


# Individual Service and Support Advocacy (ISSA) Review & Approval of Individual Service Plan (ISP) Form

Illinois Department of Human Services  
Division of Developmental Disabilities

Training presented May and June 2012  
Form effective July 1, 2012  
(slides edited July 9, 2012)



# Information Bulletin DD.12.019

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**Individual Service and Support Advocacy (ISSA)  
Review & Approval of Individual Service Plan (ISP)  
Form**

<p><b>Department of Human Services</b> <b>Division of Developmental Disabilities</b></p> <p><b>Individual Service and Support Advocacy (ISSA) Review &amp; Approval of Individual Service Plan (ISP) Form</b></p>	<p><b>Information Bulletin</b> <b>DD.12.019</b></p> <p><b>May 11, 2012</b></p>
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**Purpose**  
During the Division's monitoring of a statistically valid sample of participants in each of the three waivers, the Division has found an overall 24% compliance rate for service plans signed to signify approval by the waiver participant, parent/guardian (if applicable), Individual Service and Support Advocacy (ISSA) and the provider-qualified Intellectual Disabilities Professional (QIDP) for FY11 and 50% for FY12 through December 31, 2011. The Division has been working with providers through informal on-site technical assistance and corrective action plans as non-compliance issues have been identified. Through these activities, the Division determined the need to issue this Information Bulletin describing requirements for review of service plans and documentation of written approval of service plans. Further, the Division believes that providing ISSAs with this tool will assist in addressing compliance with all performance measures in Appendix D of the waiver. (Appendix D addresses service planning issues.)

**Process and Procedures**  
Fully complete the ISSA Review and Approval of Individual Service Plan (pdf).  
1. For each requirement listed, the ISSA representative should check "yes" or "no" to indicate whether requirement is met. If "no", document the reason in detail with rationale. Document this in the Notes section on page 2 of the form. If the item is "not applicable", write "NA" across the boxes and explain in the Notes section why the requirement is not applicable for the individual. If additional space is needed for comments and notes, the ISSA may attach additional pages.  
2. On page 2 of the form, indicate whether the Individual Service Plan (ISP) meets requirements and is approved, or if it does not meet requirements and requires revision.

**Effective Date/Implementation**  
1. The ISSA Review and Approval of Individual Service Plan form is effective for ISPs developed on or after July 1, 2012 for persons served in waiver programs.  
2. The use of the form is required to document ISSA review and approval of the ISPs.  
3. As annual reviews and revision of ISPs occur beginning July 1, 2012, the form must be used to document the review and approval. Until that time, locally developed methods of review and approval may continue to be used.  
4. A copy of the signed approval form must be maintained by the ISSA and with the official copy of the ISP on file with the provider.  
5. By June 30, 2013, the ISSA Review and Approval of Individual Service Plan (pdf) form must be on file with the ISP of each waiver participant.  
**Note:** This information regarding review and written approval of individual service plans will be incorporated into the DDD Waiver Manual.

http://intranet.dhs.onenet/page.aspx?Item=60414&media=print 5/21/2012

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## On DHS Website

- <http://www.dhs.state.il.us/page.aspx?item=60414>

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## Creation of Information Bulletin

- In response to review findings
  - FY11 24%
  - FY12 50%
- Clarify expectations
- Standardize criteria
- Standardize method of documenting

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## Form

- Based on Rule 120 (Section 120.160)
- <http://www.dhs.state.il.us/OneNetLibrary/4/documents/QualityReview/FINALISSARevie wandApprovalISPForm051112.pdf>
- 25 questions
  - Yes or No response required for each
- Indication of Approval
- Notes
  - Required for all responses of “No” and “Not Applicable”
- Signature

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## The ISP... (Items 1 – 5)

1. ...is based on current individual assessment information, including natural supports, strengths, barriers and impediments to full community participation.
2. ...includes results of the Inventory for Client and Agency Planning (ICAP) or Scales of Independent Behavior (SIB).
3. ...assists the individual to accomplish personal goals and desired future outcomes (as expressed by the person receiving services and/or the guardian, if applicable).
4. ...is based on preferences and choices of the individual and his/her guardian, if applicable.
5. ...documents all needed services and supports.

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## The ISP... (Items 6-10)

6. ...identifies all services and supports to be provided, regardless of provider or funding source.
7. ...includes functional goals.
8. ...includes measurable objectives.
9. ...includes timeframes for completion of goals and objectives.
10. ...includes training methods.

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## The ISP... (Items 11-15)

11. ...includes frequency and duration of all services, supports and training (without regard to funding source).
12. ...identifies staff assigned to provide services, supports and training.
13. ...documents medical prescriptions.
14. ...documents self-medication training.
15. ...documents medication administration and oversight.

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## The ISP... (Items 16-20)

16. ...documents efforts to reduce reliance on psychotropic medications.
17. ...identifies all persons (staff and otherwise) who contributed to the development of the plan including relationship to the individual, title and agency affiliation, if applicable.
18. ...includes team consensus concerning the balance between the individual's rights and the individual's abilities to make informed decisions concerning privacy and access to the community.
19. ...identifies those community and home situations when the individual may be away from the direct supervision of provider staff during those hours when staff are responsible for the individual.
20. ...documents ongoing efforts by the service provider to inform the individual and guardian of the potential harm, to suggest alternatives and to minimize the potential harm when the individual's choices may result in potential harm to the individual.

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## The ISP... (Items 21-25)

21. ...includes safeguards, supports, education and training necessary to mitigate risks identified by the risk assessment.
22. ...documents reasons the individual's choices are not honored, when applicable.
23. ...identifies activities to ensure continuity of care during planned therapeutic absences (such as home visits or vacations), if residential services are part of the plan.
24. ... (if absences are regular or known well in advance), includes a goal of maintaining/increasing social contacts with family or friends (inclusive of describing staff responsibilities for sharing information before and after the absences and for being available for consultation/assistance during the absences).
25. ...has been approved by the person receiving services (if no guardian has been appointed) or the guardian (if applicable).

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## Guardian Approval (Item #25)

25. The ISP has been approved by the person receiving services (if no guardian has been appointed) or the guardian (if applicable).

Date of approval by person served/guardian

Method of approval

verbal consent to ISSA

written consent (copy provided to ISSA)

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## Approval

- This ISP meets requirements and is considered approved.
  - All 25 items on the checklist must be marked “yes” or “not applicable” for the plan to meet requirements.
- This ISP does not meet requirements and requires revision.
  - Plan does not meet requirements if any item is marked “no”.

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## Time Line

- ISP must be approved by all parties no later than 21 calendar days following the planning meeting.
- Provider QIDP (in charge of the ISP) must supply final written ISP to the ISSA within 14 calendar days of the meeting.
- ISSA has 7 calendar days to review, secure verbal approval from person served/guardian, (if needed) and approve the plan. (Verbal approval is not necessary if the guardian has already provided written approval.)

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## Implementation

- Use for all ISPs developed on or after July 1, 2012
- As annual reviews and ISP revisions occur beginning July 1, 2012
- All ISPs will have form in place by June 30, 2013
- Provider maintains a copy of the form with the ISP on file

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## Problem Resolution

- Disagreements
- Delays
- ISSA Guidelines: Problem and Conflict Resolution (Information Bulletin DD.11.010)
- Expedite the process to avoid further delays with the development and approval of the ISP

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## Questions?

Jayma Tucker  
(217) 785-6172

[jayma.tucker@illinois.gov](mailto:jayma.tucker@illinois.gov)

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