines remain, and funded agencies should see county-specific Guidelines in the Appendices.

All forms referenced in this section and throughout the Partner Funding Manual can be found on the Alliance Portal.

3.5.1 Community Living

Community Living services support individuals with establishing, developing, and maintaining skills needed to live in the community.

3.5.1.1 Pre-ISLA

Pre-ISLA Service Guidelines	
Service Definition	Pre-ISLA services are time-limited and support individuals, who currently reside in their natural home, to build skills needed to transition to live independently.
Billable Activities	Billable units may include contact made by phone/virtual support to provide limited services/support directly related to the individual's supports.
Output Reporting Requirements	<p>Pre-ISLA projects must report:</p> <ul style="list-style-type: none"> • Number of individuals remaining in project at the end of the fiscal year • Number of individuals per status upon exit (moved to independent living without support, moved to ISLA, withdrew for other/unknown reason, other) <p>Pre-ISLA assessment projects must report:</p> <ul style="list-style-type: none"> • Number of assessments by result (referred directly to ISLA, referred to other service, withdrew for other/unknown reason)
Individual Eligibility Requirements	Individual must be 18 years or older.

3.5.1.2 ISLA

ISLA Service Guidelines	
Service Definition	ISLA services support individuals to live independently in the community. Supports promote the development of skills for independence for the individual to stay in his or her own residence and access the community.
Billable Activities	Billable units may include contact made by phone/virtual support to provide limited services/support directly related to the individual’s supports.
Caps and/or Limits	Agencies can provide up to 50 hours a month or 600 hours annually, excluding personal care assistance funded by Division of Vocational Rehabilitation (VR) or Department of Health and Senior Services (DHSS). When an individual’s support needs exceed the 50-hour cap, the agency will submit the ISLA Cap Form to the respective County Board prior to submitting the monthly invoice. Housing will not be owned and/or controlled by the lead agency.
Individual Eligibility Requirements	Individuals who reside with elderly parents/family members, children or spouses, etc. may be eligible for ISLA services. The agency will discuss specific situations with the respective County Board(s) prior to providing services.

3.5.1.3 Start Up (See DDRB (Section 10.3.1) and PLB (Section 11.3.1) Appendices)

Service Definition	Reimbursements support individuals living in the community with furnishings and household items.
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3.5.1.4 Supportive Housing

Service Definition	Services support individuals and/or families with long-term housing needs. (DD Resources only)
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3.5.2 Community Integration

Community Integration services support individuals in accessing community and social life in self-directed, safe, and inclusive ways.

3.5.2.1 Camp

Service Definition	Services support individuals to access time-limited recreational and leisure activities.
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Billable Activities	A billable unit is an hour of service or event/class/session/voucher directly related to the individual's supports.
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3.5.2.2 Socialization

Service Definition	Services support individuals to develop and/or maintain relationships and connections to their community.
Billable Activities	A billable unit is an hour of service or event/class/session/voucher directly related to the individual's supports.

3.5.2.3 Retirement Supports

Service Definition	Services support individuals to develop and/or maintain relationships, connections to their community and to maintain health, safety, and fulfillment in their retirement years.
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3.5.3 Professional Services

Professional Services are provided by qualified professionals and support the physical and/or emotional well-being of the individual and their caregiver(s).

3.5.3.1 Therapy

Service Definition	Services support individuals to access qualified professionals for occupational, physical, speech, equine and/or behavioral therapy.
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3.5.3.2 Counseling

Service Definition	Services support individuals and families to access qualified professionals to address emotional well-being.
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3.5.3.3 Adaptive Equipment & Assistive Technology (See DD Advocates Appendix – Section 8.3.1)

Adaptive Equipment & Assistive Technology Service Guidelines	
Service Definition	<p>Adaptive Equipment services support individuals and families with accessing equipment, technology and/or home modifications that increases an individual’s ability to safely and independently navigate home and community settings. Adaptive Equipment includes equipment, technology, environmental adaptations and/or maintenance and repairs that improve an individual’s experience in their home, community, daily life and work.</p>
Billable Activities	<p>Billable:</p> <p>Assistive Technology is any item, piece of equipment, software program, or product system that is used to increase, maintain, or improve the functional capabilities. Assistive Technology may include systems or services such as communication devices, remote support provision and/or monitoring devices, electronic motion sensor devices, cameras for video support, personal emergency response systems or programmable devices, etc. Use of electronic surveillance/monitoring systems using video, web-cameras, or other technology will only be available on an individual, case-by-case basis when an individual requests the service and the support team agrees it is appropriate and meets the health and safety needs of the individual.</p> <p>Adaptive equipment may include installation of removable items such as ramps, grab bars, lifts, bathing and/or positioning aids, customized seating and mobility devices.</p> <p>Environmental adaptations may include the widening of doorways, modification of bathroom facilities, or installation of specialized electric and plumbing systems which are necessary to accommodate the adaptive equipment or make the space more accessible. When evaluating requests for environmental adaptations priority must be given to individuals to access essential living spaces.</p> <p>Limited adaptive equipment and sensory items are available through the Lending Library. Items are available on loan to determine if they will be appropriate for a particular individual before purchasing. Individuals may request the desired adaptive equipment after trying an item out following the adaptive equipment procedure.</p> <p>Non-billable:</p> <p>Adaptive equipment and/or home modifications excludes adaptations or improvements to the home (i.e., increase square footage of the home, new carpeting, roof repair, household appliances, central air conditioning, etc.), equipment used to provide therapies, behavioral support, recreation, disposable items typically needed for daily living or over the counter items.</p> <p>Funding for maintenance and repairs of equipment excludes over the counter generic items such as batteries or eating utensils.</p>

Adaptive Equipment & Assistive Technology Service Guidelines	
Caps and/or Limits	<p>Annual individual Cap for:</p> <ul style="list-style-type: none"> • Vehicle Lifts and Adaptive Equipment Expenditures: \$8,500 • (includes modifications and repairs) • Home Modifications: \$10,000 <p>(Cap includes equipment, installation, maintenance, repairs, etc.)</p> <p>This service is limited to construction grade materials. Materials other than this grade are the responsibility of the individual/family.</p>
Output Reporting Requirements	<p>Adaptive Equipment projects must report the following:</p> <ul style="list-style-type: none"> • Number of assessments completed • Number of maintenance and repairs completed • Number of home modifications completed • Number of durable medical equipment items provided • Number of assistive technology items provided • Number of sensory items provided • Number of vehicle modifications
<p>Requirements Related to:</p> <p>- Documentation</p> <p>- Qualifications</p>	<p>Documentation:</p> <p>The agency must obtain an assessment completed by an appropriate professional. Agency will secure two bids. Vendor invoices will be submitted with billing. Agency will submit bids and assessment to the appropriate County Board if the recommended bid is the higher bid.</p> <p>Only removable adaptive equipment may be installed in rental homes or apartments, with written permission of the landlord/owner.</p> <p>Agency will maintain a record of all equipment purchased or loaned and environmental adaptations funded per individual and fiscal year. In addition, the agency will document and track removal and storage of equipment.</p> <p>Qualifications:</p> <p>The Agency will have the appropriate licensed therapist on staff or on contract (i.e., Physical Therapist, Occupational Therapist, Speech Therapist, Assistive Technology Professional).</p>

Adaptive Equipment & Assistive Technology Service Guidelines	
Special Considerations	<p>The agency will not be a provider of adaptive equipment, environmental adaptations and/or equipment maintenance and repair. All equipment remains the property of the agency. The agency is responsible for maintaining inventory of all equipment issued, returned and reissued. In addition, the agency will be responsible for working with the respective County Board if equipment needs to be transferred between counties.</p> <p>The agency will provide the individual/family with a written agreement stating that the agency maintains ownership of the equipment. The agreement will include instructions for the individual/family to notify the agency in the event the equipment needs repair or is no longer needed.</p> <p>Vendors must be an authorized vendor of the Department of Mental Health (DMH). The agency will ensure that Vendors are paid in a timely manner, not to exceed 90 days of receipt of invoice.</p>

3.5.4 Support Systems

Support Systems services strengthen the individual’s natural and formal support systems.

3.5.4.1 Family Support (See DDRB Appendix – Section 10.3.2)

Service Definition	Services support individuals and families through education, training, parent-to-parent connections and linking to financial resources.
Billable Activities	Billable units may include direct contact made with family members (with or without the presence of the family member with a developmental disability) that is directly related to the individual’s supports.

3.5.4.2 Childcare

Service Definition	Services support children who require additional staff support to fully participate in school break programs and before and after school childcare.
Billable Activities	Billable units may include direct contact made with family members (with or without the presence of the family member with a developmental disability) that is directly related to the individual’s supports.

3.5.4.3 Advocacy

Service Definition	Services educate and seek to promote equality, rights and respect for individuals
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	with developmental disabilities.
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3.5.4.4 Education Support

Service Definition	Services support individuals with gaining knowledge and skills needed to understand their own developmental disabilities, pursue personal interests, and build healthy relationships with others.
Billable Activities	Billable unit is an hour of service or event/class/session directly related to the individual’s supports.

3.5.4.5 In-Home Support (See DD Advocates (Section 8.3.2), DD Resources (Section 9.3.1), DDRB (Section 10.3.2.3), and PLB (Section 11.3.3) Appendices)

Service Definition	Services provide intermittent, short-term relief to the primary caregivers.
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3.5.4.6 Facility-Based Support (See DD Resources (Section 9.3.2) and PLB (Section 11.3.4) Appendices)

Service Definition	Services provide intermittent, short-term relief to the primary caregiver(s) outside of the natural home.
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3.5.5 Community Transportation (See DD Advocates Appendix – Section 8.3.3)

Service Definition	Services support individuals to access the community through safe and reliable transportation.
Billable Activities	Billable unit is a one-way trip or mileage.

3.5.6 Employment Training

Employment Training services support individuals, who may or may not be employed, to develop the skills necessary to obtain and maintain employment in the community.

3.5.6.1 Youth Employment Training

Service Definition	Services are time limited and support youth who are currently enrolled in school to develop the skills necessary to obtain and maintain employment in the community.
Individual Eligibility Requirements	Individuals will be eligible for only one Employment Training service at a time. Individuals must be at least 16 years old. For summer projects, individuals must be returning to high school the following term.

3.5.6.2 Adult Employment Training

Service Definition	Adult Employment Training services are time limited and supports adults, post high school, to develop the skills necessary to obtain and maintain employment in the community.
Billable Activities	Training sites must be developed in the community and be relevant to the individual's career choices. Training will be scheduled and coordinated in close collaboration with the Division of Vocational Rehabilitation (DVR). If the DVR meeting has not been completed, the agency may initiate the DVR meeting once significant progress toward identified training goals is achieved. Supported Employment job development may coincide with this training.
Output Reporting Requirements	<p>Employment Training projects must report:</p> <ul style="list-style-type: none"> • Number of individuals employed while in training during this FY • Number of individuals who exited the training program by reason (completed, self-identified not ready for employment, health, relocated, logistical barriers prevented participation, terminated, transitioned to another training program, withdrew for other/unknown reason)
Individual Eligibility Requirements	Individuals will be eligible for only one Employment Training service at a time. Individuals must be at least 16 years old.

3.5.7 Employment Services

Employment Services support working individuals to develop and maintain the skills necessary for employment and/or advancement.

3.5.7.1 Sheltered Employment

Sheltered Employment Service Guidelines	
Service Definition	Services provide a supervised employment option with pay based on productivity.
Output Reporting Requirements	<p>Sheltered Employment projects must report:</p> <ul style="list-style-type: none"> • Number of individuals earning wages within specified ranges • Number of individuals who received pay increases for reasons other than a minimum wage increase • Number of individuals working hours per week within specified ranges • Number of individuals with a tenure within specified ranges • Number of individuals receiving benefits (by type)

Sheltered Employment Service Guidelines	
	<ul style="list-style-type: none"> • Number of individuals working in a position of their choice • Number of individuals who left, by reason (relocated, obtained new job, no longer able to work, retired, etc.) • Number of individuals who report wanting competitive community employment • Number of individuals who obtained competitive community employment
Individual Eligibility Requirements	DESE Certification required and maintained in file.

3.5.7.2 Supported Employment

Supported Employment Service Guidelines	
Service Definition	Services support individuals in competitive community employment.
Billable Activities	Billable units may include contact made by phone/virtual support to provide limited services/support. Contact may be with the individual, employer or others as it relates to that individuals' supports. Support may be provided at a mutually agreed upon location.
Caps and/or Limits (all Counties)	Agencies may increase the level of support provided in response to certain circumstances that result in increased support needs, such as: changing job duties, changing supervisors, performance issues, or life crises.
Caps and/or Limits (DD Resources and PLB)	If utilization will exceed 40 hours in any month, agencies will submit an Employment Cap Form for approval prior to submitting the monthly invoice.
Caps and/or Limits (DDR and DD Advocates)	If utilization will exceed 6 hours in any month, agencies will submit an Employment Cap Form for approval prior to submitting the monthly invoice.
Output Reporting Requirements	Supported Employment projects must report: <ul style="list-style-type: none"> • Number of individuals earning wages within specified ranges • Number of individuals who received pay increases for reasons other than a

Supported Employment Service Guidelines	
	<p>minimum wage increase</p> <ul style="list-style-type: none"> • Number of individuals working hours per week within specified ranges • Number of individuals with a tenure within specified ranges • Number of individuals receiving benefits (by type) • Number of individuals working in a position of their choice • Number of individuals who left, by reason (relocated, obtained new job, no longer able to work, retired, etc.) • Number of individuals who report wanting competitive community employment • Number of individuals who obtained competitive community employment
Individual Eligibility Requirements	<p>Individuals are eligible if:</p> <ul style="list-style-type: none"> • The individual's funding for employment services through the Division of Vocational Rehabilitation has ended and the individual requires job coaching/retention less than 25% of the hours worked. • The individual is currently employed and has requested on the job support/retention services from a funded agency. • The individual is a student who has a part-time job and need minimal job retention services.
Special Considerations	<p>In the event an agency is able to reduce paid support to existing individuals and serve new individuals, it is the agency's responsibility to plan for and budget accordingly to cover the costs to continue providing support to the new individuals on an annual basis within the agency's current appropriation.</p> <p>Individuals receiving Employment services may on occasion choose to receive support from another Employment provider. In this event, the funder may transfer funds from the current Employment services provider to the new provider of choice, as long as the agency is a funded Employment services provider.</p>

3.5.8 Employment Transportation (See DD Advocates (Section 8.3.3), DD Resources (Section 9.3.3), DDRB (Section 10.3.4), and PLB (Section 11.3.5) Appendices)

Service Definition	Services support individuals to access employment through safe and reliable transportation.
Billable Activities	Billable unit is a one-way trip or mileage.

3.5.9 Agency Supports

Agency Supports fund the development and effectiveness of partner organizations.

3.5.9.1 Capital Funding (See DD Advocates (Section 8.3.4), DD Resources (Section 9.3.4), DDRB (Section 10.3.5), and PLB (Section 11.3.6) Appendices)

Service Definition	Capital Funding is for equipment or assistance with maintenance or construction of facilities used in the delivery of services.
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3.5.9.2 General Operating

Service Definition	General Operating Funding is for staff supporting delivery of services.
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3.5.9.3 One-Time (See DDRB Appendix – Section 10.3.6)

Service Definition	One-Time Funding is short term, time-limited and project-specific.
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3.5.9.4 Emergency Funding (See DDRB Appendix – Section 10.3.8)

Service Definition	Emergency Funding is short-term funding for agency facing an emergency situation which jeopardizes the continuity of services.
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3.6 REPORTING & MONITORING

In order to ensure that the Alliance is carefully and effectively investing taxpayer dollars in services that demonstrate a positive impact on the lives of those they serve, the Alliance collaborates with agencies to enhance agency and project performance. Through processes of self-assessment, appreciative inquiry, and thought partnership, the Alliance and its partners: 1) ensure that agencies and projects are demonstrating the Alliance’s standards, 2) identify and share promising practices with the network, and 3) build our collective capacity.

3.6.1 Service Reporting Requirements

3.6.1.1 Project Update

In the Alliance Portal, agencies will complete a Project Update that will assist agencies and County Board staff in preparing for the annual Partner Review meeting (see section 3.6.3.1). The format will be short answer and will include the following:

- Utilization - Describe conditions contributing to this project’s utilization and summarize your expectations for the remainder of the year.

- Challenges and Successes - Briefly list any barriers, challenges, or threats to this project and briefly describe your plans to respond to or overcome each. Please briefly list any achievements or successes.
- Measurement - Briefly describe any challenges or successes you are having with measuring your selected Indicators.
- Satisfaction - Review the results of the Annual Surveys the Alliance has received for your project. Briefly describe how your organization plans to act upon this information.
- Demand - Has this project experienced any marked increase in demand for services during this reporting period? If yes, please explain.

3.6.1.2 Year End Results

At the conclusion of each funding year, in the Alliance Portal, agencies will report on selected Indicators, project-specific Outputs as required in the Service Guidelines, and success stories for each funded project. Each County Board will aggregate the quantitative data submitted by agencies and create reports for their Boards and external stakeholders that demonstrate the return on taxpayers' investments.

3.6.1.3 Policy Submissions

Two weeks prior to an agency's scheduled Partner Review Meeting, an agency representative must submit via the Alliance Portal copies of the agency's Board-approved policies, which are required in the Agency Standards (see section 3.3.1.1).

3.6.2 Financial Reporting Requirements

Throughout the funding year, agencies will submit corporate and financial information and reports, which will be reviewed by the funding County Boards' finance staff.

Table 6: Financial Reporting Requirements

Documents Required	Submission Method	Due Date
Six-Month Unaudited Agency Financial Statements - Profit & Loss Statement - Balance Sheet	Alliance Portal	30 days after mid-point of Fiscal Year
Agency's Fiscal Year Operating Budget with documentation of Board approval (see section 3.3.1.3)	Alliance Portal	Upon Annual Board Approval

3.6.3 Service Monitoring Processes

3.6.3.1 Partner Review Meeting

The purpose of the Partner Review Meeting (PRM) is to gather information that can be used to inform funding decisions, strengthen the partnership, and ultimately increase impact. Partner Review Meetings will occur annually. When a project receives funding from more than one County Board, the funding Boards will conduct a combined meeting. Below is an outline of the meeting:

- Review Prior Year

- Year-End Results
 - Outcomes
 - Outputs
 - Survey Results
- Progress of Current Year
 - Demonstration of Standards (see section 3.3)
 - Background Checks
 - Individual Rights
 - Capacity
 - Training
 - Safety
 - Service Documentation
 - Adherence to Service Guidelines (see section 3.5)
 - Progress on Outcome/Indicator Measurement (see section 3.4)
 - Utilization Trends
 - Successes and Challenges
- Prepare for Next Year
 - Review Service Profile (service description, target population, etc.)
 - Review Funding Request (units, budget, etc.)

At the conclusion of the visit, the participating County Board staff will develop consensus and provide a summary report that includes the following components that will be shared with the agency and with the Boards of Directors of the funding counties:

- Observations - These include feedback on the degree to which the Project demonstrates the Alliance's Standards and Guiding Principles.
- Action Items - These include follow-up items for both the agency and the County Board(s). For agencies, this could include the identification and implementation of changes to policies or procedures that could better demonstrate the Standards or Guiding Principles. For the County Boards, this could include the provision of technical assistance, opportunities for peer learning, or sharing the promising practices observed.
- Capacity Needs - Through our discussion of successes and challenges, the Alliance will identify capacity-building opportunities.
- Opportunities for Improvement - During the Partner Review Meeting, agencies will have the opportunity to provide candid feedback on the Alliance's new framework and procedures, which will assist the Alliance with ongoing quality improvement.

3.6.3.2 *Project Visits*

Annually, representatives of at least one County Board funding each project will visit the agency to observe the project, as appropriate. The purpose of this visit is to see, experience, and better understand an agency's services, context, expertise, and challenges.

3.6.4 Financial Monitoring Processes

Financial Reviews are intended to assess the overall financial controls and conditions of an agency and occur on an ongoing basis. County Board finance staff will consult and share information with their Alliance counterparts when reviewing jointly funded agencies. Financial Reviews include three components, which are outlined below.

3.6.4.1 Invoice Verification

On an ongoing basis, the Alliance will randomly select for review a small sample of invoices from the pool of all invoices from all agencies. The Alliance will request supporting documentation to verify the number of units or costs billed for select lines within a selected invoice. County Board finance staff will notify the agency of the invoice integrity upon completion.

3.6.4.2 Financial Report Review

County Board finance staff will review the required financial reports (see section 3.6.2) to calculate financial ratios for the purpose of assessing short- and long-term financial stability. County Boards may request to review additional documentation in order to better understand and assess the agency's financial position and thus to ensure effective stewardship and demonstration of standards.

3.6.4.3 Audited Unit Rate

Annually, County Boards will review the agency's audited unit rate. If the audited unit rate reflects a lower unit rate than the County Board contracted unit rate, the County Board may consider requesting a repayment and/or adjusting the current contracted unit rate. A County Board may require additional unit rate verifications. See section 11.5.1 for PLB's requirements and review procedures.

3.6.4.4 Feedback

At least quarterly, County Board finance staff will convene to discuss any questions or observations related to ongoing financial reporting and monitoring. The funding counties' finance staff will collaborate to identify items that require clarification or action and document those in a letter to the agency's Finance Director. Agencies will respond within 10 business days.

3.6.5 Financial Review Meeting

At least once every three years, finance staff of each County Board funding an agency will conduct a joint Financial Review Meeting with the agency. Meetings may be scheduled more frequently, at the discretion of County Boards, based upon observations or questions that arise during ongoing financial monitoring. County Boards' finance staff will contact agencies to schedule a Financial Review Meeting and provide agencies with information and materials to support their preparation for the meeting, at least 30 days prior to the review. The purpose of the meeting is to gather information that can be used to further assess the financial position of the agency, strengthen the partnership, and inform funding decisions.

Upon completion of Financial Review Meetings, County Board finance staff will send a letter of review, noting observations, findings, or funding implications to the agency's Executive and Finance Directors and will be maintained in County Board agency general file. Results may also be shared with both the County and Agency board members.

An Observation is a minor deviation from Alliance standards. A Finding indicates a substantial non-compliance with Alliance standards or policies and requires a plan of action. Within 20 business days of receiving a letter containing findings, the agency will respond with an action plan and timeline to address the finding(s). If the agency is unable to prepare an action plan, the issue may be elevated to the County Board Executive Director and/or Board of Directors.

3.7 ANNUAL SURVEY PROCESS

County Boards will seek feedback regarding funded services annually by sending out a survey to all individuals who received funded services in the past fiscal year. The purpose is to ensure service excellence and identify future needs.

4 FUNDING

Agencies seeking funding must submit a Funding Request that includes the Service Profile and Budget for each service within a Project. Funding Requests will be submitted via the Alliance Portal.

4.1 THE ALLIANCE PORTAL

The Alliance Portal represents the culmination of the Alliance's efforts to reduce duplicative and unnecessarily burdensome administrative processes for agencies. This custom-designed, secure website not only supports the collection of data but also supports efficient and effective management with dashboards of real-time data and automated processes. Through the Portal, agencies will seek and manage their funding, enter billing, and submit financial and service reports. Agencies will designate an administrator that is tasked with assigning agency users within the Alliance Portal, which will grant them access to the necessary Portal data and functions. The Agency Administrator will enter and regularly update contact information by project.

4.2 SERVICE PROFILES

A Service Profile is a description of the service for which an agency is seeking funding. Agencies must complete a Service Profile(s) with their first Funding Request and update annually as needed. Agencies must discuss proposed changes with the appropriate County Board staff prior to making updates. The Service Profile contains the following sections:

- Impact: Description of how the individual and/or their support system will be impacted as a result of receiving this service.
- Need for Service: Description of need for the service.
- Program Design: Description of how the service will be provided.
- Target Population: Description of individuals to be served including relevant criteria such as age, diagnosis, eligibility criteria and other relevant characteristics.
- Intensity/Duration: Description of when the service will occur including relevant descriptors such as frequency, seasonality, or business hours and any changes in service intensity over the course of service.
- Location: Select all locations where services are provided (Individual's home, Community, Job Site, Camp, School, Other).
- Level of Support: Description of support provided. Examples: Individual or group. What is the staff to individual ratio?
- Unit of service: Description of unit. Examples: one hour, day, trip, event, etc.

4.2.1 Outcome Indicators

Within the Service Profile, agencies will select the Outcomes and Indicators that best capture the impact the service is intended to make. These selections should align with the description of the program design described in the narrative, reflecting the service's intentions, intensity, duration, and the level of support provided. For each Indicator, agencies will define which individuals could achieve that Indicator by defining who will be included in their measurements of that Indicator. This becomes the denominator when setting numeric goals in the Funding Request.

4.3 FUNDING REQUEST

The Funding Request is the required county-specific information needed for the fiscal year. It contains the following sections:

- Budgets – Proposed revenues and expenses for the Service
- Units to be Provided – Proposed number of units to be provided as a result of this funding
- Number of Individuals Served – Number of individuals projected to receive services
- Outcome Indicator Goals – Specific numeric goals for how many individuals *are eligible to* achieve the Indicator (denominator) and how many you expect *will* achieve the indicator (numerator) in that funding year.
- Contacts – Primary and secondary contact persons for the service

4.4 APPROVAL PROCESS

Each County establishes and implements its own processes for making market rate and cost of living adjustments, reviewing and approving Funding Requests, and reviewing and deciding appeals (See DD Advocates, DD Resources, DDRB, and PLB Appendices).

4.5 FUNDING CONTRACTS

Agencies will contract for services with each County Board separately.

4.5.1 Contract Conditions

County-specific conditions of funding may be part of an agency's funding contract.

4.5.2 Summer Projects

Summer Projects will be funded October 1 - September 30. Agencies will request funding during the annual funding cycle.

4.5.3 New Projects

A new project is any project not currently funded by the County Board. New project funding availability varies and will be announced as it becomes available. Agencies requesting funding for new projects will contact the respective County Board to request a meeting to determine the project's eligibility.

The agreements and requirements for new projects may be listed as conditions of funding in the annual Funding Contract. Conditions of funding may include additional reporting requirements and specific guidelines for project implementation including output reporting or outcome measurement. Typically, projects can be in "new project" status up to five years. However, funding is requested on an annual basis; continuation of annual funding is never guaranteed.

5 INVOICING PROCEDURES

The agency staff approving and submitting the invoice is certifying that the expenditures are true and correct to the best of their knowledge. Funding reimburses agencies for contracted services and expenditures. All invoices are submitted via the Alliance portal. If there are no expenditures for a given month, the agency must submit a zero-dollar invoice for that month before the next month's invoice becomes accessible on the portal. Agencies should retain additional supporting detail for all invoices for periodic review by the County Board finance staff (see section 3.6.4.1).

5.1 POS INVOICES

Agencies must enter eligible Individuals into the portal and verify their eligibility before the individual will be accessible on the POS invoice in the portal. Monthly, the Alliance portal generates POS invoices for each project, and agency staff will access the invoice and enter units of service per individual per month on the Purchase of Service Addendum in the portal.

If an agency needs to bill for units from a prior month, the agency will enter the prior month's information on the Purchase of Service Addendum that includes the individual's billing number, number of units, and month of service. Units of service from multiple months for an individual should not be reported collectively on the same line.

5.2 REIMBURSEMENT GRANT INVOICES

Invoices will include the line items as listed on the Funding Request. Agencies will bill expenses per line item, and line item expenditures are not to exceed the annual amounts specified for each. These invoices may or may not (per the approved Funding Request) require the program participants' names to be listed on the invoice. Each County Board may have its own requirements for supporting documentation, primarily for capital and real estate reimbursements (See DD Advocates, DD Resources, DDRB, and PLB Appendices).

5.2.1 Line Item Adjustments

Agencies may request line item adjustments by submitting a Budget Revision Request Form to the finance staff of the funding County Board(s). Consideration of the request is based on the following:

- overall intent of the project is unchanged, and;
- explanation for adjustment is reasonable and justifiable, and;
- total amount approved for the project is unchanged.

A copy of the completed Budget Revision Request Form will be returned to the agency indicating the status of the request.

5.3 INVOICING TIMELINE

Agencies will submit invoices within the month following the date of service. The agency will receive notification from the County Board regarding any invoicing discrepancies or individual eligibility issues. Invoices will be held until resolved. Agencies have 90 days from the billing month to notify County Boards of billing errors and to make corrections. Invoices submitted over 90 days after the month in which the expenditure was incurred will require the County Board's finance staff's approval for

payment. All final invoices for the fiscal year are due July 31. All billing errors must be resolved by July 31.)

5.4 PAYMENT

Prior to disbursement of funds, a signed Funding Contract must be on file with the County Board office and contract conditions must be met. County Boards reserve the right to withhold payment if Service or Financial Reporting Requirements are not met (see sections 3.6.1 and 3.6.2) and/or if the agency has not adequately demonstrated the Alliance's Standards (see section 3.3).

County Boards will make payments to agencies within 30 days of receipt of invoice.

6 TIMELINES

6.1 ANNUAL FUNDING CYCLE

The chart below provides a general overview of a typical annual funding cycle calendar. The Alliance will notify agencies annually of specific dates.

Table 7: Annual Funding Cycle

	Jul	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun
Board Resolution, Corporate Info, Funding Requests Due												
Review Funding Requests												
Make & Announce Funding Decisions												
Annual Survey Administration												
Project Update & Policy Submissions				Due 2 weeks before PRM								
Partner Review Meetings												
Year End Results Due												
Final FY Invoices Due												

6.2 SUBMISSION REQUIREMENTS (FY '21)

Agencies must submit the following documents and information to the Alliance Portal.

Table 8: FY '21 Submission Requirements

Due	Requirements
With submission of first Funding Request	Certificate of Good Standing Articles of Incorporation IRS Determination Letter
With submission of first Funding Request and upon revision thereafter	Bylaws Cost Allocation Methodologies
Within 30 days of the midpoint of the agency's fiscal year	Six-month unaudited financial statements including Profit & Loss Statement and Balance Sheet
Annually upon completion or approval	Agency Operating Budget and documentation of Board approval Audit and Audited Unit Cost Report IRS 990 Proof of Insurance
Two weeks prior to Partner Review Meeting	Project Update Policies required in Standards
July 31st	Year End Results Final invoice for fiscal year

7 GLOSSARY

Agency Administrator: Agency representative who assigns users to the Alliance Portal and is responsible for regularly updating the agency's contact information.

Agency/Agencies: For profit or nonprofit organization with whom the Alliance contracts for the provision of services.

Articles of Incorporation: Corporate organization documents that establish a corporation as a separate business entity.

Audit Management Letter: An internal control letter that may accompany the financial audit which indicates potential financial control weaknesses and corrective actions.

Audited Unit Cost Schedule: An extra schedule, typically in the financial audit, that the CPA firm prepares for programs funded by a Purchase of Service Funding Contract. The schedule indicates an audited unit cost which is summarized and reviewed by the organization's external auditors.

Best Practice: A technique or methodology that has been shown by research and experience to produce optimal results and that is established or proposed as a standard suitable for widespread adoption.

Board Resolution: Method of authorizing the agency to seek County Board funding. Identifies those authorized to sign contracts.

Bylaws: The corporate rules of an organization, established by the Board of Directors initially during the process of forming a corporation.

Caregivers: Refers to the person(s) who bear the greatest responsibility for the daily care of a person who cannot complete typical activities of daily living independently. Responsibilities of a caregiver might include managing medications, talking to doctors and nurses on someone's behalf, helping to bathe or dress someone or taking care of household chores, meals, or bills for someone who cannot do these things alone.

Certificate of Good Standing: Certificate provided by the Secretary of State's office that provides formal proof of authorization to do business in the state.

Certificate of Insurance: A document provided by an insurance company or broker indicating types of insurance coverage and associated limits.

CIMOR: Customer Information Management, Outcomes, and Reporting (CIMOR) is the secure database system Department of Mental Health uses to record individuals' information and services.

COLA: Cost of Living Adjustment

Competitive Community Employment: Employment in a location where the employee interacts with persons without disabilities, where all employees are compensated at a rate that is minimum wage or higher and are eligible for pay, where the employee has access to benefits and advancement equal to other employees who have the same or similar positions. Vocational Rehabilitation and the Department of Labor use the terminology: 'competitive, integrated employment'.

Cost Allocation Methodology: A standardized approach for spreading service expenses to various cost centers using logical rationale with the intent of estimating the actual costs of services.

Denominator: In the context of outcome reporting, the denominator is the number of people included in the measure who were eligible to achieve an indicator.

Department of Health and Senior Service (DHSS): The Missouri Department of Health and Senior Services plans, coordinates, and delivers a variety of public health services to Missourians. These services, many of which are delivered by agencies or organizations funded by the Department, include maternal and child health care, services for children with special health care needs, dental health care services, immunization programs, sexually transmitted disease control programs, tuberculosis control programs, community sanitation and radiological health programs, support for emergency medical services and training for personnel, epidemiology and disease surveillance, community health nursing and home health care programs, laboratory services, licensing of hospitals, licensing of health care and day care facilities, chronic disease prevention programs, and nutrition education.

Department of Mental Health (DMH): The Missouri Department of Mental Health is commonly referred to as DMH, locally known as Regional Office, SLRO, St. Louis Regional Office, Tri-County, and at times, the Division of Developmental Disabilities and DDD. DMH is a state-operated department that provides prevention, treatment/habilitation and promotion of public understanding for Missourians with mental illnesses, developmental disabilities, and addictions. DMH is separated into three divisions. One of which is the Missouri Division of Developmental Disabilities. Local DMH Regional Offices include: Tri-County Regional Office includes St. Charles County, Jefferson County and St. Louis City. St. Louis Regional Office serves the St. Louis County region.

Direct Service Provider (DSP): Paid staff (i.e. direct support professionals) and volunteers who work directly with individuals with developmental disabilities.

Division of Vocational Rehabilitation: The Division of Vocational Rehabilitation (also referred to as DVR, VR, Voc. Rehab.) is a state run program that is funded, in part, by the U.S. Department of Education that specializes in employment and training services that can assist individuals with disabilities in becoming employed.

Family Care Safety Registry (FCSR): Family Care Safety Registry (FCSR) helps to protect children, seniors, and the disabled by providing background information. This service is intended to provide information to help families and employers make informed decisions when hiring employees to work with children, the elderly, and the disabled. <https://health.mo.gov/safety/fcsr/>

Family Educational Rights and Privacy Act (FERPA): The Family Educational Rights and Privacy Act (FERPA) is a Federal law that protects the privacy of student education records.

Formal Support: Services provided by professionals or trained employees who are typically paid for their work.

Funding Contract: Legal annual contract between County Board and agency for the purchase of services or grant funding.

Hard skills: Knowledge and abilities necessary to properly perform a task. They can also be thought of as job-specific and/or task related skills typically learned through education or training.

Health Insurance Portability and Accountability Act (HIPAA): Health Insurance Portability and Accountability Act of 1996 (HIPAA) is the United States legislation that provides data privacy and security provisions for safeguarding medical information. <https://www.hhs.gov/hipaa/for-professionals/security/laws-regulations/index.html>

Inclusive: Inclusive services and environments ensure that people of differing abilities visibly and palpably belong to, are engaged in, and are actively connected to the goals and objectives of the whole wider society.

Indicator: Indicators answer the question, “What will that look like?” Indicators translate Outcomes into more specific and measurable terms, providing operational definitions of the concepts within an Outcome.

Individual: A person with a disability who is receiving funded services

Integrated: Services and environments that ensure persons with disabilities exist in mainstream environments with non-disabled peers without changing the overall system. The adaptations support an individual in an existing setting.

Internal and Financial Controls: A system of process and procedures designed to protect an agency’s assets and integrity of financial reporting.

IRS Determination Letter: Sometimes referred to as a 501I(3) letter, this letter is from the Internal Revenue Service (IRS) which certifies that the IRS recognized organization as a not for profit exempt from taxes.

Measurement Tool: A means of data collection. Examples include surveys, assessments, rating scales, and observation checklists.

Medicaid Waiver: Medicaid Waivers are also known as Home and Community-Based Services (HCBS) Waivers, Developmental Disabilities Waivers or simply ‘Waivers’. A state may use Waiver funding for integrated, community-based services for individuals whose care needs would otherwise require services in an institution. The five Missouri Medicaid HCBS Waivers are the Comprehensive Waiver, Missouri Children with Developmental Disabilities Waiver (MOCDD or Sarah Jian Lopez Waiver), Community Support Waiver, Partnership for Hope and Autism Waiver.

Missouri Association of County Developmental Disabilities Services (MACDDS): An association of county Senate Bill 40 Boards. They operate with locally generated tax revenues, which provides a base from which to support and protect the concept of locally based services for individuals with developmental disabilities.

Natural Home: Home setting where an individual resides, typically with parents and/or family as the primary caregivers.

Natural/Informal Support: Unpaid support received from family, friends, community members, etc.

Numerator: In the context of outcome reporting, the numerator is the number of individuals who achieved an Indicator.

Ongoing Services: Services expected to continue on an ongoing annual basis.

Occupational Safety and Health Administration (OSHA): Occupational Safety and Health Administration is the federal organization that has standards regarding Bloodborne pathogens, which are designed to protect at-risk employees from exposure to blood and other potentially infectious materials.

Outcome: Outcomes answer the question “What are we trying to accomplish?” Outcomes describe the intended impact of the service on the people being served. Outcomes can often be broadly stated and conceptual in nature.

Output: Outputs answer the question, “How much did you do? What did you deliver?” Outcomes describe what or how much was produced by a project and/or describe the status of an individual on a variable that’s not necessarily a reflection of the project’s effectiveness or success.

Participant: A person who is receiving funded services, who is not the person with the disability, but benefits from the services (i.e. parents, siblings, school personnel, etc.).

Policy: A documented statement of intent that is implemented via a procedure or protocol.

Purchas of Service (POS): Purchases of Service funding is based on purchasing units of service, typically hours, from agencies at an agreed upon unit cost rate.

Procedure/Process: An established method of accomplishing a task, usually with steps that are performed in a prescribed order.

Project: Projects represent a collection of funded Services within an agency.

Quality Assurance: Quality Assurance (QA) is the practice of designing work (services, processes, etc.) in ways that ensure they will meet customer expectations.

Quality Control: Quality Control (QC) processes and tools monitor the degree to which the work is implemented as intended and the degree to which it actually meets standards.

Self-advocacy: Speaking up for oneself, making decisions about one’s life, learning how to get information so that one can understand things that are of interest, knowing one’s rights and responsibilities, reaching out to others when help is needed.

Self-Directed: Individuals choose their own mix of supports and services, staff and organizations that provide them, and schedule that works best. Individuals have control over the funding to choose services that are right for them and their own unique strengths and needs.

Self-management: Taking responsibility for one’s own behavior and well-being.

Self-regulation: Managing one’s own behavior, impulses, emotions, and thoughts in the pursuit of long-term goals.

Service: The smallest and most specific element of a funded Project, which contains unique interventions and activities and is distinguished by a specific unit rate in POS funding contracts.

Soft Skills: Personality traits and behaviors, such as habits, values and attitudes displayed in different situations. Examples include communications skills, reliability, responsiveness, courtesy, problem-solving, creativity, adaptability, work ethic, etc.

Standards: The Alliance's Standards outline the requirements funded Agencies and Projects must demonstrate related to policies, procedures, documentation, and management practices.

Statement of Functional Expense: Expenses Schedule required in the financial audit which reports an agencies expenses by various functional and or service areas.

Support System: Network of people providing an individual with practical or emotional support.

Unit: A billable unit is an hour of face-to-face service, event/class/session, one-way trip or mileage as defined in the Funding Contract.

Unit Rate: Rate of payment for services based on the cost of the services divided into service units.

Vendor: A business/organization that is contracted for goods or services.

8 APPENDIX A: DD ADVOCATES

8.1 DD ADVOCATES INFORMATION

8.1.1 Mission

The mission of Developmental Disability Advocates is to provide resources to create opportunities for individuals with developmental disabilities in Jefferson County to live full and enriched lives.

8.1.2 Vision

The vision of Developmental Disability Advocates is that individuals with developmental disabilities live a life of their choice and are fully included in the community.

8.1.3 Values

Developmental Disability Advocates believes in the following Core Values and will adhere to these values in all that it does on behalf of individuals with disabilities:

Person-Centered:

- **Respect & Dignity:** All individuals are treated with respect and dignity and their rights are ensured by persons providing them with services and supports.
- **Valued:** All individuals are viewed holistically as valued members of their family and the community.
- **Choice:** Individuals and/or the support team design their services to enhance their lives and achieve their personal vision.
- **Quality Services:** Individuals and/or the support team determine the quality of services based on the outcomes experienced.

Financial Accountability:

- **Management:** All public and private funds shall be administered with transparency and in full compliance with acceptable accounting standards.
- **Sustainability:** The financial status of Developmental Disability Advocates, along with those organizations it funds, shall have a strong viability for the short and long term.
- **Stewardship:** Developmental Disability Advocates shall utilize its available resources in the most efficient and effective manner possible.
- **Outcomes:** Providers seeking funding from Developmental Disability Advocates shall define and demonstrate their positive impact on the lives of individuals served.

Leadership:

- **Staff Excellence:** The organization strives to recruit, hire, train and retain employees with the best skill sets and provide opportunities for professional growth.
- **Board / Staff Partnership:** Board members and staff work together to fulfill the organization's mission, through open communication in a spirit of collaboration and consensus building based on trust and respect of each other's roles and responsibilities.

- Community Partnerships: Developmental Disability Advocates facilitates a service delivery system that maximizes coordination to increase effectiveness and efficiency without infringing on individual choice.
- Creativity / Innovation: Developmental Disability Advocates will explore new service models and trends that represent best practice for consideration and implementation.

8.1.4 Administration

DD Advocates has 39 employees – 4 in administration and 35 in service coordination. Key administrative staff include:

- Stacey Ismail, Executive Director, slismail@ddadvocates.org, (636) 282-5500
- David Weiler, Director of Administration, dwweiler@ddadvocates.org, (636) 282-5500
- Dawn Warner, Executive Assistant, dmwarner@ddadvocates.org, (636) 282-5500

DD Advocates has the following locations:

- Administration Office: 998 E. Gannon Dr., Suite 204, Festus MO 63028
- Service Coordination: 1615 Vine School Road, Herculaneum, MO 63048
- Mailing Address: PO Box 427, Herculaneum, MO 63048

8.2 BOARD OF DIRECTORS

DD Advocates has a nine-person voluntary Board appointed by the County Executive with the advice and consent of the County Council. A list of current Board members and officers is available on our website.

8.2.1 Board Committees

The Executive Committee consists of the Chairperson, Vice-Chairperson, Secretary and Treasurer. The following committees meet as needed: Finance/Audit Committee, Nominating Committee, Public Awareness Committee and Structural Development (Construction) Committee.

8.2.2 Board Meetings

Board meetings are held the 4th Monday of every month at 6:30 pm, except for May and December.

8.2.3 Appeals Process

An agency Executive Director may submit a written appeal to DD Advocates, through its Executive Director, detailing actions the agency thinks do not comply with DD Advocates' policies/bylaws, within 60 days of the action. Please note, an agency's funding award amount is final and is not subject to appeal. The DD Advocates Executive Director will meet with the Executive Committee within 20 business days of receipt of the appeal to discuss and prepare a recommendation to the full Board, which will be provided at the next regularly scheduled Board meeting. The Board will inform the agency in writing of its decision within 10 working days of the Board meeting. The decision of the Board on all appeals is final.

8.3 SERVICE GUIDELINES

8.3.1 Adaptive Equipment

Caps and/or Limits	DD Advocates has a \$5,000 individual cap on both home and vehicle modification projects. Exceptions to this will be considered on a case by case basis. We discourage funding projects in consecutive years for the same individual.
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8.3.2 In-Home Support & Facility-Based Support

DD Advocates provides funding to NextStep for Life to administer in home support services through the MyCare voucher program.

8.3.3 Community & Employment Transportation

A billable unit is either a daily fee per scheduled route or an hourly fee for demand response trips.

8.3.4 Capital

Capital items are defined as items that are to be requested for reimbursement one-time, have a useful life of more than one year, and which cost at least \$2,500 or more. Requests are limited to the actual/direct cost of the item and cannot include allocation of indirect or administrative costs. Requests may be based on actual dollars paid by the agency and may not include funds given in-kind. DD Advocates does not reimburse expenses for costs incurred by the applicant prior to the fiscal year for which the funding is approved. Capital items are classified into one of the following 4 categories:

- 1) Program Support:
 - a) Items requested must cost at least \$2,500 and be for direct use of individuals with developmental disabilities or necessary to maintain a direct service program. Items must be necessary to achieve the targeted outcomes of the program.
 - b) DD Advocates Grants: up to 80% of actual item purchase cost with a maximum grant of \$100,000.
 - c) Examples: therapy equipment, furnishings, machinery, renovations necessary for program, computer/software directly used for individuals with developmental disabilities.
- 2) Administration:
 - a) Items requested must cost at least \$2,500 and must improve the overall efficiency or effectiveness of the agency which provides a direct service program supporting individuals with developmental disabilities.
 - b) DD Advocates Grants: up to 80% of actual item purchase cost with a maximum grant of \$100,000.
 - c) Examples: management training, cost containment consultation, business office software, building renovations.
- 3) Vehicles:
 - a) DD Advocates will consider granting funds to an agency for no more than 20% of the cost to purchase vehicles that are used primarily for transporting/supporting Jefferson County residents with developmental disabilities. We will consider exceptions to the 20% maximum for agencies not eligible for Section 5310 funding from the Federal Transit Administration.
 - b) It is the intent of this policy to encourage the use of other sources of funding available for vehicle acquisition/replacement (e.g., Section 5310 programs).
- 4) Equity Investment:

- a) DD Advocates partners with Rainbow Village Properties for the purchase/construction of homes for individuals with developmental disabilities receiving residential supports in Jefferson County, Missouri. DD Advocates contribution is typically 25%-33% of the project cost and we receive either a First or Second Deed of Trust, as applicable. Rainbow Village Properties owns/maintains the home and leases it to the residents with developmental disabilities. A provider agency operates the residential supports as appropriate for the residents with developmental disabilities.

Agencies must coordinate with Rainbow Village Properties to request such funding from DD Advocates. DD Advocates intends to budget to fund an average of one such home during each fiscal year.

8.3.4.1 Disposition of Capital Purchases for Types 1-3 above

All capital items of type 1-3 above which were purchased with DD Advocates funding are the property of the reimbursed agency. There is no formal lien required by DD Advocates. However, the capital funded Agency cannot repurpose, sell, trade, dispose of, in any manner alter the ownership of, or relocate out of Jefferson County such DD Advocates funded equipment/items within 5 years without prior written approval of DD Advocates. If such approval is given, DD Advocates shall be reimbursed for its portion of the acquisition cost. The reimbursement shall be reduced by 20% per year for each year that the capital item was used as originally intended. Therefore, the requirement to reimburse DD Advocates disappears after 5 years of use. DD Advocates may request to see any previously funded capital items during Financial Review Meetings occurring at the capital funded Agency.

8.3.4.2 Disposition of Capital Purchases for Type 4 above

Disposition of Rainbow Village Properties owned homes partially funded by DD Advocates will occur as detailed in the specific Deed of Trust and the specific Equity Funding Contract associated with each specific property. It is the intention of DD Advocates that such residential properties be used to support individuals with developmental disabilities in perpetuity.

8.4 APPROVAL PROCESS

Funding requests that are submitted by the due date will be reviewed by the Finance Committee in March/April. If the Finance Committee determines it is necessary to meet individually with a provider agency, this will also be completed in March/April. The Finance Committee prepares funding recommendations for the full Board which are discussed/approved at the regular April Board meeting. Agencies receive notification of awards in May.

9 APPENDIX B: DD RESOURCES

9.1 DD RESOURCES INFORMATION

9.1.1 Mission

DD Resources' mission is to ensure individuals with developmental disabilities in the City of St. Louis have quality services, choices, and full inclusion.

9.1.2 Vision

DD Resources' vision is an inclusive community that maximizes individual abilities.

9.1.3 Values

To help meet its mission, DD Resources has seven core values:

- Support – We identify and provide assistance to individuals in reaching their greatest potential.
- Self-Determination – We ensure that individuals have the right to participate in planning their own future and selecting their own supports.
- Choice – We ensure that individuals have the opportunity to choose the services and providers that will meet their specific needs.
- Stewardship – We administer public funds fairly, with openness and integrity.
- Responsiveness – We are effective, efficient, accessible and act in a timely manner.
- Partnership – We support these core values through partnerships with individuals, providers, the community and other funders.
- Respect – We respect every individual.

9.1.4 Administration

The St. Louis Office for Developmental Disability Resources is located at 2121 Hampton Avenue, St. Louis, MO 63139. The phone number is 314.421.0090. Key members of DD Resource's administration include:

- Executive Director: Shaelene Plank, splank@stlidd.org, ext. 601
- Controller: Lisa Briggs, lbriggs@stlidd.org, ext. 605
- Senior Agency Relations Representative: Nate Head, nhead@stlidd.org, ext. 607
- Agency Relations Representative: Ebony Young, eyoung@stlidd.org, ext. 608

9.2 BOARD OF DIRECTORS

A list of our board members and their offices can be found on our website.

9.2.1 Board Committees

The Executive Committee has general supervision of the affairs of the Board between its regular meetings; makes recommendations to the Board and is empowered to take action for the Board in case of an emergency provided; however, any such action is presented to the Board for ratification at its next regular meeting.

The Nominating/Personnel Committee consists of three members of the Board and submits to the Board names of nominees to fill offices of the Board. The Nominating/Personnel Committee submits to the Board for recommendation to the Mayor, nominees to fill vacancies on the Board of Directors. The Nominating/Personnel Committee also recommends to the Board on matters pertaining to personnel policies of the Board.

Finance Committee is composed of the Treasurer and at least two other directors are appointed by the Chairperson of the Board. It is the duty of this committee to oversee the financial policies of the Board and to recommend action to be taken to the Board including, but not limited to, the annual budget, financial statements, banking procedures, insurance, and an annual audit.

Program Committee consists of three members and makes recommendations to the Board on matters pertaining to agency programs.

9.2.2 Board Meetings

Board meetings are public meetings and are typically held during the months of February, March, May, June, September, and November. The dates are published on our website along with the agenda. Committee meetings are held as needed. Dates and agendas can be found on the website.

9.2.3 Appeals Process

An agency Executive Director may submit a written appeal to DD Resources, through its Executive Director, detailing actions the agency thinks do not comply with DD Resources’ policies/bylaws, within 60 days of the action. Please note, an agency’s funding award amount is final and is not subject to appeal. The DD Resources Executive Director will meet with the DD Resources Executive Committee to discuss the appeal and prepare a recommendation to the full Board. The Board will inform the agency in writing of its decision within 10 working days of the Board meeting in which the appeal is discussed. The decision of the Board on all appeals is final.

9.3 SERVICE GUIDELINES

All forms referenced in this section and throughout the Partner Funding Manual can be found on the Alliance Portal.

9.3.1 In-Home Support

In-Home Support Service Guidelines	
Service Definition	Services provide intermittent, short-term relief to the primary caregivers.
Service Delivery	<ul style="list-style-type: none"> • Agency will complete an assessment on each individual to determine the number of hours to be assessed each fiscal year per person. • The number of hours accessed for In-Home and Facility-Based Supports on an annual basis are not an individual or family entitlement and should be used responsibly. • Support can be provided through a variety of settings such as: <ul style="list-style-type: none"> ○ In the individuals place of residence; ○ in the home of a provider; and ○ in the community. • Supports are available to eligible individuals to the extent of the annual allocation.

In-Home Support Service Guidelines	
	<p>Supports for individuals who have specialized medical needs must meet the following:</p> <ul style="list-style-type: none"> • Services are provided by a licensed professional (i.e., Registered Nurse, Licensed Practical Nurse and/or a Certified Nurse’s Aide), as determined through an assessment by a physician or registered nurse. • Services are provided in the natural home, based upon the individual’s needs and the availability of resources. • Individuals must be in the process of registering for the DMH Regional Office and/or maintain active status, if eligible.
Caps and/or Limits	<ul style="list-style-type: none"> • Families may access no more than 504 hours per person per fiscal year. • Agency must monitor individual utilization on a regular basis to ensure utilization does not exceed: <ul style="list-style-type: none"> ○ 504 hours per person per fiscal year ○ 14 consecutive days per month. • In-Home Supports Reimbursements to Families <ul style="list-style-type: none"> ○ Reimbursement is capped at 14 hours within 24 consecutive hours. ○ When services are provided to 2 or more siblings at the same time, the agency will reimburse the family at the group unit rate. <p>Criteria for Requesting Additional Hours over 504-hour annual limit Consideration for requests for In-Home and Facility-Based Support beyond the 504-hour maximum is based on family need and to the extent that funds are available on an annual basis. Requests may be considered when the following circumstances apply:</p> <ul style="list-style-type: none"> • Serious illness/ hospitalization of primary caregiver, serious illness of individual, or death of primary caregiver; • Unforeseen family circumstance(s) that necessitates the primary caregiver’s absence from the home; • Temporary homelessness, where housing is denied to the individual with the disability; and • Circumstances that constitute an unforeseen, critical hardship on the family in caring for their family member with a developmental disability in the home and, in the absence of In-Home and Facility-based I Support may be at risk of having to place this individual out of the home environment on a permanent basis. <p>Requests will be denied if the following circumstances apply:</p> <ul style="list-style-type: none"> • Individual’s support needs exceed the definition of In-Home and Facility-Based Support. • Individuals do not manage their hours. • Individuals whose support needs exceed the annual limit of In-Home and Facility-Based Support or do not adequately budget their hours will be reviewed on an individual basis by staff. (Individual Support Request for Additional Hours Over 504) <p>The request for additional hours will be received and evaluated by staff.</p> <ul style="list-style-type: none"> • The In-Home Support agency will provide evidence that the DMH Regional Office has denied funding for additional In-Home and/or

In-Home Support Service Guidelines	
	<p>Facility-Based Supports.</p> <ul style="list-style-type: none"> • The following will be considered in this review: <ul style="list-style-type: none"> ○ The amount of In-Home and Facility-Based Support utilized year to date and for two prior years; ○ The specific reason for the extended need, the duration of the need, and the family’s plans to ameliorate the presenting problem and ○ Whether the individual will be returning home or the family is seeking permanent out of home placement. ○ If the individual is not returning home, the agency will work with the family, the Support Coordinator (if applicable) and other people in the individual’s life to determine the long-term residential support needs. The agency will develop a plan with timelines and submit the plan along with the request for additional hours over the 504 annual limit. <p>The above information will be submitted to DDR for review and approval utilizing the (Individual Supports Request for Additional Hours Over 504 form). The decision will be communicated to the provider agency in writing to include the amount of time approved and any conditions of approval. The agency will monitor the extension utilization. The extended support may be reduced if other more appropriate supports become available.</p>
Billable Activities	<p>Individual Support does not include:</p> <ul style="list-style-type: none"> • Daily care on an ongoing or regularly scheduled basis. • Daily care (Day Care) while a parent or legal guardian is working. • Support regularly scheduled before and or after school or work. • Care provided by a family member living in the family home. • Care provided by a mother, father, stepmother, stepfather, or any individual less than 18 years of age. • Relief to paid support staff in a family home or in the home of the individual. • Care usually associated with attendants or personal care assistants. • Care provided for an individual in the hospital. • Care provided for a child in foster care (Department of Social Services Children’s Division funds respite care for children in foster care; Missouri Resource Parent Handbook).

9.3.2 Facility-Based Support

Facility-Based Support Service Guidelines	
Service Definition	Services provide intermittent, short-term relief to the primary caregivers in a facility outside of the individual’s home.
Service Delivery	<ul style="list-style-type: none"> • Agency will complete an assessment on each individual to determine the number of hours to be assessed each fiscal year per person. • The number of hours accessed for In-Home and Facility-Based Supports on an annual basis are not an individual or family entitlement.

Facility-Based Support Service Guidelines	
	<p>Specialized medical supports must meet the following:</p> <ul style="list-style-type: none"> • Services are provided by a licensed professional (i.e., Registered Nurse, Licensed Practical Nurse and/or a Certified Nurse’s Aide), as determined through an assessment by a physician or registered nurse. • Services are provided in the natural home, based upon the individual’s needs and the availability of resources. • Individuals must be in the process of registering for the DMH Regional Office and/or maintain active status, if eligible.
Caps and/or Limits	<p>Families may access no more than 504 hours per person per fiscal year. Agency must monitor individual utilization on a regular basis to ensure utilization does not exceed:</p> <ul style="list-style-type: none"> • 504 hours per person per fiscal year • 14 consecutive days per month. <p>Criteria for Requesting Additional Hours over 504-annual limit Consideration for requests for additional hours for In-Home and Facility-Based Support beyond the 504-hour maximum is based on family need and to the extent that funds are available on an annual basis.</p> <p>Requests may be considered when the following circumstances apply:</p> <ul style="list-style-type: none"> • Serious illness/ hospitalization of primary caregiver, serious illness of individual, or death of primary caregiver; • Unforeseen family circumstance(s) that necessitates the primary caregiver’s absence from the home; • Temporary homelessness, where housing is denied to the individual with the disability; and • Circumstances that constitute an unforeseen, critical hardship on the family in caring for their family member with a developmental disability in the home and, in the absence of In-Home and Facility-based Residential Support may be at risk of having to place this individual out of the home environment on a permanent basis. <p>Requests will be denied if the following circumstances apply:</p> <ul style="list-style-type: none"> • Individual’s support needs exceed the definition of In-Home and Facility-Based Support. • Individuals do not adequately budget their hours. <p>Procedure for requesting additional hours over the 504 annual limit</p> <ul style="list-style-type: none"> • The request for additional hours shall be received and evaluated by staff. • The Facility-Based Support agency will provide evidence that the DMH Regional Office has denied funding for additional In-Home and/or Facility-Based Supports. The following will be considered in this review: <ul style="list-style-type: none"> ○ The amount of In-Home and Facility-Based Support utilized year to date and for two prior years; ○ The specific reason for the extended need, the duration of the need, and the family’s plans to ameliorate the presenting problem and whether the individual will be returning home or the family is seeking permanent out of home placement. ○ If the individual is not returning home, the agency will work with

Facility-Based Support Service Guidelines	
	<p>the family, the Support Coordinator (if applicable) and other people in the individual’s life to determine the long-term residential support needs. The agency will develop a plan with timelines and submit the plan along with the request for additional hours over the 504 annual limit.</p> <p>The above information will be submitted to the DDR for review and approval utilizing the “Individual Supports Request for Additional Hours Over 504” form. The decision will be communicated to the provider agency in writing to include the amount of time approved and any conditions of approval. The agency will monitor the extension utilization periodically. If possible, the extended support may be reduced if other more appropriate supports become available.</p>
Billable Activities	<p>Individual Support does not include:</p> <ul style="list-style-type: none"> • Daily care on an ongoing or regularly scheduled basis. • Daily care (Day Care) while a parent or legal guardian is working. • Support regularly scheduled before and or after school or work. • Care provided by a family member living in the family home. • Care provided by a mother, father, stepmother, stepfather, or any individual less than 18 years of age. • Relief to paid support staff in a family home or in the home of the individual. • Care usually associated with attendants or personal care assistants. • Care provided for an individual in the hospital. • Care provided for a child in foster care (Department of Social Services, Children’s Division funds respite care for children in foster care; Missouri Resource Parent Handbook).

9.3.3 Employment Transportation

Employment Transportation Service Guidelines	
Service Definition	Services support individuals to access employment through safe and reliable transportation.
Individual Eligibility	<p>Eligible individuals:</p> <p>Have an active case with DMH;</p> <p>Are employed at a sheltered workshop; and</p> <p>Require nonpublic transportation</p>
Referral/Enrollment Process	<p>Referrals may come from Sheltered Workshops or case managers. The referring entity will verify individual eligibility and will contact DDR to request transportation.</p> <p>Approved requests will be assigned a transportation provider. The transportation provider will contact the family/individual to coordinate pick-up/drop-off times and locations. Prior to the start of services, the transportation provider must have a completed Emergency Back-up Contact Information form for its records.</p>
Caps/Limits	Transportation services are subject to available funds and capacity of Service Provider.
Documentation	Trip invoices must be approved by the agency benefitting from the services

Employment Transportation Service Guidelines	
Requirements	before submitting to DDR.

9.3.4 Capital

Requests for Capital Improvement funds must follow the funding timelines. DD Resources will only consider funding capital improvement projects in which DD Resources is the first lien holder.

Agencies requesting Capital Improvement funds must qualify for funding under the County Sheltered Workshops and Mental Retardation and/or a Developmental Disability Services Law, R.S.Mo. 205.968 - 205.972, and must be related to a city of St. Louis-based program provided and located in the city of St. Louis.

Capital Improvements include purchase of land, building, remodeling, or otherwise modifying physical properties for accommodating programs, or related activities where the expected lifetime of the Capital Improvement is at least one (1) year and the cost is \$2,000 or more.

In order to maximize the dollars that are available for capital improvement, applicants should seek out and identify additional funding sources. The Agency shall maintain and make available the documentation that supports these efforts.

Requests for funding of Capital Improvements shall include the following:

1. A detailed plan, including architect's drawings when required by DD Resources, of the proposed Capital Improvement. Applicants should not provide nor incur costs for architect drawings until requested and/or approved by DD Resources. DD Resources does not reimburse expenses for costs incurred by the applicant prior to DD Resources approval to fund such expenses.
2. A firm estimate of the cost of the proposed Capital Improvement, including all pertinent expenses such as architect's fees, legal fees, insurance costs, etc., as well as contractor's fees and costs of materials.
3. Submit no less than three (3) competitive bids unless single source. Bids shall be sought from St. Louis City merchants/residents including minority/women owned business. Note: The St. Louis Development Corporation (ph.: 314-622-3400) will provide, free of cost, a Directory of Disadvantaged, Minority-and Women-Owned Business Enterprises upon request.
4. Certification that the proposed Capital Improvement will conform to local zoning, building code, and licensing requirements.
5. A summary listing and amounts of the total funding available for the project from all sources and the portion requested from DD Resources.
6. The time scale for completion of the project.
7. Justification for the project shall include the following:
 - a. Geographical location of the proposed facility for individual accessibility.
 - b. Service and program need, including persons to be served.
 - c. Effect of the proposed Capital Improvement on the projected program or service of the Agency.
 - d. Useful lifetime of the Capital improvement, including possible adaptation to other appropriate uses.
 - e. Explanation of compatibility of the proposed design with service or program need.

- f. Reports from other bodies providing funding that their requirements and/or criteria are being met and their support for the project.
8. If a request is approved, DD Resources may require:
 - a. The right to review contractor bid/s and to request additional bid/s at their discretion to ensure cost effectiveness.
 - b. Funds allocated shall be expended within a specified time period. Any funds unexpended by the end of the period designated shall revert to DD Resources and can only be reassigned by subsequent DD Resources Board action.
 - c. Funds allocated shall be spent only for designated purpose and any surplus shall revert to DD Resources. A final expenditure report shall be required and sent to DD Resources after the work is completed.
 - d. DD Resources may, at its discretion, monitor or require a supervising architect to monitor the progress of the Capital Improvement work. Any major variance from the proposed work schedule or changes in plans which affect compatibility with program or services to be delivered or cost may be subject to DD Resources approval. In relation to cost, a "variance" is defined as a 10% variance or more in the total cost of the Capital Improvement.
9. Applicants for Capital Improvement funds must be prepared to prove structural soundness of the Capital Improvement for which the funds are intended and to prove the applicant's proposed uses of DD Resources Capital Improvement funds is in the best interest of the citizens of the City of St. Louis. A report from a structural engineering firm may be required, if appropriate.
10. An Agency may request, in writing, extension of time beyond the original commitment to complete work previously funded by DD Resources.
11. Proposals may be submitted by a single Agency or jointly by two or more agencies to serve a common purpose.
12. DD Resources equity shall be considered in any contract with an Agency for Capital Improvements funding.
13. Funds Reimbursement Schedule:
 - a. With respect to all capital distributions by DD Resources, the Agency's reimbursement obligations outstanding as of January 1, 1992 and thereafter (as set forth below) shall be secured by a duly recorded Deed of Trust on real estate. The lien placed on the property is for the full amount awarded toward the capital project and is not amortized. The Agency's reimbursement obligations outstanding at any point in time shall not exceed eighty percent (80%) of the current appraised value of the real estate securing the Agency's reimbursement obligations.
 - b. Collateralization Policy: The Agency shall not encumber or renew existing loan(s) that is/are secured by the property without written approval of the DD Resources Board nor shall Agency sell, trade, dispose of or in any way alter the ownership of the Capital Improvement, which is the subject of an Agreement and the Plan. If the Agency encumbers, sells, trades or otherwise disposes of or in any way alters ownership of the Capital Improvement without written approval of DD Resources, the Agency shall reimburse 100% of the purchase price of the Capital Improvement.

- c. Requests may be granted on the basis of contingencies to be met by the applicant within a specified time. DD Resources functions as a reimbursement funding source; therefore, the agency will incur the expense and pay for it prior to DD Resources reimbursing the agency, unless another procedure has been approved in writing by DD Resources.

9.3.4.1 Equipment Purchase and Disposition

Requests for equipment are to be included in the funding application. The Agency shall submit three (3) competitive bids unless single source.

Equipment purchased for sheltered workshops and/or other agencies is defined as items having a purchase value of \$600.00 or more and an expected lifetime of more than one year. All such equipment, if purchased by DD Resources, shall be placed on a depreciation schedule and inventoried.

The Depreciation Schedule should include inventory control number, purchase date, item description, property location, purchase cost, number years depreciated, and amount of depreciation each year with accumulative total.

Disposition of Equipment

Collateralization Policy: All Equipment purchased with DD Resources funding shall have a Uniform Commercial Code (U.C.C.) lien placed on the equipment for a minimum of five years. On Equipment over \$5,000.00, DD Resources reserves the right to renew the U.C.C. lien for an additional five years. A Security Agreement and Promissory Note will be signed and notarized by the Agency. The Promissory Note will contain the reimbursement schedule. The Agency cannot sell, trade, dispose of or in any manner alter the ownership of the equipment, which the Agency requested the DD Resources board to purchase for the benefit of eligible city residents.

The Agency may after receiving written approval from DD Resources sell, trade or otherwise dispose of the equipment. The Agency will be liable for the purchase price of the equipment in accordance with the reimbursement schedule as designated in the Equipment Agreement.

If for any reason the Agency wants to dispose of equipment purchased by the DD Resources Board a letter must be sent to the Executive Director of DD Resources before disposition is made. All requests and approvals shall be in writing.

It is the responsibility of the Executive Director of DD Resources to determine the method of disposition. The options are:

In the event that the program or use for which purchase was authorized is no longer applicable, Agencies may request reallocation for use in other programs within the Agency serving City residents with a developmental disability.

If the Agency or Entity should be dissolved all such equipment shall revert to DD Resources, if not fully amortized, for transfer to another eligible Agency.

If the Agency identifies another Agency located in the City of St. Louis, who serves persons qualified under the DD Resources definition, who could use the equipment, the Executive Director of DD Resources shall be informed of the potential transfer and make the final decisions.

In the event there is no need for the equipment by another eligible Agency within the City of St. Louis, the Agency may have the option to dispose of the equipment at the fair market price. Upon receipt of the sale price, the equipment value not yet amortized will be returned to DD Resources and the Agency will retain the remaining sale price amount.

If the Agency wishes to dispose of the equipment and use the proceeds from the sale of such equipment to purchase other equipment, approval must first be received from the Board of Directors of DD Resources. The justification for purchase of new equipment would be the same as that of a new application request for equipment and the same stipulations would be in effect for the purchase of other equipment.

It is the responsibility of the Agency receiving funding for equipment to use the equipment for the purpose as outlined in the application. If it is determined that it is not being used appropriately then the Agency will be notified that the equipment will be disposed of as per one of the above options by the Executive Director of DD Resources.

9.3.4.2 Vehicle Acquisition

Agencies may request funding for vehicle purchase to transport eligible city residents or pickup/delivery vehicles for sheltered workshops. A vehicle request must clearly demonstrate an actual and ongoing benefit for eligible city residents.

1. Vehicle requests must follow the funding timelines.
2. DD Resources to be first lien holder on title
3. Agency to maintain full coverage insurance on the vehicle that meets or exceeds the minimum requirement set forth in the security agreement.
4. DD Resources shall be named as an additional insured on the vehicle insurance policy.
5. Agency must sign and notarize the Security Agreement and Promissory Note
6. Agency to send DD Resources the vehicle title to hold until the reimbursement schedule ends.
7. If the Agency wishes to dispose of the vehicle prior to the end of the reimbursement schedule, DD Resources' written approval must be obtained, and the Agency will reimburse DD Resources for the current amount listed on the promissory note.
8. Agency to adhere to all other applicable policies for equipment contained in the Funding Manual.

9.3.5 Emergency Funding

Emergency is defined as a "need" which if not satisfied/resolved, will be actual and have an immediate detrimental effect for person(s) with a developmental disability, staff, project, Agency, facility, equipment, etc. (detrimental effect shall be clearly, specifically, concisely and briefly stated).

Procedures for emergency request

- A. The Agency shall telephone or email the Executive Director of DD Resources or Designee as soon as possible and briefly describe the emergency/crisis.
- B. The Agency shall submit in writing a request (letter) to the Executive Director of DD Resources or Designee. This letter shall include the following:
 1. Provide a brief description of the nature of the emergency/crisis.
 2. Identify cause of the emergency/crisis.
 3. Briefly describe the detrimental effects for the person(s) with a developmental disability,

- staff, program, Agency, facility, equipment, etc. Be clear, specific, concise and brief.
4. Describe efforts already undertaken to resolve the emergency/crisis.
 5. Provide detailed information indicating specifically what amount of funds the Agency is requesting from DD Resources and amount of funds to be received from other sources including cost and the time frame within which action needs to be taken.
 6. Following receipt of the request for emergency funding the request will be copied and distributed to members of the DD Resources Board for their consideration.

9.4 APPROVAL PROCESS

9.4.1 Market Rate/Cost of Living Adjustments

Annually, DD Resources reviews both the current Consumer Price Index (CPI) and Cost of Living Adjustment (COLA) published by the federal government to determine an appropriate COLA for funded projects. This rate is approved by the program committee and the board of directors. If applying the COLA increases the reimbursement rate above the agency's annual independent audited unit rate, the COLA is not made to the unit rate.

9.4.2 Board Review & Approval Process

Funding requests are received by DD Resources staff and reviewed with the Program Committee. Agencies may be asked to provide additional information to the Program Committee as needed. All funding recommendations are made by the Program Committee to the full board of directors; the full board may review any funding request as it sees fit. The full board makes final funding determinations.

10 APPENDIX C: DDRB

10.1 DDRB INFORMATION

10.1.1 Mission

The DDRB is a leader, ensuring that individuals with developmental disabilities living in St. Charles County have quality opportunities and choices to be fully included in society.

10.1.2 Vision

People have what they need to live the lives they choose.

10.1.3 Values

- **Partnership:** Partnership enables us to better serve individuals with developmental disabilities in St. Charles County. Partnering allows us to maximize our resources and efforts to more effectively and efficiently meet the needs of our community.
- **Accountability:** To be progressive in thought and actions requires challenge, motivation and participation of the entire community. Striving for excellence ensures quality outcomes and results for individuals receiving supports and services. Other tools, such as accrediting bodies, audit and satisfaction surveys, are useful methods to assist us.
- **Self-Determination/Choice:** Individuals with developmental disabilities and their families/guardians have rights and responsibilities to determine the direction of their own lives. To do so, information and choices are needed; diversity of services and providers is necessary and appropriate. Providing information to consumers so they can make educated and informed decisions is a key role and responsibility for us.

10.1.4 Administration

The DDRB Office is located at 1025 Country Club Rd., St. Charles, MO 63303. Our phone number is (636) 939-3351.

The Board hires the Executive Director to manage the agency's operations consistent with Board policy and priorities.

- Executive Director: Peg Capo, MBA, pcapo@ddrb.org, ext.3101
- Finance Director: John Thaelke, CPA, jthaelke@ddrb.org, ext. 3104
- Case Management Director: Robyn Peyton, rpeyton@ddrb.org, ext. 3105
- Program Director: Kathy Williams, MSW, kwilliams@ddrb.org, ext. 3102
- Human Resource Director: Vicki Amsinger, vamsinger@ddrb.org, ext. 3143

10.2 BOARD OF DIRECTORS

The Board is the policy-setting, accountable body that bears the fiduciary responsibility for all acts of the DDRB. The Board sets the financial and administrative framework for the agency. The Board delegates administrative responsibility and accountability to the Executive Director, while maintaining oversight of the agency to ensure that actions are consistent with Board-approved policies and priorities.

Pursuant to Missouri statute, the Board shall consist of a total of nine members, at least two of whom shall be related by blood or marriage within the third degree to a person with a developmental disability as defined in statute and four of whom shall be public members.

The DDRB members are appointed to three-year terms by the St. Charles County Executive and confirmed by the St. Charles County Council. The terms of Board members expire on January 31. Members of the Board can be reappointed at the discretion of the County Executive and may continue to serve until replaced.

10.2.1 Board Committees

The DDRB has three standing committees - Finance, Program and Human Resources. All committee meetings are held at the DDRB office and agendas are posted on the DDRB website at least 24 hours prior to the meetings.

10.2.2 Board Meetings

The DDRB holds open public meetings on the third Thursday of every month at 7:00 pm at the DDRB Office, 1025 Country Club Rd., St. Charles, MO 63303. Meeting agendas are posted on the DDRB website (www.ddrb.org) at least 24 hours prior to the meetings.

10.3 SERVICE GUIDELINES

All forms referenced in this section and throughout the Partner Funding Manual can be found on the Alliance Portal.

10.3.1 Start-Up

Start-Up Guiding Principles

The DDRB provides one-time Residential Start-Up/Furnishings funding for individuals receiving DMH/DDRB funded residential services provided by a qualified agency, and individuals accessing DMH funded self-directed personal assistance services to live independently. The DDRB reserves an annual amount of Start-up/Furnishings funds for residential providers to access throughout the year.

DMH/DDRB funded residential services include: Individualized Supportive Living (ISL), Independent Living Assistance (ILA), Group Home, Host Home or Companion Home.

The discussion about needs for a home begins within the ISP team, including service coordinators/case managers (when applicable), during the person-centered planning process. The ISP team should encourage advance financial planning and saving by the individual and/or family to cover the costs to move into a home.

The DDRB values individuals, their families and support networks, making sound, educated choices in meeting needs and wants by utilizing resources in creative ways. SC/CM and/or the lead agency need to discuss with the consumer/family options and opportunities the individual has to secure items for the home. Members of the ISP team must support the consumer's right to make their own personal selections and purchases based on their preferences. For individuals living independently with DMH funded self-directed services, the SC/CM will provide direction and oversight and will perform the role of the agency by guiding purchases, reviewing and completing the request form and submitting the form and copies of receipts.

DDR B Start-up funding is not intended to meet all the needs and wants to furnish a home, it is assistance. The DDR B does not intend to supplant the support of the natural family, other natural supports, contributions, or funding available from the Department of Mental Health to establish and furnish a residence. DDR B reserves the right to reduce the reimbursement amount of an item, based on fair and reasonable cost.

Qualified Agency Criteria

An agency new to the DDR B (without a current signed DDR B contract) must initially and annually submit to the DDR B a signed Start-Up Contractual Agreement and Corporate Information.

This information must be received by the DDR B prior to the new agency purchasing start-up/furnishings items and prior to DDR B releasing start-up/furnishings funds. A new agency must review the policies and procedures related to start-up funding.

The signed Start-up Contractual Agreement and Corporate Information is required annually if agency is not submitting the same for other funded services. The requirement for Corporate Information can be waived if the agency is a current vendor of residential services through the Department of Mental Health.

The DDR B reserves the right to meet with the new agency prior to authorizing start-up/furnishings funding to learn about the organization and its services.

Individual Eligibility

Individuals must be residing in or moving into St. Charles County with an active DMH number. Individuals must be residing in or moving into residential living with DMH funded residential supports from a qualified agency or with self-directed supports for independent living.

General Information

Start-Up Furnishings List/Reimbursement Request Form

The form lists eligible items may be purchased and reimbursed by the DDR B. Only items on this form can be reimbursed. This form is also used to generate the reimbursement payment. Please complete all the requested information on the form.

Start-up Funding and Eligibility Criteria

Type of Residential Support	Amount	Eligible Item
ISL/ILA/Companion	\$2500	Any item on list
Group Home/Host Home	\$1250	Items listed in designated column

Individuals own the items purchased with start-up funding

Roommates are not to 'split' cost of items. Items are owned by one person. Broken items should be repaired when possible or discarded.

Individuals Moving out of a DMH Habilitation Center or Nursing Home

Individuals who are moving out of a state facility/habilitation center or nursing center are typically eligible for DMH Community Transition funds to assist with purchasing items needed in their new residence. When DMH Community Transition funds are accessed, the individual is not eligible for DDR B Start-Up funding. Consult service coordinator or case manager for historical residency information if not certain.

Moves/Roommate Changes

- Should an individual move out of their living arrangement, individually owned personal items and any items so designated as theirs, when purchased with DDRB funds, should move with the person.
- In the event of a roommate changes or moves, the residential agency and SC/CM will support the consumer to negotiate continued ownership of items with other individuals in the home.
- Individuals moving into the county supported by an eligible residential agency may request DDRB start-up in anticipation of their move; payments are made once individual actually resides in St. Charles County.
- Once an individual indicates they are moving out of the county, the individual is no longer eligible to access St. Charles County start-up funding. The agency, service coordinator or case manager need to notify the individual/family/guardian of this and not allow submission of reimbursement requests.

Submitting Reimbursement Request

BE SURE the agency is qualified: See Qualified Agency Criteria. Agencies are not authorized to begin purchasing until contract and Corporate Information is received and reviewed. DDRB staff will contact the agency with authorization to proceed.

Verify Start-up funding Available and Residency

The Agency is responsible for contacting the DDRB to verify startup funding eligibility and availability for individuals accessing start-up funding.

Make Purchases

- Individuals have 6 months from the date of initial purchase to use all start-up funding.
- Start-up Policies and Start-up/Furnishings List/Reimbursement form must be given to consumer, family members or staff who may be coordinating or assisting with the purchasing of items.
- The individual needs to participate in the selection and purchasing of items for their home.
- All items purchased and submitted for reimbursement must be listed on the DDRB Start-Up/Furnishings List and Reimbursement Request form.
- DDRB encourages comparison shopping before purchasing to maximize the use of the funds, and prefers purchases be made in St. Charles County when possible
- Taxes, delivery fees (amounts not to exceed listed amounts on reimbursement form), fabric protection, extended warranties may be included for reimbursement.
- Individuals must adhere to category limits as stated on form.

Fill out request form/organize receipts

- Use one form per individual. Please list all requested information.
- The residential agency is to total the amount spent from the receipt(s). Attach copies of the applicable receipts for the person listed on the form. All purchases require a receipt, whether thrift store, retail store or online ordering.
- Indicate on receipt(s) which eligible item it corresponds to on the reimbursement form and if is not clear on the receipt write the name of the product. This enables quicker processing by the DDRB.
- Receipts may be collected during the 6 month period individuals are making purchases. Reimbursement requests must be submitted one-time for each individual (within one year of the date of the initial purchase.)

Submit completed Request form and Receipts to DDRB.

The agency submits completed reimbursement request form and copies of all receipts to the DDRB.

If an individual is receiving self-directed supports to live independently, the SC/CM is responsible for collecting and organizing receipts and submitting them with Start-up furnishings list and reimbursement form.

Agency Reimbursement

- The agency is reimbursed for purchases, not the individual or family (unless an individual is supported via self-directed personal assistance). Reimbursement is for the actual cost of the items (costs may include sales tax, delivery, protection and warranties if applicable).
- DDRB reserves the right to reduce the reimbursement amount of an item, based on fair and reasonable cost.
- Reimbursement payments are made within the approved invoicing and DDRB payment cycle. Fiscal year deadlines are not applicable.

Maintain Records

Start-up/purchase information should be retained in the agency's records for the individual for future reference.

10.3.2 Family Support

10.3.2.1 Conference Stipend for Individual and Families

Purpose

The DDRB values the strengthening of supports for individuals with developmental disabilities and their families. Individuals and family members are encouraged to participate in conferences and educational opportunities, which are designed toward enabling an individual with developmental disabilities to progress toward normal living or to develop his or her capacity, performance, or relationships with other persons. The Conference Stipend program gives individuals and family members the opportunity to attend trainings and seminars that they might otherwise not be able to attend.

Eligibility

The applicant must be an individual with a developmental disability as defined in DDRB Funding Guidelines or is an immediate family member of an individual with a developmental disability. Agencies requesting stipends on behalf of a group of individuals need to contact DDRB office.

Event

Conferences must be sponsored by a professional organization and/or be a presentation by a professional recognized in their field and directly related to the individual's and/or family member's developmental disability.

Amount

The individual pays the first \$25.00 for each conference. The DDRB will pay the remaining registration fee, up to a maximum of \$500.00 per fiscal year, per person. Fees related to late registration, travel, lodging and other expenses are not covered.

Approval

Approval is based on available funding and compliance with the policy. Waiver of the \$25.00 co-pay (based on need) and policy exceptions require DDRB Program Committee approval. Applications are considered on a first-come-first-served basis. The fiscal year end invoice deadline is not applicable.

Application for Registration Fee

Submit completed applications to the DDRB Office, 1025 Country Club Road, St. Charles, MO 63303. A brochure or copy of the brochure from the conference/event must be attached. Application and evaluation forms can be downloaded from DDRB website www.ddrb.org or call the DDRB office at 636-939-3351 to request forms.

Reimbursement

Post-Conference Reimbursement: A reimbursement check is sent to the applicant. The applicant is responsible for sending the DDRB copies of itemized paid receipts from the event organizers along with a completed evaluation of the conference within 60 days of the conference conclusion.

Evaluation follow-up required

Additional stipends will be contingent upon receipt of evaluation

Reference Forms

- Application for Stipend
- Evaluation Form

10.3.2.2 Emergency Housing Assistance Program

Scope of Emergency Housing Assistance Program

The DDRB provides funds to assist individuals with developmental disabilities and families with a child with a developmental disability to prevent homelessness or displacement. The availability of these resources allow individuals and families with developmental disabilities to receive assistance with rent and utility deposits; rent and mortgage payments; utility payments, moving expenses and other expenses to establish a household unit. Individuals and families will be connected to other local community services and resources to help sustain their independence. This program is designed to provide emergency/temporary assistance and not yearly ongoing assistance.

Eligibility

Individuals must be eligible for services through the Department of Mental health and a current resident of St. Charles County. Individuals and families must meet the annual income guidelines according to the AMI (Average Median Family Income) for St. Charles County. Individuals and families cannot have a combined annual household income above 50% of the AMI with deductions for eligible family members. Families with a dependent may deduct from the annual total an additional \$480 for each dependent and an additional \$400 for each family member with a developmental disability.

Guidelines

1. For those who receive case management services, applications are obtained through and submitted by the individual's case manager or service coordinator by DMH or DDRB. For those without case management services, applications are obtained through and submitted by a DDRB designated agency.
2. Supporting documentation of income and expenses must be included with the application to verify and ensure accuracy of the application.
3. All payments will be made directly to the vendor and not the individual applying for funds.

4. Individuals and families are eligible for a maximum of \$1200 per fiscal year- starting July 1 and ending June 30 each year. Each individual/family has a lifetime maximum of \$3600. Recipients prior to July 1, 2015 are eligible for the revised lifetime maximum.
5. Individuals and families are referred to community resources to meet ongoing support needs such as Missouri Division of Vocational Rehabilitation or the Missouri Job Center for employment services North East Community Action Corporation for utility assistance, independent living services, etc.

Reference Forms

DDRB Application Instruction Sheet
 AMI (Average Median Family Income) Reference Sheet
 Emergency Housing Assistance Program Application

10.3.2.3 In-Home Support

Purpose/Intentions

In-Home Support services will be used for the primary purpose of relieving families of the responsibilities inherent in caring for a family member with a developmental disability for a few hours, a day, a weekend, or other short-term periods of time. The DDRB recognizes that the availability of this support may contribute to the reduction of family stress and the prevention of unnecessary and/or premature out of home placement. In- Home Respite Care is not care usually associated with attendants or personal care assistants.

Billable

Families will be able to utilize their yearly allocation to meet their family’s needs as they arise. Families may determine their reimbursement rate for their In-Home Support provider. Families are encouraged to budget their funds to cover their needs for the individual’s entire plan year.

Caps/Limits

Table 9: DDRB's Respite Levels and Amounts

Levels	Total Points	Dollar Amount
Level 1	1	\$600
Level 2	2-3	\$1,200
Level 3	4-6	\$1,500
Level 4	7-9	\$2,000
Level 5	10-12	\$2,500
Level 6	13-15	\$3,000
Level 7	16+	\$4,000

Process for accessing funding

In-Home Respite Eligibility Tool is completed for all individuals. This may be filled out by a Support Coordinator from DDRB/DMH, by Parent Support Partner from F.A.C.T., or In-Home Support agency.

The individual will be authorized a funding allocation for their plan year. If a family’s needs change during their plan year, they may request their Support Coordinator from DDRB/DMH, FACT Parent Partner, or In-Home Support agency to amend their plan and document this change. The case

manager/FACT Parent Partner can then update the DDRB In-Home Respite Eligibility Tool to reflect the family's current situation.

The individual's In-Home Respite Eligibility Tool will be forwarded to the In-Home Support agency. The In-Home Support agency will enroll the individual and provide assistance, if needed, with finding a In-Home Support provider for the family. The In-Home Support agency will provide the family with reimbursement for their respite expenses when the completed billing forms are received by the agency.

In-Home Support care can be provided by someone the family chooses. In-Home Support provider must be 16 years old or older and not reside in the family's home. A parent living outside the family home is not eligible to be a In-Home Support provider. All In-Home Respite providers are required to pass a background screening through the MO Family Care Safety Registry (FCSR) annually. An In-Home Support provider cannot have a felony or misdemeanor against a person.

Family Crisis

If a family is going through a crisis, the In-Home Support administrative team will determine whether the family is eligible for additional funding. Emergency funding does not require an amendment. In-Home Support agency or the Support Coordinator from DDRB/DMH, FACT Parent Partner, or In-Home Support agency will document the details of the crisis and send an email to the administrative team for approval. The email must include the In-Home Support Emergency Checklist Form.

Program Funding Availability

In-Home Support funding is dependent on the annual funds available and allocated by the DDRB Board. If all available funding is utilized in the fiscal year a waiting list will be established and maintained by the In-Home Support agency. A request for additional funds to serve the needs on the waiting list will be presented to the DDRB Board during their regular funding cycle.

10.3.3 Pre-Employment Transportation Stipend

Scope of Pre-Employment Transportation Stipend

The DDRB's Pre-Employment Transportation Stipend is intended to temporarily support the transportation needs of individuals enrolled in a postsecondary school (vocational or trade school, college or university) or participating in a DDRB funded pre-employment training program. This stipend is not intended to cover total transportation costs, but to enhance options and opportunities while individuals explore long-term transportation solutions.

Eligibility

Individuals accessing the Pre-Employment Transportation Stipend who meet the following criteria are eligible for a lifetime maximum amount of up to \$3,000.

- Individual has been determined eligible for DMH/DD services and have a DMH/DD I.D.
- Individual resides in St. Charles County
- Individual is enrolled in a postsecondary school and has an active case manager/service coordinator or receives Pre-Employment Services from a DDRB funded program.

If the maximum amount allowable is not fully utilized the individual's balance remains available for use at a later time.

Qualifying Expenses: Qualifying Expenses That Can Be Reimbursed With Valid Receipts:

1. Public Transportation provided by a public transit entity (cab, Uber, ITN, etc.).
2. Private Transportation provided by an individual (coworker, friend, neighbor, etc.). The individual cannot reside with the eligible individual.
3. Driver education or related training provided by reputable business. This does not include driver skill or competency assessments.
4. Motor vehicle purchase: the eligible individual must be listed as an owner on the title of the vehicle purchased.
5. Motor vehicle sales tax: the eligible individual must be listed as an owner on the title of the vehicle.
6. Initial motor vehicle licensing: the eligible individual must be listed as an owner on the title of the vehicle.
7. Vehicle repairs, not including: oil change, fluids, filters, and tune-up: the eligible individual must be listed as an owner on the title of the repaired vehicle.

How to Access Information

Individuals accessing the stipend who are participating in a DDRB funded pre-employment training program, must access the Transportation Stipend through their employment agency.

Individuals accessing the stipend who are enrolled in a postsecondary school, must access the Transportation Stipend through their case manager/service coordinator.

Individuals accessing the stipend who have secured employment on their own, and do not receive employment supports or have an active case manager/services coordinator will need to submit for reimbursement directly to the DDRB.

Role of Employment Agency OR Case Manager/Service Coordinator

1. Educate the eligible individual about the Transportation Stipend program, including its requirements, as outlined on the Transportation Stipend checklist.
2. Assist the individual with exploring available transportation options.
3. Assist the individual to be responsible for obtaining valid receipts and submitting them to their employment agency or case manager/service coordinator for reimbursement within 60 days from the date the expense was incurred. Individuals should explore all options (Social Security work incentives, ride shares, etc.)

Submitting a Request for Reimbursement

Submit billing to the DDRB within 90 days from the date the expense was incurred.

- Employment agencies will submit billings via DDRB Portal. The employment agency maintains the check list and supporting documentation for all reimbursed transactions, for their agency onsite review by the DDRB.
- Case manager/service coordinator will submit the request for reimbursement to the DDRB. The request must include the Transportation Stipend Reimbursement Request form (available on DDRB website) and all supporting documentation to the DDRB.
- Individual will submit the request for reimbursement to the DDRB. The request must include the Transportation Stipend Reimbursement Request form (available on DDRB website) and all supporting documentation to the DDRB.

General Information

DDRB payments are made to the employment agency or eligible individual (if individual does not receive employment services) within the current DDRB invoicing and payment cycle.

Reference Forms

Transportation Stipend Request Form

10.3.4 Employment Transportation Stipend

Scope of Employment Transportation Stipend

The DDRB Employment Transportation Stipend is intended to temporarily support the transportation needs of individuals competitively employed in the community who are underemployed or in jeopardy of losing employment due to the lack of transportation. This stipend is not intended to cover total transportation costs, but to enhance options and opportunities while individuals explore long-term transportation solutions.

Eligibility

Individuals accessing the Employment Transportation Stipend who meet the following criteria are eligible for a lifetime maximum amount of up to \$3,000.

- Individual has been determined eligible for DMH/DD services and have a DMH/DD I.D.
- Individual resides in St. Charles County

Individual is competitively employed in the community

If the maximum amount allowable is not fully utilized the individual's balance remains available for use at a later time.

Qualifying Expenses That Can Be Reimbursed with Valid Receipts

1. Public Transportation provided by a public transit entity (cab, Uber, ITN, etc.).
2. Private Transportation provided by an individual (coworker, friend, neighbor, etc.). The individual cannot reside with the eligible individual.
3. Driver education or related training provided by reputable business. This does not include driver skill or competency assessments.
4. Motor vehicle purchase: the eligible individual must be listed as an owner on the title of the vehicle purchased.
5. Motor vehicle sales tax: the eligible individual must be listed as an owner on the title of the vehicle.
6. Initial motor vehicle licensing: the eligible individual must be listed as an owner on the title of the vehicle.
7. Vehicle repairs, not including oil change, fluids, filters, and tune-up. The eligible individual must be listed as an owner on the title of the repaired vehicle.

How to Access Funding

Individuals accessing the stipend who receive Supported Employment Services from a Division of Vocational Rehabilitation (DVR) vendor, must access the Employment Transportation Stipend through their employment agency.

Individuals accessing the stipend who have secured employment on their own, and do not receive employment supports, must access the Employment Transportation Stipend through their case manager/service coordinator.

Individuals accessing the stipend who have secured employment on their own, and do not receive employment supports or have an active case manager/services coordinator will need to submit for reimbursement directly to the DDRB.

Role of Employment Agency OR Case Manager/Service Coordinator

1. Educate the eligible individual about the Transportation Stipend program, including its requirements, as outlined on the Transportation Stipend checklist.
2. Assist the individual with exploring available transportation options.
3. Assist the individual to be responsible for obtaining valid receipts and submitting them to their employment agency or case manager/service coordinator for reimbursement within 60 days from the date the expense was incurred. Individuals should explore all options (Social Security work incentives, ride shares, etc.)

Submitting a Request for Reimbursement

Submit billing to the DDRB within 90 days from the date the expense was incurred.

- Employment agencies will submit billings via DDRB Portal. The employment agency maintains the check list and supporting documentation for all reimbursed transactions, for their agency onsite review by the DDRB.
- Case manager/service coordinator will submit the request for reimbursement to the DDRB. The request must include the Transportation Stipend Reimbursement Request form (available on DDRB website) and all supporting documentation to the DDRB.
- Individual will submit the request for reimbursement to the DDRB. The request must include the Transportation Stipend Reimbursement Request form (available on DDRB website) and all supporting documentation to the DDRB.

General Information

DDRB payments are made to the employment agency or eligible individual (if individual does not receive employment services) within the current DDRB invoicing and payment cycle.

Reference Forms

Transportation Stipend Request Form

10.3.5 Capital

Capital items are defined as items that are to be requested for reimbursement one-time. Requests are limited to the actual/direct cost of the item and cannot include allocation of indirect or administrative costs. Requests may be for total dollars paid by the agency and may not include funds given in-kind. Expenses incurred prior to DDRB approval may not be funded. Capital items are classified into one of the following 3 categories:

1. Program Support
Items must cost at least \$2,500 and be for direct use of individuals with developmental disabilities or necessary to maintain a direct service program. Items must be necessary to achieve the targeted outcomes of the program.

DDRB Grants: up to 80% of actual item purchase cost. Up to \$100,000

Examples: therapy equipment, furnishings, machinery, renovations necessary for program, computer/software direct use for individuals with developmental disabilities

2. Administration

Items requested must cost at least \$2,500 and must improve the overall efficiency or effectiveness of the agency as it relates to the program targets.

DDRBR Grants: up to 50% of the actual item purchase cost. Up to \$100,000

Examples: management training, vehicle match, cost containment consultation

DDRBR Grants: up to 100% of the actual cost

Examples: national accreditation start-up

3. Equity Investment

The DDRB offers an Equity Investment Program for the purchase of land, purchase of homes for individuals with developmental disabilities receiving residential supports, new construction or building renovation. The DDRB investment maximum is \$250,000 or 25% of the project cost, whichever is less, and may be secured with a Bank Letter of Credit (an instrument issued by a bank to the agency by which the bank substitutes its own credit for that of the agency), with the DDRB as beneficiary.

Agencies must submit a letter of intent to request DDRB Equity Investment funds. The letter of intent must include a description of the investment, a statement of need, fit with the agency/program targets and the DDRB strategic plan, total cost, other funding partners and projected DDRB funds needed. In addition, for home purchases, the letter of intent must include how the purchase addresses at least one of the DDRB's housing priorities: 1) critical need – necessary for the health and safety of an individual, 2) affordability – improves access to affordable safe housing, or 3) accessibility – individual's needs require home modifications not available elsewhere. The DDRB Finance Committee will review the letters of intent. If priorities are met and funds are available they will recommend a hearing with the full board.

The request will be presented at a regularly scheduled Board meeting after initial review by the Finance Committee. Two weeks prior, the agency must submit a business plan with 3-5 year financial projections (income and expenses) for operations and other relevant information not originally included in the letter of intent. (DDRBR approval of equity investment funding does not guarantee DDRBR operational funding in future years.)

Upon Board approval, the DDRB would designate funds for the project, pending bank approval of a Letter of Credit, if required. Upon bank issuance of the Letter of Credit, the DDRB will release the designated funds, secured by the Letter of Credit. Conditions of the equity investment and for drawing under the Letter of Credit will include specific project targets for the investment. The DDRB can ONLY draw upon the Letter of Credit if the agency fails to perform stated criteria related to the project. Upon completion of the project targets, the Letter of Credit shall be released. Project targets will be time specific and may include, but not be limited to, construction milestones, capacity goals, and numbers of individuals served.

As a condition of the investment, the agency shall grant to the DDRB, by a contract secured by a Deed Restriction or Deed of Trust, the following rights in the real estate and renovations/improvements* that are the subject of the investment:

1. Upon the cessation of use of the property for purposes to benefit St. Charles County citizens with developmental disabilities, the DDRB shall have the option to purchase the property at fair market value reduced by the amount of the investment, plus the Fair

Market Value Adjustment**, or the agency will pay to the DDRB the sum of the amount of the investment, plus the Fair Market Value Adjustment**.

2. If the agency elects to sell the premises, the DDRB shall have the right of first refusal to purchase the property for the same sale price as any contract to buy the premises from a third party, reduced by the amount of the investment, plus the Fair Market Value Adjustment**, or the agency will pay to the DDRB the sum of the amount of the investment, plus the Fair Market Value Adjustment**.
3. If the agency elects to return the DDRB's investment, the DDRB shall have the option to purchase the property at fair market value reduced by the amount of the investment, plus the Fair market Value Adjustment**, or the agency will pay to the DDRB the sum of the amount of the investment, plus the Fair Market Value Adjustment**.
4. The DDRB will order (at DDRB expense) Title Insurance on all Equity Investments prior to payment.

*DDRB investment in renovations/improvements must meet the following conditions: 1) three written bids must be secured and 2) the renovations/improvements must increase the value of the home as demonstrated by an independent appraisal. Final appraised value will be used to determine the percentage of equity the DDRB has in the property.

**Fair Market Value Adjustment for purposes of this section shall be defined as the principle amount of the investment multiplied by a percentage proportionate to the increase or decrease in the fair market value of the real estate and improvements from the date of the investment until a triggering event, including cessation of its use for the benefit of St. Charles County citizens with developmental disabilities, a sale of the property, or the election of the agency to return the investment to the DDRB. The percentage shall be calculated as the quotient where the numerator is the difference between the fair market value at the time of investment and the fair market value at the time of the triggering event, and the denominator is the fair market value at the time of investment. The adjustment is then determined by multiplying the principle amount of the investment by the change in fair market value percentage. Fair market value at the time of the investment for purposes of this calculation shall be stipulated in the contract at the time of the investment. A Missouri-certified appraiser, agreed upon by the parties, shall determine the fair market value at the time of the triggering event. If the parties cannot agree upon an appraiser, they shall each select one appraiser, and then the two appraisers shall select a third appraiser whose appraisal shall determine the fair market value.

Capital Funding Guidelines

Approval of expenditures for capital items is dependent upon availability of funds and fit with the DDRB strategic plan and Board designated priorities for the funding cycle. These funds are available to any agency providing supports to St. Charles County residents with developmental disabilities. Agencies are encouraged to explore other funding sources prior to making a request to the DDRB. For equipment that will be shared with customers who live outside of the St. Charles County area or shared with individuals without disabilities, the DDRB will adjust the base cost of the expenditure to reflect the percentage of St. Charles County citizens with developmental disabilities who will be supported. For program items, funding will not exceed 80% of the adjusted cost. For administrative items, funding will not exceed 50% of the adjusted cost. For equity Investments, funding will not exceed \$250,000 or 25% of the adjusted cost, whichever is less.

Shifting Funds

1. Agencies may request to shift funds within a category (program, administration) and within the original intent of the application. Agencies should make a written request to the Program Director.
2. Shifting of funds between categories will require DDRB Board approval.
3. Shifting funds outside the original intent of the application will only be considered for emergency requests and will require DDRB Board approval.
4. Any change in equity investment will require DDRB Board approval.

How to Make Formal Request

As part of the Annual Application in the Capital Request Form, the agency will describe the general capital needs for each Program including administration and describe how the capital needs will meet the intended targets for each program for the fiscal year.

Requests to the Board should describe how the capital funding supports the program that provides a controlled work environment, or is designed toward enabling an eligible person to progress toward normal living, or to develop his or her capacity, performance, or relationships with other persons, or provide services related to a place of residence or social centers for eligible persons, or is connected or associated with vocational training, vocational teaching, vocational activities, vocational workshops, and/or residential facilities.

If an agency is submitting a request for more than one capital item, the items should be prioritized by need.

A Board Resolution for a not-to-exceed amount must also be included. For new projects, agencies may be requested to complete a business/marketing plan as part of the request.

Agencies not currently funded by the Board are required to schedule an appointment with the DDRB Program Director and/or Finance Director to review the request, prior to formal and final submission of the request. In addition, agencies are required to have on file with the DDRB the agency's Corporate Information.

Board Ownership

If the AGENCY ceases to be funded by the DDRB or ceases to provide programs and services for St. Charles County citizens with developmental disabilities, all capital equipment, materials and buildings purchased with DDRB funds shall be returned to the DDRB in compliance with the Capital Funding Policy or unless so otherwise approved by a majority vote of the DDRB. In addition, if the agency no longer uses capital equipment, materials, and buildings purchased with DDRB funds for its original intent, the agency will need DDRB approval to re-direct its use.

If the agency chooses not to contract annually with the DDRB all capital equipment purchased with DDRB funds will be reviewed for remaining useful life. If the remaining useful life of the equipment will continue to be used to serve individuals with developmental disabilities it will remain with the agency otherwise it is to be returned to the DDRB.

Bid Requirements

An item or purchase, under the program supports capital funding category, exceeding \$5,000 requires at least three written bids be obtained by the agency. Copies of bids must be kept until the next DDRB financial review of the agency.

10.3.6 One-Time

10.3.6.1 Training Stipend for Direct Support Professionals and Their Immediate Supervisors

Purpose

The DDRB values the role of direct support professionals and their immediate supervisors in providing supports to meet the needs of individuals with developmental disabilities. Direct support professionals and their immediate supervisors are encouraged to participate in conferences and educational opportunities that improve their quality of life as well as the individuals they serve. The Training Stipend program gives direct support professionals and their immediate supervisors the opportunity to attend trainings, seminars and classes that are not required as part of their job and that they might otherwise not be able to attend. The Training Stipend Program for Direct Support Professionals (DSP) and their Supervisors.

Eligibility

The applicant must work in a program/service that receives DDRB operational funding or an agency that provides Residential or Day Habilitation services in St. Charles County and receives DMH funding for these services. Individuals must provide these services in St. Charles County.

Eligibility DSP

The applicant must be a direct support professional whose job responsibilities require at least 85% face-to-face direct support of individuals with developmental disabilities. The staff member must have been employed for one year (full-time equivalent) or 2,080 hours.

Eligibility Supervisors

The applicant must be an immediate supervisor of direct support professionals whose job responsibilities require at least 25% face-to-face direct support of individuals with developmental disabilities. The staff member must have been employed for one year (full-time equivalent) or 2,080 hours.

Training Criteria

Training must be professionally recognized and job-related. College credit courses are allowed for individuals pursuing undergraduate studies. The applicant must exhaust employer-based tuition benefits prior to applying for DDRB training stipend funds. Future stipend consideration will be based on course completion with a final grade of C or better.

Amount

A co-pay \$25 is required for each training or class. The DDRB will pay the remaining fee, up to a maximum of \$500.00 per fiscal year per person. Supplies and other expenses directly related to the training may be included.

Approval

The employee's supervisor must approve the application. Applications are approved based on eligibility criteria and available funding. Additional information may be requested, as needed.

Payment

Applicants can choose to be reimbursed directly or can request the DDRB issue a check made payable to the organization/educational institution conducting the training.

Application

Submit applications to: DDRB, 1025 Country Club Road, St. Charles, MO 63303. Original applications are returned with the final funding decision within 15 days of receipt. Applications are considered on a first-come-first-served basis.

Follow-Up

Individuals receiving stipends must submit to the DDRB within 60 days of course completion the documentation of their final grade and/or certificate of completion along with the Training Feedback form in order to be reimbursed or considered for future stipend funds.

Reference Forms

- Training Stipend Application
- Training Stipend Feedback

10.3.6.2 Best Practice Conference Program

Purpose

The DDRB encourages provider agencies to develop innovative approaches to meet the needs of individuals with developmental disabilities. The DDRB Best Practices Conference Program is intended to provide funding assistance to designated agency staff, by category of service or overall quality enhancement, to attend conferences that focus on methods and techniques that have consistently proven to have superior results than those achieved by current means.

Conference teams will be established based on agency/staff interest in bringing forward innovative ideas/best practices to the St. Charles provider/DDRB. Members of the conference teams will lead the process and will ensure innovative/best practices are shared and developed. Teams will present to the DDRB committees/board as applicable.

Since service delivery can vary between agencies that provide the same service, service category workgroups will be established to encourage a team approach. Service category workgroups research and identify the conference to attend. Workgroup members identify the agency representatives to attend the conference. Each member agency is limited to one staff per conference to provide greater agency representation. In addition, having a variety of agency attendees provides opportunities for participation in multiple break-out sessions (if applicable) and encourages dialog amongst the agency representatives to develop new methodologies that improve the lives of individuals with developmental disabilities.

Qualifying Expenses

1. Conference Registration
2. Lodging
3. Travel expenses, including mileage, vehicle rental and airfare
4. Meals

Eligibility

Applicants must work in a program/service that receives DDRB operational funding or an agency that provides Residential or Day Habilitation services in St. Charles County and receives DMH funding for these services. Individuals must be directly involved in providing these services in St. Charles County.

Conference Criteria

The conference must be professionally recognized and service category related.

Application

Applications must be turned in 30 – 90 days prior to the conference start date. The employee’s supervisor is required to approve the application.

Submit applications to:

DDRB, 1025 Country Club Road, St. Charles, MO 63303, Attention: Program Director.

Approval

Applications are approved by the DDRB based on eligibility criteria and available funding. Once reviewed by the DDRB, the original application is returned to the applicant with the final funding decision and if approved.

Follow-Up

Individuals receiving funds must submit, to the DDRB, all receipts relating to DDRB expenses and the Conference Feedback form. Individuals attending the conference will be required to participate in developing and presenting recommendations for program implementation to the DDRB Program Committee and DDRB Board.

Reference Forms

- Application
- Conference Feedback

10.3.7 Carry-Over Funding Requests

All written carryover requests, operations and/or capital, must be received at the DDRB office by close of business on June 1. A postmark will not suffice. Carryover requests received after June 1 will not be considered. If June 1 falls on a weekend, carryover requests are due on the next business day by the close of business. The carryover request must include a description of what the carryover is for, item, purpose and timeline for purchase. Capital/One-Time funding may not be carried over for more than one fiscal year.

10.3.8 Emergency Funding

If an agency experiences an “emergency”, an increase may be requested. An “Emergency” is defined as an unforeseen combination of circumstances calling for immediate action. This means there should be a root cause or event that can be identified, not as a result of poor planning. A written request with justification of the increase must be submitted to the DDRB.

The DDRB will consider the request at their next scheduled meeting. Approval will be based on need and available funds.

Requests to the Board must be received in writing, at the DDRB office, at least 2 weeks prior to the Board meeting to ensure placement on the Board monthly agenda. A Board Resolution is required and must be submitted with the Emergency Request.

10.4 APPROVAL PROCESS

10.4.1 Board Review & Approval Process

The DDRB's annual Strategic Plan guides funding decisions. Each year the DDRB sets a budget of available funds. Funds available include, but are not limited to, tax revenue, interest and other income. The DDRB also establishes annual funding priorities which may include market rate adjustments, service expansion, and priority service development.

Typically, during the funding cycle, the Board meets with agencies that request funding above the Market Rate Adjustment (MRA). Agencies must justify the need for the increase by completing a Funding Justification Form. These meetings are open to the public and dates and times are posted on the DDRB website. The final budget is approved by the Board in May.

10.4.2 Appeals

If the agency disagrees with a decision of the DDRB, the following are procedures for the agency to appeal a decision by the DDRB:

- a. The Board of the agency must vote in a Board meeting to appeal the decision of the DDRB.
- b. Within 60 days of the DDRB's decision, a letter must be received by the DDRB from the President/Chair of the agency stating the agency's decision to appeal and a copy of the minutes of the Board meeting stating the vote of the Board to appeal.
- c. The letter from the President/Chair of the agencies must state, in specific terms, the reason(s) for the appeal.
- d. The DDRB will review the appeal and provide a written response within 60 days from receipt of appeal.

11 APPENDIX D: PLB

11.1 PLB INFORMATION

11.1.1 Mission

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

11.1.2 Vision

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

11.1.3 Administration

Key Administrative staff include:

- Becky Herschbach, Executive Director
- Glen Goldstein, Director of Information Technology and Records Management
- Don Kaufmann, Director of Finance and Administration
- Kim Kopff, Director of Agency and Community Relations

11.2 BOARD OF DIRECTORS

The Board is the policy-setting, accountable body that bears the fiduciary liability for all PLB actions. It establishes the financial and administrative framework and appoints and directs the Executive Director to conduct the everyday operations of the agency. The Board provides oversight to assure that actions follow Board-established policies and procedures. The Board operates in partnership with the agency's staff, using their advice to deliberate decisions on agency policies and/or objectives.

Pursuant to RSMo 205.970, the Board shall consist of nine members, of whom a minimum of two shall be related to a person with a developmental disability and four shall be public members. At least seven of the board members shall be residents of the County. Productive Living Board members are appointed to three-year terms by the County Executive and confirmed by the County Council. The terms of three members of the Board expire in April of each year. Members of the Board can be reappointed for an unlimited number of terms.

11.2.1 Board Committees

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

The Board has established the following standing committee structure:

- Executive Committee
- Administration Committee

- Community Services Committee
- Employment Services Committee

11.2.2 Board Meetings

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

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

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

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

11.2.3 Appeals Process

An agency may submit a written appeal to the PLB detailing actions the agency thinks does not comply with the PLB’s policies, within 60 days of the action. Upon submission of the appeal, the Executive Director will conduct a review of the allegations. The Executive Director will submit a report to the Executive Committee within ten working days of receipt of the appeal. At the Executive Committee meeting, the agency will be permitted, at the discretion of the Executive Committee, to respond to questions and the findings of the Executive Director’s report. The Executive Committee will make its recommendation to the full Board at the next regularly scheduled Board meeting. The Board will inform the agency in writing of its decision within ten working days of the Board meeting. The decision of the Board on all appeals is final.

11.3 SERVICE GUIDELINES

All forms referenced in this section and throughout the Partner Funding Manual can be found on the Alliance Portal.

11.3.1 Start-Up

Start-Up Service Guidelines	
Service Definition	Services support individuals with funding for ISLA start-up and/or replacement expenses associated with living independently. Funding is designed to meet the unique needs of each individual.
Caps and/or Limits	Individual’s Start-Up and/or Replacement needs exceeding \$2,000 require Community Services Committee review and PLB approval.

Start-Up Service Guidelines	
	PLB Policies Related to Capital Items and General Capital Guidelines applies to any item requested, in which the unit cost is \$1000 or more and has a useful life of more than one year.
Eligible Expenses- Start-Up Only	Moving Expenses - The cost to lease/rent a vehicle and/or contract with moving company
	Rent/Security Deposits - Cost to lease a house/apartment (not to exceed two months' rent)
	Utilities Deposits - Cost to have utilities established
	Renter's Insurance Policy - Initial cost to obtain renter's insurance coverage for up to one year
Eligible Expenses- Start-Up and Replacement	Furnishings - Must include an itemized, detailed list of basic furniture such as dining room, bedroom and living room furniture. Does not include televisions, electronics, entertainment centers, etc.
	Housekeeping Supplies - Non-consumable items such as bath towels, kitchen items, small appliances, etc.
Application Process	a. The Agency must submit a complete Application for ISLA Start-Up and/or Replacement Funds developed by the individual with support from family (if applicable), St. Louis Regional Office Support Coordinator and other interested parties.
	b. Agency must obtain a signed Board Resolution that notifies the PLB that the Agency's Board of Directors has approved the agency to apply for funding.
	c. ISLA Start-Up requests may be submitted by the supporting Agency 60 days prior to moving or up to 30 days after moving.
	d. Dates must be consistent across all documents.
	e. Applications for Replacement funds may be submitted at any time.
	f. Application must include a statement regarding the individual's need for Start-Up and/or Replacement funding.
	g. Budget - must include individual/parent contribution(s)
	See the Start-Up/Replacement Furnishings Application form
Statement of Work	<ul style="list-style-type: none"> • Identifies the length of the contract. • Must be signed and returned to the PLB before purchasing any approved services or items. • Once the Statement of Work is signed by your agency, a contract has been established. Therefore, any changes must be requested in writing and approved by PLB prior to the changes taking place. Submit a written explanation of the situation(s) surrounding any/all changes of funding needs (dates, items, living situation, etc.). • Once the signed Statement of Work is received at the PLB, an invoice is created.

Start-Up Service Guidelines	
Funding Worksheet	<ul style="list-style-type: none"> • Track all expenses on the Funding Worksheet (ISLA Start-Up and/or Replacement Application). • Funding Worksheet should be submitted with your invoice as an attachment. • For any item costing \$1,000 or more, you must obtain 3 bids and submit bids with your invoice as attachments (as submitted with Start-Up Application). • Attach copies of all receipts or paid invoices and approved Contract Revision Request form (if needed) to your invoice as attachments.
Invoicing Procedures	<ul style="list-style-type: none"> • Invoices are generated by the PLB and placed on the agency's' PLB website on a monthly basis. • Submit the completed Funding Worksheet included in the original approved Start-Up and/or Replacement application. • Submit all approved Contract Revision Request Form(s). • Submit all bids for capital items costing \$1000 or more. • Attach copies of all receipts or paid invoices. • If you receive notification from the PLB regarding a discrepancy with the Invoice of Expenditures and/or the individual's information, your invoice will be held until resolved, or items causing the discrepancy will be deducted at PLB staff discretion.

11.3.2 Family Support: Education Training/Subsidy (Family/Individual)

The PLB may fund financial subsidies for qualified applicants to help defray the cost of registration fees for national, state and/or local seminars, conferences or educational workshops.

Participant Eligibility for Subsidy

Individual/Family Conference Reimbursement subsidy is for individuals and family members to improve their knowledge of services and supports as well as their ability to make informed choices in selecting services to meet their needs. The purpose of these funds is to provide a reduced registration fee or scholarship. Subsidies will be limited to one member per family. The subsidy is to cover (full or partial) registration fees and is available for those seminars, conferences or educational workshops that are related to PLB funded services. This includes local, state, and/or national conferences or workshops. The subsidy is limited to the registration fee.

Requests for the subsidy must be made through a PLB funded agency on behalf of the individual/family. Consideration of all requests for financial subsidy will be made on a first come, first served basis within the annual amount budgeted for Education/Training Subsidy.

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

See the Education/Training Request for Subsidy form

11.3.3 In-Home Support

In-Home Support Service Guidelines	
Definition of Service	Services provide intermittent, short-term relief to the primary caregivers.
Service Delivery	<ul style="list-style-type: none"> • Agency will complete an assessment on each individual to determine the number of hours to be awarded each fiscal year per person. • The number of hours accessed for In-Home and Facility-Based Supports on an annual basis are not an individual or family entitlement. • Support can be provided through a variety of settings such as: a) In the individuals place of residence; b) in the home of a provider; and c) in the community. <p>Specialized Medical supports must meet the following: a) Services are provided by a licensed professional (i.e., Registered Nurse, Licensed Practical Nurse and/or a Certified Nurse’s Aide), as determined through an assessment by a physician or registered nurse. b) Services are provided in the natural home, based upon the individual’s needs and the availability of resources. c) Individuals must be in the process of registering for the DMH Regional Office and/or maintain active status, if eligible.</p>
Billable Activities	<p>Individual Support does not include:</p> <ul style="list-style-type: none"> • Daily care on an ongoing or regularly scheduled basis. Daily care (Day Care) while a parent or legal guardian is working. Support regularly scheduled before and or after school or work. • Care provided by a family member living in the family home. • Care provided by a mother, father, stepmother, stepfather, or any individual less than 18 years of age. • Relief to paid support staff in a family home or in the home of the individual. • Care usually associated with attendants or personal care assistants. • Care provided for an individual in the hospital. • Care provided for a child in foster care. (Department of Social Services, Children’s Division funds respite care for children in foster care; Missouri Resource Parent Handbook.)
Caps and/or Limits	<ul style="list-style-type: none"> • Families may access no more than 504 hours per person per fiscal year. • Agency must monitor individual utilization on a regular basis to ensure: utilization does not exceed 504 hours per person per fiscal year, does not exceed 14 consecutive days per month. • In-Home Supports Reimbursements to Families <ul style="list-style-type: none"> ○ Reimbursement is capped at 14 hours within 24 consecutive hours. ○ When services are provided to 2 or more siblings at the same time, the agency will reimburse the family at the group unit rate. <p>Criteria for Requesting Additional Hours Over 504-Hour Annual Limit Consideration of requests for In-Home and Facility-Based Support beyond the 504-hour maximum is based on family need and to the extent that funds are available on an annual basis.</p> <p>Requests may be considered when the following circumstances apply:</p> <ul style="list-style-type: none"> • Serious illness/ hospitalization of primary caregiver, serious illness of individual, or death of primary caregiver;

In-Home Support Service Guidelines	
	<ul style="list-style-type: none"> • Unforeseen family circumstance(s) that necessitates the primary caregiver’s absence from the home; • Temporary homelessness, where housing is denied to the individual with the disability; and • Circumstances that constitute an unforeseen, critical hardship on the family in caring for their family member with a developmental disability in the home and, in the absence of In-Home and Facility-Based Support, may be at risk of having to place this individual out of the home environment on a permanent basis. <p>Requests will be denied if the following circumstances apply:</p> <ul style="list-style-type: none"> • Individual’s support needs exceed the definition of In-Home and Facility-Based Support. • Individuals do not manage their hours. <p>The request for additional hours will be received and evaluated by staff.</p> <ul style="list-style-type: none"> • The In-Home Support agency will provide evidence that the DMH Regional Office has denied funding for additional In-Home and/or Facility-Based Supports. • The following will be considered in this review: <ul style="list-style-type: none"> ○ The amount of In-Home and Facility-Based Support utilized year to date and for two prior years; ○ The specific reason for the extended need, the duration of the need, and the family’s plans to ameliorate the presenting problem and ○ Whether the individual will be returning home or the family is seeking permanent out of home placement. • If the individual is not returning home, the agency will work with the family, the Support Coordinator (if applicable) and other people in the individual’s life to determine the long-term residential support needs. The agency will develop a plan with timelines and submit the plan along with the request for additional hours over the 504 annual limit. • The above information will be submitted to the PLB for review and approval utilizing the (Individual Supports Request for Additional Hours Over 504). The decision will be communicated to the provider agency in writing to include the amount of time approved and any conditions of approval. The agency will monitor the extension utilization. The extended support may be reduced if other supports become available.

11.3.4 Facility-Based Support

Facility-Based Support Service Guidelines	
Definition of Service	Services provide intermittent, short-term relief to the primary caregivers in a setting outside of the natural home.
Service Delivery	Agency will complete an assessment on each individual to determine the number of hours to be awarded each fiscal year per person.

Facility-Based Support Service Guidelines	
	<p>The number of hours accessed for In-Home and Facility-Based Supports on an annual basis are not an individual or family entitlement.</p> <p>Specialized Medical supports must meet the following: a) Services are provided by a licensed professional (i.e., Registered Nurse, Licensed Practical Nurse and/or a Certified Nurse’s Aide), as determined through an assessment by a physician or registered nurse. b) Services are provided in the natural home, based upon the individual’s needs and the availability of resources. c) Individuals must be in the process of registering for the DMH Regional Office and/or maintain active status, if eligible.</p>
Caps and/or Limits	<p>Families may access no more than 504 hours per person per fiscal year.</p> <p>Agency must monitor individual utilization on a regular basis to ensure: utilization does not exceed 504 hours per person per fiscal year, does not exceed 14 consecutive days per month.</p> <p>Criteria for Requesting Additional Hours over the 504-Hour Annual Limit: Consideration of requests for In-Home and Facility-Based Support beyond the 504-hour maximum is based on family need and to the extent that funds are available on an annual basis.</p> <p>Requests may be considered when the following circumstances apply:</p> <ul style="list-style-type: none"> • Serious illness/ hospitalization of primary caregiver, serious illness of individual, or death of primary caregiver; • Unforeseen family circumstance(s) that necessitates the primary caregiver’s absence from the home; • Temporary homelessness, where housing is denied to the individual with the disability; and • Circumstances that constitute an unforeseen, critical hardship on the family in caring for their family member with a developmental disability in the home and, in the absence of In-Home and Facility-Based Support, may be at risk of having to place this individual out of the home environment on a permanent basis. <p>Requests will be denied if the following circumstances apply:</p> <ul style="list-style-type: none"> • Individual’s support needs exceed the definition of In-Home and Facility-Based Support. • Individuals do not manage their hours. <p>The request for additional hours shall be received and evaluated by staff.</p> <ul style="list-style-type: none"> • The In-Home Support agency will provide evidence that the DMH Regional Office has denied funding for additional In-Home and/or Facility-Based Supports. • The following will be considered in this review: <ul style="list-style-type: none"> ○ The amount of In-Home and Facility-Based Support utilized year to date and for two prior years; ○ The specific reason for the extended need, the duration of the need, and the family’s plans to ameliorate the presenting problem and

Facility-Based Support Service Guidelines	
	<ul style="list-style-type: none"> ○ Whether the individual will be returning home or the family is seeking permanent out of home placement. ● If the individual is not returning home, the agency will work with the family, the Support Coordinator (if applicable) and other people in the individual's life to determine the long-term residential support needs. The agency will develop a plan with timelines and submit the plan along with the request for additional hours over the 504 annual limit. <p>The above information will be submitted to the PLB for review and approval utilizing the (Individual Supports Request for Additional Hours Over 504). The decision will be communicated to the provider agency in writing to include the amount of time approved and any conditions of approval. The agency will monitor the extension utilization. The extended support may be reduced if other supports become available.</p>
Billable Activities	<p>Individual Support does not include:</p> <ul style="list-style-type: none"> ● Daily care on an ongoing or regularly scheduled basis. Daily care (Day Care) while a parent or legal guardian is working. Support regularly scheduled before and or after school or work. ● Care provided by a family member living in the family home. ● Care provided by a mother, father, stepmother, stepfather, or any individual less than 18 years of age. ● Relief to paid support staff in a family home or in the home of the individual. ● Care usually associated with attendants or personal care assistants. ● Care provided for an individual in the hospital. ● Care provided for a child in foster care. (Department of Social Services, Children's Division funds respite care for children in foster care; Missouri Resource Parent Handbook.)

11.3.5 Employment Transportation

Employment Transportation Service Guidelines	
Service Definition	Employment Transportation services support individuals to access employment through safe and reliable transportation.
Eligibility Criteria	<p>The Productive Living Board (PLB) allocates and administers funds (both SB 40 and SB 3) for the purpose of transporting eligible St. Louis County individuals to sheltered employment sites.</p> <p>Individuals employed in a sheltered workshop are expected to meet their transportation needs independently, via family and other generic means or by use of public transportation services at their own expense. Individuals who require transportation services to obtain or maintain sheltered employment may receive transportation funded by PLB under the following conditions:</p> <ul style="list-style-type: none"> ● The family is not able to meet the transportation need; ● Other resources are unavailable; ● Independent use of public transportation poses risk to the safety of the individual; and ● Individual/family has made a reasonable and good faith effort to access alternative transportation systems and services.

Employment Transportation Service Guidelines	
	<p>Individuals in the DMH, Division of Developmental Disabilities Medicaid Waiver program are not eligible for transportation services funded by the PLB. Transportation services for these individuals are the funding responsibility of DMH/St. Louis Regional Office.</p>
Qualification Requirements	<p>Individuals active with the St. Louis Regional Office will complete the Transportation Screening Tool with their Service Coordinator to assess and determine the individual's eligibility for transportation services.</p> <ul style="list-style-type: none"> • St. Louis Regional Office, Agency and PLB staff meet as needed to review the Transportation Screening Tool Packet or <p>Individuals who are not active with the St. Louis Regional Office will complete the PLB Transportation Screening Tool with a staff from the Workshop and guardian to assess and determine the individual's eligibility for transportation services.</p> <ul style="list-style-type: none"> • Sheltered Workshop staff will send the packet to PLB staff. PLB staff will review the Transportation Screening Tool to ensure it is completed correctly. • Service Provider and PLB staff meet as needed to review the Transportation Screening Tool Packets. • Transportation is offered if the provider has a route available and funding to cover the individual's transportation need for a fiscal year. <p>Transportation services are subject to available funds and capacity of Service Provider.</p>

11.3.6 Capital

Funding may be considered for one-time capital expenses such as acquisition of property, vehicles for transportation, and equipment that adds capacity to the organization to fulfill its mission. The following guidelines apply to all capital expenses:

- 1) Agencies shall obtain and submit three (3) bids with the invoice when requesting payment for purchase of non-consumable capital items including equipment, property acquisition, construction, renovations, vehicles, and other capital requests when the unit cost is \$1,000 or more. Agencies shall utilize the following bid protocol when obtaining bids on capital items with a unit cost of \$1,000 or more and a useful life of more than one year:
 - a) Bid specifications shall be written in sufficient detail to assure consistent response to the agency's request for bids.
 - b) Agency bid requests shall be submitted to similar vendors.
 - c) Agencies shall submit a copy of the bid specifications and a minimum of three (3) signed bids specifying agency bid preferences to the PLB. The vendor shall provide a signed affidavit certifying their independence in relation to the agency's board, agency's employees, and agency's individuals.
 - d) Monitor the progress of the renovation and, at the PLB's discretion, certify satisfactory percentage of completion prior to funds disbursement.
 - e) In the event that agencies do not select the lowest bid, a written rationale must be provided for approval, prior to work being performed, or items purchased.

- f) In the event that there are limited (fewer than three) or sole source vendors responding to bid requests, agencies must request a waiver of policy from the PLB prior to purchasing the item(s).
- 2) Agencies shall execute a First Deed of Trust, Loan Agreement and Promissory Note and give and grant to the PLB a security interest in and to all real estate acquired, equal to the amount of PLB funds provided to or received by the Agency for construction for facility expansion or major renovation. A second priority position shall be considered upon request if agency demonstrates financial need. For PLB funding, construction for facility expansion or major renovation is defined as projects that; a) extend the square footage of the building; and/or b) substantially change the use or purpose of the original space; and c) exceed \$500,000.
- 3) Loans and Promissory Notes related to construction for facility expansion or major renovation shall be partially forgiven based on the following guidelines and conditions.
 - a) Agency must remain in compliance with the Alliance Partner Funding Manual including PLB specific provisions and PLB Funding Contract.
 - b) The standard loan provision will be for a 30 year term and will be reduced by 50% over a 15 year period. These terms are defined in the detailed loan agreement.
 - c) In the event the term of the loan is greater or less than the standard 30 years, 50% of the loan balance will be forgiven and the principle reduced over the first half of the term of the loan. The annual principle payment will be forgiven and reduce the overall principle on the loan each year. This policy will be implemented with all new loans related to construction for facility expansion or major renovation after March 13, 2017 and will not impact loans prior to that date.
- 4) In the case of residential property, the Agency shall execute a Deed of Trust, Loan Agreement and Promissory Note and give and grant to the PLB a security interest in and to all real estate acquired, equal to the amount of PLB funds provided to or received by the Agency where the Agency's contribution and their commercial loan are equal to or exceed 70% of the acquisition cost. The Deed of Trust shall be in a second position to a commercial mortgage if it is part of the property acquisition funding. If there is no commercial mortgage, PLB shall have a first priority position on the Deed of Trust.
- 5) Agencies shall maintain accurate inventory control procedures of capital items purchased with PLB funds. Agencies are required to clearly identify items by specific PLB project and component numbers.
 - a) Agencies shall complete the PLB Agency Inventory Tracking Report on an annual basis for as long as the capital items are owned by the agency. All non-consumable capital items purchased with PLB funds must be listed on this report. In the year of disposition, the date, method of disposition and proceeds (if any) shall be reported on the PLB Agency Inventory Tracking Report.
 - b) Agencies shall conduct an annual physical inventory of PLB funded property and the results reconciled with their Inventory Control Record. Any discrepancies must be reported to the PLB office immediately.
 - c) Agencies shall maintain a control system to ensure adequate safeguards to prevent loss, damage or theft of property. Any loss, damage or theft of non-consumable property purchased with PLB funds shall be investigated by agencies with written documentation of the investigation findings submitted to the PLB office. A statement describing how agencies will replace the item(s) must be included.
 - d) Sheltered workshops shall provide a statement of business justification and anticipated outcomes from the acquisition of production equipment with the application for funds. The

outcomes should address the sheltered workshop's ability to retain contracts, acquire new contracts, hire additional employees and projected annual return on investment (increase in sales divided by the cost of the equipment). Capital equipment purchased with PLB funds will be reviewed during on-site visits for utilization and consistency with the business justification and anticipated outcomes presented with the application for funds.

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

11.3.6.1 Vehicle Acquisition

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

- 1) PLB will consider applications for funds to purchase the equivalent of no more than one-third (1/3) of the agency's vehicle fleet during a one-year period.
- 2) If funds appropriated remain at the end of the fiscal year, they will carry over to future fiscal years until utilized.
- 3) All accessible vehicles purchased with PLB funds must comply with the standards of the Federal Transit Authority, pursuant to Title II of the Americans with Disabilities Act.
- 4) Applications for funds will be considered for replacement of agency vehicles only when the odometer reading is at least 150,000 miles and the vehicle is five (5) years old, or it can be demonstrated that the vehicle is inoperable due to accident or total mechanical failure not caused by negligent maintenance.
- 5) It is the intent of this policy to encourage the use of other sources of funding available for vehicle acquisition/replacement (e.g., Section 5309 and 5310 programs).

- 6) Agencies are required to provide the PLB with vehicle serial numbers and other appropriate identifying information on vehicles purchased with PLB funds, for purposes of monitoring the application of this policy. For vehicles purchased entirely with PLB funds, the vehicle must be titled with the PLB listed as the first lien holder and PLB will physically hold the title for the duration of time the agency owns the vehicle. For vehicles purchased with Section 5309 or 5310 funding from the Federal Transit Authority, the vehicle must be titled with PLB listed as the second lien holder. The Missouri Department of Transportation will physically hold the title. A copy of the lien must be submitted to the PLB. (see the Vehicle Addendum form)
- 7) Agencies are required to submit an annual PLB Agency Inventory Tracking Report as long as the vehicle is in service, including service as a backup vehicle.
- 8) Unless a vehicle purchased with PLB funds is sold outright or traded in at the time of replacement, the vehicle must be maintained in use for St. Louis County residents with developmental disabilities. In cases where vehicles have been partially purchased with federal or Missouri Highway and Transportation Department funds, their property management standards shall prevail, with remittance of the sale price to the PLB equal to the PLB's percentage match.
- 9) Agencies must submit a request in writing for PLB's permission to dispose of a vehicle purchased with PLB funds. Vehicles may be sold outright to a third party, transferred to another not-for-profit agency for similar use, or sold by the agency to itself for replacement into another service. The PLB reserves the authority to determine a reasonable sale price and shall use the wholesale value of the vehicle as specified in The Official Bus Blue Book by Bus Solutions, in consideration with straight-line depreciation methods. If a vehicle is sold outright to the agency itself, the agency shall remit the sale proceeds (less \$100 for agency expense) to the PLB within ten (10) days of the sale.

11.3.6.2 Down Payment Assistance

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

Down payment assistance shall be provided with consideration of the number of individuals in the residence and the total purchase price/construction costs, and in no event exceed 30% of the purchase price/construction costs of the property.

- 1) PLB reserves the right to determine the amount of down payment assistance based on the budget for the property and the occupants' ability to pay the rent charged from their earned and unearned incomes.
- 2) PLB approval is required prior to selling, trading or re-assigning any property purchased with PLB funds.
- 3) In accordance with the executed Deeds of Trust, Loan Agreements and Promissory Notes, if the Agency either sells, trades, or ceases to use the property(ies) for the purpose represented in this project, all PLB funds disbursed to the Agency for this project, less any amounts previously repaid, shall be repaid to the PLB.

Housing shall be acquired subsequent to the identification of the residents so that their specific needs and choices such as location, proximity to their jobs and community services, transportation and accessibility are addressed. In addition, in order to preserve the dignity of individuals and their right to privacy, housing should be shared by no more than what is typical for the non-disabled population (i.e., three or four people), and every adult should have a separate bedroom unless he or she requests to share a bedroom with another adult in the same household.

Housing shall not be owned or controlled by the lead Agency providing services, to ensure that residents will not be forced to move if/when they choose to change support providers.

In the event one of the initial residents leaves the home subsequent to disbursement of PLB funds, the Agency shall notify the PLB within 30 days, and if within a period of six months, another PLB eligible St. Louis County resident has not been identified to move into the property, repayment may be required by the PLB.

Down payment assistance requests are limited to the availability of funds. (See the Application - Residential Capital Down Payment Assistance form)

11.3.6.3 Housing Renovation and Repair

PLB will consider funding applications for renovations/repairs to residential housing located in St. Louis County and occupied by St. Louis County residents with developmental disabilities.

Consideration will be given to funding proposals for residential renovations/repairs that address at least one of the following:

- 1) Improvement in sub-standard housing that will significantly improve the health and safety of St. Louis County residents with developmental disabilities;
- 2) Need for more accessible housing due to age and/or health status of the individuals;
- 3) Other significant life circumstances as determined by the PLB.

Requests for housing renovations/repairs will be considered with the following general priority and subject also to the priorities in paragraph 1:

- 1) Priority will be given to requests from applicants where the PLB has provided a loan/down payment assistance to purchase the property (housing).
- 2) Priority will also be given to housing where residential supports are provided through the PLB's Independent Supported Living Assistance (ISLA) Program.
- 3) Consideration will also be given to requests from applicants where the PLB has had no financial investment in the property (housing) and/or the residential supports provided to the individuals served.

Housing renovations/repairs requests are limited to the availability of funds.

(See the Application - Residential Capital Renovations and Repairs form)

11.3.6.4 Sheltered Workshop Capital Improvement and Equipment

The PLB may consider funding Sheltered Workshop Capital Improvement and Equipment located in St. Louis County for the following capital needs:

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

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

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

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

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

These funds will be administered with the following conditions:

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

11.3.6.5 Sheltered Workshop Construction and Renovation

The PLB may consider funding Sheltered Workshop Construction and Renovation for new construction, renovation and/or repair following these guidelines.

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

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

11.3.7 One-Time

11.3.7.1 Education Training/Subsidy (Staff)

This financial subsidy is for qualified applicants to help defray the cost of registration fees for national, state and/or local seminars, conferences or educational workshops. Staff/Board Conference Reimbursement subsidy is for agency staff and board members to gain skills and knowledge of best

practices in the field of developmental disabilities and improve the quality and effectiveness of their agency's services and supports.

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

Financial subsidy is available for up to 100% of the registration fee for not more than three persons per agency to attend state or national conferences or workshops. Financial subsidy is available for up to 100% of the registration fee for sending not more than five persons per agency to attend local (St. Louis area) conferences or workshops.

Financial subsidy is not intended to cover the cost of agency required training.

Consideration of all requests for financial subsidy will be made on a first come, first served basis within the annual amount budgeted for Education/Training Subsidy.

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

See the Education/Training Request for Subsidy form

Each person approved for funding shall submit a written evaluation of the seminar, conference or educational workshop.

See the Evaluation of Conference/Seminar form

Reimbursement of approved costs will be issued upon receipt of the written evaluation along with appropriate documentation of registration payment.

See the Education/ Training Program Invoice form

11.3.7.2 Assigned Funds for ISLA and Supported Employment

PLB may annually assign funds for ISLA and Supported Employment services, available to agencies who supported individuals in excess of their annual appropriation. The agency must document the need for additional units to support a new individual(s) or existing individuals with increased support needs. The agency must apply for additional units using the "Request for Assigned Funds" form.

The agency must obtain a signed Board Resolution that notifies the PLB that the Agency's Board of Directors has approved the agency to apply for funding.

The agency must project the additional units to be requested for the remainder of the fiscal year per person, and also submit a request for ongoing funding for the next fiscal year.

PLB staff will review the request and verify the need for additional units based on year-to-date utilization and funds available. PLB staff will submit their recommendation for additional funds to the appropriate Committee and notify the agency of the Board's decision. If additional units are approved, SB 40 Board staff will transfer the approved units from the Assigned Funds to the agency's project.

See the Request for Assigned Funds form

11.4 APPROVAL PROCESS

Service Profiles and Funding Requests are received and evaluated by PLB staff. Agencies may be asked to provide additional information as needed.

Application information and staff evaluations are forwarded to the applicable PLB committee for review. Agencies will be notified in advance of committee meetings and are encouraged to attend as they may be asked to answer questions related to their application. Committees will formulate a recommendation to the full Board for approval or denial of the application. The Board takes action on the committee recommendations. Action may involve approval, deferral, or denial of the application, or referral back to the committee for further review and clarification. The full Board makes final determinations. A Master Service Agreement will be sent to the agency, with Statements of Work for each approved service.

11.5 REPORTING & MONITORING

11.5.1 Audited Unit Cost Report

PLB reviews and verifies the Audited Unit Cost every few years, more often if deemed necessary. The following information regarding allowable expenses is intended to:

- Assist the agency in ensuring an Audited Unit Cost Report/Summary is completed that meets PLB's requirements; and
- Introduce optional Schedules that agencies may find beneficial

The report/summary is a schedule which categorizes and summarizes the various costs categories and units involved with a funded service. In support of this summary are four optional schedules which provide additional details on the larger cost categories. While not required, these summary schedules clearly define and demonstrate the various components of costs incurred with a funded service.

The Audited Unit Cost Report/Summary (Audited Unit Cost Report/Summary link here) will be prepared annually in the format provided by the PLB. Optional schedules A through D support the completion of the cost report and may be completed and used to demonstrate cost details.

The Audited Unit Cost Report/Summary shall identify the agency name, fiscal year end date, PLB project number of funded service or name associated with the service.

Funded service expenses are categorized as direct or indirect expenses. Direct expenses represent those expenses that are incurred as a direct result of providing a service. Indirect expenses represent management and general expenses that are allocated in support of that service.

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

- 1) Personnel Costs - Wages represent salary expenses for program staff providing direct service and other staff whose time is devoted directly to this service. Examples of eligible functions include direct support of individuals, supervision of direct support staff and program coordination. Salary expenses must be properly allocated to reflect the staff person's percentage of time in this service. Administrative staff wages shall be included as an indirect expense and allocated as part of management and general expenses. When staff works in various projects during the fiscal year that varies from the budget allocation, the percentages need to be adjusted to reflect the actual time worked in each service.
 - a) Line 1 Personnel Costs – Wages, on the Audited Unit Cost Report equals the total from Schedule A Personnel Costs – Wages.
 - b) Schedule A instructions (Schedule A) OPTIONAL
- 2) Benefits Costs - Represent fringe benefit expenses incurred by the agency for the staff whose time is devoted directly to this service as reported on Schedule A. Examples of eligible fringe benefit expenses are included on Schedule B, such as employer FICA match, workers compensation premiums, retirement plan contributions, as well as various employer paid insurance coverage.
 - a) Line 2 Benefits Costs – Benefits, on the Audited Unit Cost Report equals the total from Schedule B Benefits Costs.
 - b) Schedule B instructions (Schedule B) OPTIONAL
- 3) Consumable Service Equipment/Supplies - Includes expenses that are directly incurred to provide the service. Examples of eligible expenses include, first aid supplies, linens (for in-facility projects), activities, supplies, etc.
- 4) Office Equipment and Supplies - Includes expenses that are directly incurred in order to provide the service. Examples of eligible expenses include printing/copying supplies, envelopes, administrative office supplies, computer supplies, equipment leases, and depreciation expense for equipment. All expenses shall be properly allocated to reflect the percentage directly related to this service. Any direct administrative costs shall be deducted/excluded from the Administrative Allocation (indirect expenses) calculation.
- 5) Facility Costs - Includes expenses that are directly incurred to provide the service as identified on Schedule C. All expenses shall be properly allocated to reflect the percentage directly related to this service.
 - a) Line 5 Facility Costs on the Audited Unit Cost Report equals the total from Schedule C Facility Costs.
 - b) Schedule C instructions (Schedule C) OPTIONAL
- 6) Communication - Includes expenses that are directly incurred to provide the service. Examples of eligible expenses include pager and cellular phone services, postage, printing, etc. All expenses shall be properly allocated to reflect the percentage directly related to this service.
- 7) Staff Training- Includes expenses directly incurred for staff to remain current on required training, practices and standards, and to acquire new skills. Examples of eligible expenses include reasonable conference registration fees, travel expenses related to conferences, tuition costs, fees paid to group trainers (such as CPR training), etc. All expenses shall be properly allocated to reflect the percentage directly related to this service.
- 8) Staff Travel - Includes expenses directly incurred to provide the service.
 - a) Schedule D instructions (Schedule D) - This schedule only needs to include those services where the staff travel expense is equal to or greater than 5% of the total service expenses. OPTIONAL

- 9) Vehicle Operating Costs - Expenses for agency owned or leased vehicles include expenses directly related to providing the service. Examples of eligible expenses include vehicle rental, gasoline, vehicle repairs, and preventive maintenance. All expenses shall be properly allocated to reflect the percentage of vehicle operating costs directly related to this service.
- 10) Professional Services/Fees - Include expenses directly related to provide this service. Examples of eligible expenses include consulting fees, interpreters, licensing renewals and legal or audit fees directly related to the service. These expenses do not include general agency professional fees such as legal or audit fees – these types of professional fees may be allocated as an indirect administrative allocation.
- 11) Client Assistance - Includes expenses that directly benefit the individual, such as attending an event or activity which fits within the scope of the project's service definition. All expenses shall be properly allocated to reflect the percentage directly related to this service. This does not include items outside of the Service Definition of the project such as items that an individual could not afford and the agency elected to purchase for the individual (e.g. household supplies, groceries, medication, etc.). This type of benevolent assistance is to be funded through the agency's fundraising efforts or other sources and shall not be included in the Audited Unit Cost Report.
- 12) Food - Includes costs directly benefiting the individual and directly related to the service provided, such as in-facility residential and camp projects. All expenses shall be properly allocated to reflect the percentage directly related to this service. Agency food expenses, such as staff meals, should not be included in the Audited Unit Cost Report.
- 13) Total Direct Expense - Once all Direct Expenses have been reported on the Audited Unit Cost Report, total the Project Direct Expenses on the Audited Unit Cost Report.
- 14) Administrative expenses cannot exceed 15% of the agency's total service expense and should not include fundraising costs. Examples of eligible expenses include insurance, other professional fees, allocated wages and benefits of support staff (e.g. finance, human resources etc.), information technology expenses, etc.
- 15) Total Service Costs - Once all expenses have been reported, total the Project Expenses on the Audited Unit Cost Report.
- 16) Total Units Provided - Enter the total number of units of service provided during the fiscal year. If total service expense is for PLB funded service only, include only units applicable to PLB service. If total service expense is for a service that includes funding by other sources, include all units.
 - a) Cost Per Unit - Divide the total service expenses by the total units provided to calculate the Cost per Unit.