



DEVELOPMENTAL PROGRAMS BULLETIN

COMMONWEALTH OF PENNSYLVANIA DEPARTMENT OF PUBLIC WELFARE

DATE OF ISSUE
October 19, 2012

EFFECTIVE DATE
July 1, 2012

NUMBER
00-12-05

SUBJECT:

Individual Support Plans (ISPs)

BY:

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SCOPE:

Administrative Entity (AE) Administrators and Directors for Medicaid Waiver Participants
County Mental Health/Intellectual Disability (MH/ID) Programs
Non-State Intermediate Care Facilities for Persons with Intellectual Disabilities (ICFs/ID)
Directors
State Center Directors
Supports Coordination Organizations (SCO)
Providers of Intellectual Disability Services
Individuals and Families, Relatives, or Surrogates¹

PURPOSE:

The purpose of this bulletin is to establish the Office of Developmental Programs' (ODP) requirements for Individual Support Plans (ISP) which are outlined in the ISP manual. The manual identifies services and definitions and the standardized processes for preparing, completing, documenting, implementing, and monitoring ISPs to ensure they are:

- Developed to meet the needs of an individual.
- Developed and implemented using the core values of *Everyday Lives, Positive Approaches and Practices* and *Self Determination* to result in an enhanced quality of

¹ Not everyone can make legally binding decisions for themselves. This would include minor children and some adults who have substantial mental impairment. In these instances, a substitute decision-maker may be identified under State law. Substitute decision-makers have various legal titles, but for the purposes of this bulletin, they will be referred to as "surrogates." "Surrogates" include the following:

- Parents of children under 18 years of age under the common law and 35 P.S. § 10101.
- Legal custodian of a minor as provided in 42 Pa.C.S. § 6357.
- Health care agents and representatives for adults as provided in 20 Pa.C.S. Ch. 54.
- Guardians of various kinds as provided in 20 Pa.C.S. Ch. 55 (as limited by 20 Pa.C.S. § 5521(f)).
- Holders of powers of attorney of various kinds as provided in 20 Pa.C.S. Ch. 56.
- Guardians of persons by operation of law in 50 P.S. §4417(c).

Any of these would be considered "legal representatives" as the Centers for Medicare and Medicaid Services uses that phrase. Please see *Application for a §1915(c) Home and Community-Based Waiver [Version 3.5]: Instructions, Technical Guide and Review Criteria*.

COMMENTS AND QUESTIONS REGARDING THIS BULLETIN SHOULD BE DIRECTED TO:

The Appropriate Developmental Programs Regional Office

life for every individual who receives intellectual disability services and supports in Pennsylvania.

- Coordinated with the approved Consolidated and Person/Family Directed Support (P/FDS) Waivers and 55 Pa. Code Chapter 51 Office of Developmental Program's Home and Community Based Services regulations.

BACKGROUND:

The Mental Health and Intellectual Disability Act of 1966 (MH/ID Act) provides the statutory basis for the development of community-based services for individuals with an intellectual disability. Section 301(d) of the MH/ID Act (50 P. S. § 4301(d)) requires County MH/ID Programs to provide access to base-funded services (up to the availability of State allocated funding). The County Intellectual Disabilities regulations, 55 Pa. Code Chapter 6201, were issued under Section 201(2) of the MH/ID Act. The 6201 regulations require the assessment of individual and family needs, and the development of a life management plan for individuals and their families. Furthermore, 55 Pa. Code Chapter 51 Office of Developmental Program's Home and Community Based Services, federal regulations for Medicaid services, the "Administrative Entity Operating Agreement" for the Consolidated and P/FDS Waivers, and the Office of Developmental Programs (ODP) "Provider Agreement for Participation in Pennsylvania's Consolidated and P/FDS Waivers" also outline requirements for the development and implementation of an ISP.

Everyday Lives published in 2002 as *Everyday Lives: Making It Happen* and includes the core values of Choice, Control, Quality, Community Inclusion, Stability, Accountability, Safety, Individuality, Relationships, Freedom, Success, Contributing to the Community, Collaboration, and Mentoring. These values exemplify the attributes that every individual with or without disabilities should have in their lives.

Since its publication, the values and vision expressed in *Everyday Lives* have provided the framework for planning, policy development, service design, and all related activities in the Intellectual Disability (ID) service system. As the ID system evolved with the *Everyday Lives* philosophy, concepts such as:

- Person-Centered Planning, which focuses on the individual's strengths, choices, and preferences.
- Positive Approaches, which defines the context in which we provide needed clinical and behavioral interventions to teach individuals the skills they need to, make safe and appropriate choices.
- Self Determination, which gives individuals who receive, services more control and responsibility in choosing how to live their lives.

Individual Support Planning is based on those very same concepts and captures the true meaning of working together to create a shared commitment for an individual's future.

DISCUSSION:

The ID Service System has two approved Medicaid Waivers: the Consolidated Waiver and the Person/Family Directed Support (P/FDS) Waiver. The following are ODP requirements related to ISPs based on the approved waivers:

- ISPs must be based on assessed needs.
- ISPs must be developed using a person-centered planning process to capture information including health and welfare information and the individual's preferences and desires, all of which ensures that appropriate services and supports are identified and implemented.
- ISPs must list all unpaid natural supports and funded supports to meet assessed needs. The ISP shall include documentation of services provided through other agencies (for example, Insurance, Office of Vocational Rehabilitation, Aging, Drug and Alcohol, School).
- ISPs must be completed using the standardized format and entered into the Home and Community Service Information System (HCSIS) for any individual who has been found eligible for ID services and is receiving at least one funded service, including Supports Coordination.
- ISPs are not required for individuals residing in an Intermediate Care Facility for Persons with an Intellectual Disability (ICFs/ID).
 - For individuals residing in ICFs/ID, the ICF/ID is responsible for developing the individual plan (outside of HCSIS) in accordance with ICF/ID regulations. Although Supports Coordinators (SC) need not develop an ISP for individuals residing in State Centers and NonState ICFs/ID, they are responsible for maintaining regular contact with the ICF/ID facility, for evaluating the individual, and for participating in plan development as required in the County Mental Retardation Service Regulations, 55 Pa. Code 6201.14, Aftercare Services.
- An abbreviated ISP should be completed for any individual receiving under \$2,000 in non-waiver services. AEs or SCOs still have the option of doing a more detailed ISP.
- Targeted Service Management (TSM) and Base-funded Case Management services are not included in the \$2,000 noted above.
- ISPs are updated, approved, and services authorized at least annually (every 365 calendar days) and when warranted by changes in the individual's needs.
- SCOs must ensure that ISPs are thoroughly reviewed to assure services accurately reflect an individual's needs prior to submission to the AE for approval and authorization.

- Prior to the delivery of ID services, the ISP must be developed to include frequency, amount, type and duration of each service and the AE/County Program must approve and authorize services.
- Once the ISP is approved and authorized, the SC will ensure that a completed copy of the signature form will be provided to all team members.
- The SC will ensure that all approved and authorized ISPs will be distributed to all appropriate team members unless otherwise requested.
- Providers having access to the approved and/or authorized ISP in HCSIS will be responsible for distribution to all appropriate staff within their agency.
- The AE and County MH/ID Program are responsible for:
 - Ensuring that ISPs are appropriate to meet the individual's needs
 - Ensuring approval of the ISP in HCSIS.
 - Ensuring that all needed services both paid for by ODP and not paid for by ODP, are included on the ISP prior to approving.
 - Authorizing the ODP paid supports in HCSIS, with the exception of TSM and Base-funded Case Management.
 - For individuals residing in State Centers and NonState ICFs/ID, the County Program is not responsible to authorize the plan. The plan is completed by the ICF/ID provider.
 - For individuals residing in State Centers and NonState ICFs/ID, the ICF/ID is responsible to ensure that the services included in the plan meet the individual's needs.
- The standardized forms attached to this bulletin must be used as follows:

Revised Individual Support Plan Signature Form (DP#1032): Utilized to validate individual and team member participation and the development of the ISP. It also validates that critical information was reviewed and discussed at the ISP meeting. This document must be maintained in the individual's file at the SCO for 5 calendar years after the case is closed.

Revised Office of Developmental Programs Waiver Service Request Form (DP #1022): Utilized when the following requests did not result in team concurrence: a change to an existing waiver service or a new service request.

Attachments:

- Attachment 1: ISP Manual for Individuals with an Intellectual Disability
- Attachment 2: ISP Timeline
- Attachment 3: Revised DP 1032 Individual Support Plan Signature Form
- Attachment 4: Annotated ISP
- Attachment 5: Questions to help facilitate the development of the ISP
- Attachment 6: Revised DP #1022 Waiver Service Request Form

OBSOLETE BULLETIN:

Bulletin 00-11-02, *Service Definitions for the Pennsylvania Mental Retardation Program*
Reissued

Bulletin 00-10-12, *Individual Support Plans (ISPs)*