NEW YORK STATE | Office for People With Developmental Disabilities

Self-Direction Support Broker Checklist

This checklist outlines the responsibilities of the Support Broker in helping the person self-directing their services with their approved Self-Direction Budget. Since each Self-Direction Budget is developed by the person self-directing their services and their Circle of Support, also known as the Planning Team, the role and specific tasks of the Support Broker will be based on the participant's needs and preferences. These tasks are outlined in the Support Broker Agreement.

This checklist applies to both paid (authorized) and unpaid Support Brokers unless otherwise noted. It serves as a guidance document and does not replace or override established policies, regulations, or service rules.

- ❑ **Primary Responsibility:** The Support Broker's main role is to develop and maintain the Self-Direction Budget in agreement with person-centered planning. This includes working with the the person self-directing their services and their Circle of Support to review and update the budget as needed. The budget must meet the person's needs, follow relevant regulations, and remain eligible for Medicaid funding.

- ❑ **Multiple Support Brokers:** More than one Support Broker may assist a person self-directing their services. However, one must be named as the primary Support Broker in the Support Broker Agreement. Any additional Support Brokers must also have a signed Support Broker Agreement with the person self-directing their services and meet all requirements to bill for services.

- ❑ **Support Broker Agreement Requirements:** All Support Brokers, whether paid, unpaid, or supplemental, must have a Support Broker Agreement that clearly defines their assigned tasks, in alignment with the approved Self-Direction Budget.

- ❑ **Regulatory Knowledge:** All Support Brokers must be familiar with the Administrative Memoranda related to the Office for People With Developmental Disabilities' Self-Direction model and any Home and Community-Based Services Waiver services included in Self-Direction Budgets.

- ❑ **Ongoing Compliance:** Authorized, unauthorized, and supplemental Support Brokers are responsible for staying informed about any changes to the Office for People With Developmental Disabilities' Self-Direction model and making sure the person who is self-directing is following current policies and procedures.

- ❑ **Assist** the person self-directing their services with their Circle of Support. This includes helping them choose members, define roles and responsibilities, and schedule Circle of Support meetings.

- ❑ **Make sure that** Circle of Support meetings are held as needed and at least as required by the Support Broker Agreement. The Self-Direction participant and Support Broker must meet in person unless a virtual meeting has been pre-approved and documented in the Life Plan.

The Care Manager of the person self-directing their services must be invited to Circle of Support meetings, which may also be used as Life Plan reviews.

- ❑ **Assisting** the person self-directing their services to plan Circle of Support meetings. The Support Broker **assists** with the overall functioning of the Circle of Support, making sure that members are freely chosen by the Self-Direction participant and that the Circle of Support is working in the person's best interest and within the guidelines of Self-Direction.

- ❑ **Making sure that updates** are made to the Staff Action Plan for self-hired Community Habilitation and self-hired Supported Employment staff, if these services are being used. Staff Action Plans must be reviewed at least twice a year. For more information, please see Administrative Memorandum # 2018-09R "Staff Action Plan Program and Billing Requirements" here: ADM #2018-09R Staff Action Plan Program and Billing Requirements | Office for People With Developmental Disabilities

- ❑ **Assisting** the person self-directing their services to make a Self-Direction Budget that is consistent with their Life Plan and to work with the Circle of Support to make sure all the necessary protections are included and addressed in the Life Plan.

- ❑ **Help** the person self-directing their services to manage their approved Self-Direction Budget. This includes finding high-quality, cost-effective goods and services, helping fill out documents to justify proposed supports, services, and reimbursements, and looking at other funding sources before using the Self-Direction Budget.

Additional Support Broker Responsibilities:

- ❑ **Support** the person self-directing their services in making a comprehensive plan, including Staff Action Plans, to choose services that meet their needs and goals.

- ❑ **Educate** the person self-directing their services and their Circle of Support on using the Self-Direction Budget in compliance with Medicaid and Office for People With Developmental Disabilities standards. Offer technical support as needed to help with budget management.

- ❑ **Work** with the person self-directing their services, their Circle of Support, and Care Manager to find community resources that help reach the person's goals and support their plan.

- ❑ **Keep track of** Self-Direction Budget expenses. The Support Broker helps to make sure that spending stays within the approved Self-Direction Budget by helping the person self-directing their services to review the Monthly Expenditure Report provided by the Fiscal Intermediary. Work with the person self-directing their services and their Circle of Support to make changes to spending as

needed.

- ❑ **Help** the person self-directing their services to document services per Medicaid and Office for People With Developmental Disabilities regulations. This includes reviewing and submitting timesheets, service documentation, mileage and expense reimbursement forms, and other required records in a timely manner to ensure Medicaid compliance and billing accuracy.

- ❑ **Help** with hiring and keeping self-hired staff by supporting the person self-directing their services with recruiting, interviewing, hiring, scheduling, and supervising self-hired staff. Additionally, help identify and keep back-up staff to make sure the person has support when needed.

- ❑ **Make sure there is regular** communication with the Self-Direction participant's Care Manager, Fiscal Intermediary, and the Developmental Disabilities Regional Field Office Self-Direction Liaison.

- ❑ **Meet Office for People With Developmental Disabilities Training and Authorization Requirements:**

    - **Authorized PAID Support Brokers:** Must complete Office for People With Developmental Disabilities Support Broker training and authorization requirements before providing services. Initial training certificates and authorization forms must be submitted to the Office for People With Developmental Disabilities Central Office for approval. Paid Support Brokers must also complete at least 12 hours of professional development training annually but are not paid from the Self-Direction Budget for training time.

    - **UNPAID Support Brokers:** Must meet initial Office for People With Developmental Disabilities training requirements and submit certificates to the Developmental Disabilities Regional Field Office and Fiscal Intermediary. Since Unpaid Support Brokers do not bill for services, they are exempt from professional development training and service documentation requirements outlined in Office for People With Developmental Disabilities Administrative Memorandum 2019-06. On documents requiring a Support Broker authorization number, unpaid Support Brokers should enter "99999" to indicate their status.

- ❑ **Meet additional documentation and billing requirements:** Comply with all relevant documentation and billing guidelines as specified in Office for People With Developmental Disabilities Administrative Memorandum 2019-06.

- ❑ **When supporting people self-directing their services who have or are applying for an Office for People With Developmental Disabilities Housing Subsidy,** working with the Care Manager, Support Broker, and Fiscal Intermediary is essential to sustaining a monthly subsidy.

For more information, please see Administrative Memorandum #2022-03 Housing Subsidy Program located here: ADM #2022-03 OPWDD Housing Subsidy Program | Office for People With Developmental Disabilities