

**INDEPENDENT REVIEW OF AGENCY COMPLIANCE WITH  
PLB PROJECT STANDARDS SERVICE DOCUMENTATION AND  
COMMUNITY SUPPORT GUIDELINES AND POLICIES**

**REQUEST FOR PROPOSALS  
SYNOPSIS**

The Productive Living Board for St. Louis County Citizens with Developmental Disabilities (PLB) is seeking proposals for an independent review of Individual Support Plans and corresponding Progress Notes for one agency's community support services, and provide a report on compliance with the PLB Community Support Guidelines and Policies and the Quality Enhancement/Service Excellence (QE/SE) Project Standards Service Documentation requirements.

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

The agency must maintain a written plan of supports in the form of an individual support plan that builds upon the consumer's capacity to engage in home and community living and recognizes the individual's preferences, choices, and abilities. Progress notes document progress toward achieving the outcomes previously stated in the Individual Support Plan.

**Closing Date:**     **Submit an electronic copy** in PDF format no later than **noon on Tuesday, March 24, 2015**

**Submit To:**        [jprage@plboard.com](mailto:jprage@plboard.com)

Joyce Prage, CPA  
Executive Director

**To access the RFP or ask questions:**

Technical assistance is limited to answering questions regarding clarification of RFP instructions, definitions, or terms. Questions may be submitted on the PLB website.

- Go to [www.plboard.com](http://www.plboard.com)
- Click Request for Proposals on the right side of the web page
- To ask a question click [Ask Question](#)
- To review answers click [Review Answers](#)

All phone calls are referred to the website.

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**REQUEST FOR PROPOSALS**

**I. Background**

The Productive Living Board for St. Louis County Citizens with Developmental Disabilities (PLB) was established in 1979 when voters approved a special property tax to fund services for St. Louis County citizens with developmental disabilities. (Developmental disabilities include intellectual disabilities, mental retardation, cerebral palsy, autism, epilepsy and learning disabilities related to brain dysfunction.) The PLB has an annual budget of \$20 million and a staff of twelve.

The PLB does not provide any services directly. Instead the PLB oversees the distribution of funds to 37 local agencies. These agencies provide residential and employment supports and services to approximately 4,500 individuals.

**II. Statement of Purpose**

The PLB is seeking proposals for an independent review of Individual Support Plans (ISP) and corresponding Progress Notes for one agency's community support services, and provide a report on compliance with the PLB Community Support Guidelines and Policies and the Quality Enhancement/Service Excellence (QE/SE) Project Standards Service Documentation requirements.

Community Support is defined as supports for consumers to develop skills for independence to access the community. Supports must be directed to increase residential living skills, formation of social roles, relationships and self-reliance.

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

Consumer Support Outcomes:

1. Persons with developmental disabilities acquire new skills to actively participate in their community.
2. Persons with developmental disabilities form new and maintain relationships and natural supports in their community.

3. Persons with developmental disabilities are satisfied with the community support services received.

The agency must maintain a written plan of supports in the form of an individual support plan that builds upon the consumer's capacity to engage in home and community living and recognizes the individual's preferences, choices, and abilities. Progress notes document progress toward achieving the outcomes previously stated in the Individual Support Plan.

### **III. Scope of Project**

- A. The PLB is seeking proposals for an independent review of 25 Individual Support Plans and corresponding Progress Notes for compliance with the PLB Community Support Guidelines and Policies (Exhibit A) and the QE/SE Project Standards Service Documentation requirements (Exhibit B).

The applicant will provide a detailed description of an approach to accomplish the following:

1. Independent review of 25 Individual Support Plans for compliance with each of the PLB's requirements for ISP documentation.
2. Independent review of the corresponding Progress Notes for compliance with each of the PLB's requirements for Progress Notes documentation.
3. Independent review of 25 Individual Support Plans and Progress Notes for compliance with the PLB's Community Support Guidelines and Policies.
4. Detailed report that documents the findings of the compliance review of each consumer's ISP and corresponding Progress Notes and Community Support Guidelines and Policies.
5. Provide a detailed timeline of project tasks and completion date.

### **IV. Instructions to Applicants**

- A. **Proposal Content Requirements:** All proposals must be submitted in the following format and include all of the required information.
  1. Applicant Information: On a cover sheet to the proposal, provide the official name, address, phone number, and email address of the applicant, as well as the name of the principal contact person and the name and title of the person authorized to execute the contract.
  2. Project Description/Work Plan: Provide a comprehensive work plan and timeline for the project that addresses each of the design criterion outlined in Section III, Scope of Project.
  3. Staff Qualifications: Identify the key individual who will have primary responsibility for the development, implementation and management of this project, and state their relationship to the organization. Include experience with quality enhancement and compliance. Include current resume(s) of the individual(s) who will implement this project.

4. References: Provide a minimum of three references complete with personal contacts, phone numbers and addresses of companies for which the individual/organization has performed similar services.
5. Bid: Provide a “not to exceed” bid for the described services including hourly rate.
6. Signature of Responsible Persons: Proposals must be signed by an authorized individual(s) of the applicant organization and include the name, title, address, telephone number and email address of the individual(s) with authority to negotiate and contractually bind the individual/organization.
7. Proposal Guidelines: Proposals must be completed within the guidelines of the RFP. All proposals received will be considered to be in final form. Supplemental information will not be considered after the deadline for submission of proposals unless requested by the PLB.

**Closing Date:**           **Submit an electronic copy** in PDF format no later than **noon** on **Tuesday, March 24, 2015**. All proposals received will be considered in final format.

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## **V. Review of Proposals**

- A. A review team designated by the executive director will evaluate all proposals.
- B. The PLB’s Administration Committee may request a meeting with those individuals best representing the needs as described in this RFP.
- C. The PLB’s Administration Committee will forward to the full Board a recommendation regarding which proposal should receive the award.
- D. A final decision on this matter is expected to be made no later than **April 3, 2015**.
- E. Proposals will be reviewed by the PLB in accordance with the following weighted criteria:
  1. The proposed approach to the scope of work
  2. The level of experience of the individual(s) identified to work on this project
  3. The individual’s/organization’s experience with similar projects
  4. The responses from references
  5. The total proposed cost

## **VI. Conflict of Interest**

- A. Applicants agree that they or their employees do not currently have, nor will they have, any conflict of interest between themselves and the PLB or PLB-funded agencies. Any perceived or potential conflict of interest must be disclosed in the proposal.

## **VII. Contractual Agreement**

- A. The PLB will issue a contract/letter of agreement with the selected applicant.
- B. The manner and time of payment will be addressed in the contract/letter of agreement.
- C. All individuals assigned to this engagement will be required to sign the PLB's Confidentiality Agreement.

## **VIII. Rights Reserved to the PLB**

- A. The PLB reserves the right to reject any and all proposals or to waive any irregularities and omissions if, in its judgment, the best interest of the PLB will be served.
- B. The PLB must review and approve all materials for use in this project prior to their implementation.
- C. The PLB will have all ownership rights to the products resulting from this project, with the exception of any previously copyrighted materials.

## FUNDING POLICIES

### **RESIDENTIAL SERVICE GUIDELINES AND POLICIES**

#### **COMMUNITY SUPPORT**

(Revised November 2013)

#### **SERVICE DEFINITION**

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

#### **GUIDELINES AND POLICIES**

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

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

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

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

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

Project priority shall be non-Medicaid Waiver funded consumers residing in their natural family home or PLB funded ISLA.

## PROGRAM POLICIES

### **RESIDENTIAL SERVICE GUIDELINES AND POLICIES**

#### **COMMUNITY SUPPORT**

(Adopted November 2013)

#### **AGENCY GUIDELINES**

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

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

## QUALITY ENHANCEMENT/SERVICE EXCELLENCE

### **AGENCY/SERVICE MONITORING**

(Revised January 2015)

### **PROJECT STANDARDS SERVICE DOCUMENTATION**

#### **Individual Support Plan**

The agency must maintain a written plan of supports in the form of an individual support plan that builds upon the consumer's capacity to engage in home and community living and recognizes the individual's preferences, choices, and abilities. This process involves families, friends, and professionals as desired or requested by the consumer.

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

The Individual Support Plan must document the following elements:

1. Name of the consumer;
2. Date the plan was written or updated. Plans must be updated at least annually or as support needs change.
3. Specific support needs of the individual for the project;



## QUALITY ENHANCEMENT/SERVICE EXCELLENCE

### **AGENCY/SERVICE MONITORING**

(Revised January 2015)

### **PROJECT STANDARDS SERVICE DOCUMENTATION**

#### CONTINUED

4. The level (i.e. individual, group, etc.) of support to be provided;
5. Type (i.e. how individual's support needs will be addressed by staff) of support to be provided;
6. Outcomes relate to the PLB project;
7. Individualized measurable goals;
8. The intensity (i.e. daily, weekly, monthly) of the supports provided;
9. How progress will be measured;
10. Timelines for completion of goals;
11. The involvement of the consumer and their family, as well as, all the individuals who contributed to the development of the plan with signatures and dates.

#### **Progress Notes**

Progress notes document progress toward achieving the outcomes previously stated in the Individual Support Plan. Progress notes are a factual account of the activities being recorded. Progress notes must be legible and the information must be clear to others who read the document. The information contained in the Progress Notes become legal documents maintained in the consumer's file.

Progress notes should **not include** staff impressions, opinions, assumptions, feelings and/or a narrative of the activity.

The Individual Progress Notes must be written after each support is provided and include the following:

1. Name of the consumer;
2. Date of service;
3. Time in;
4. Time out;

## QUALITY ENHANCEMENT/SERVICE EXCELLENCE

### **AGENCY/SERVICE MONITORING**

(Revised January 2015)

### **PROJECT STANDARDS SERVICE DOCUMENTATION**

#### CONTINUED

5. Includes staff time worked (for the entire day);
6. Indicates staff billable hours worked/Units of service provided;
7. Indicates staff non-billable hours worked;
8. Written after each support is provided;
9. Documentation of progress toward achieving outcomes;
10. Consumer's signature for all individual support;
11. Sign in sheets/attendance forms for the individuals attending group programs;
12. Signed and dated by direct support staff; and
13. Signed and dated by their supervisor.

**Without proper documentation, the support did not occur and will not be reimbursed.**