

**STATE OF CONNECTICUT
DEPARTMENT OF DEVELOPMENTAL SERVICES**

Procedure: I.C.2.PR 009

Subject: Individual Support Prior Approval Process

Section: Individual Supports

Issue Date: July 7, 2003

Effective Date: Upon release

Revised: January 1, 2011

Approved: /s/Peter H. O'Meara/KdP

A. Purpose

To ensure that the review and prior approval or denial of individual cost items within the Individual Plan and Budget are processed and documented in a standardized and consistent manner throughout the department.

B. Applicability

This procedure shall apply to DDS staff with responsibility for developing, reviewing and authorizing Individual Budgets, the Fiscal Intermediaries responsible for the financial management of individual budgets, and individuals and families who purchase services through an individual budget.

C. Definitions

Prior Approval: means securing the department's permission in advance to incur costs for those items, goods, services, rates, or fees designated as requiring prior approval or requiring review in the Cost Standards.

Cost Standards: Requirements designed to provide department staff, Fiscal Intermediaries (FIs) who contract with the DDS and the recipients of DDS funds, the guidelines and requirements needed to assure the appropriate use of state funds, and that expenditures submitted for Federal reimbursement are approved in the Home and Community Based Waivers.

Individual Budget: A document that details the service type, the rate, the amount of service and the annualized costs for these services for an eligible DDS participant. Individual budgets are authorized by the DDS Regions. A Fiscal Intermediary on contract with DDS administers the payment for supports and services to providers, contractors, and employees in the authorized budget.

D. Implementation

The Individual Supports Prior Approval process shall be implemented to request funding for items, goods, services, rates or fees that are identified as requiring prior approval or requiring review within the established cost standards, or for unique circumstances. This process shall be implemented prior to the authorization of any service, support, or cost that requires prior approval. The Individual Supports Prior Approval process was issued for all newly amended or adjusted Individual Budgets (ISA's) initiated on or after July 1, 2003. All supports, services and costs in budgets that were approved before July 1, 2003 and that require a prior approval under the cost standards were required to go through the prior approval process by January 1, 2004.

The following criteria must be met for a prior approval request to be considered:

- Relates directly to the individual's disability
- Relates directly to a specific need identified in the individual's plan or plan summary
- Funds necessary to support the requested items, goods, services, rates or fees must be included in the individual budget or approved by the PRAT.

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The following criteria shall be used to further evaluate requests for prior approval:

- Prevents or minimizes a health or safety risk to the individual
 - Directly supports the individual's ability to maintain his or her home or work/day arrangement
 - Represents a support arrangement that is significantly cost effective.
 - Represents a one-time investment, which will lead to less dependence on the department in the future.
1. When the case manager, support broker, or designated regional staff receives a request to include expenses that require prior approval, he or she shall complete the "Individual Supports Prior Approval Request Form" and shall send the form along with any relevant documents (bids, T-19 denials, and clinical recommendations) to the regional designee.
 2. The regional designee will review the request and ask for clarification from the case manager or broker when needed and consult with the DDS Director of Waiver Services or other central office staff as needed. The regional designee will email the form with any additional clarifications to the other regional reviewer(s).
 3. If a consensus for approval is reached the regional designee will send the request marked approved to the case manager. The FI will get copies along with the bids for approved home and vehicle modifications. Instructions or qualifications may be a condition of the approval and the approval can either be ongoing or one time. Denied requests will be returned to the case manager or broker with an explanation for the denial. The case manager, support broker, or designated regional staff may include approved items, goods, services, rates, or fees in the Individual Budget and shall attach a copy of the approved form to the Individual Budget. Approvals will be time limited for a period of three years or less.
 4. Denied requests for non-waiver services or items may be appealed through the DDS regional PAR process. Denied requests for waiver services are made through the DSS appeal process.
 5. The regions will meet with central office representatives annually to review the process, the cost standards, and the prior approval procedure. This review is a systems review and will not overturn any approvals or denials. However, the review may change the program allowances of cost items within the Individual Support Cost Standards.

E. References

None

F. Attachments

I.C.2.PR.009 Attachment A: Individual Support Cost Standards and Quick Guide

I.C.2.PR.009 Attachment B: Individual Support Prior Approval Form Revised: December 2010

I.C.2.PR.009 Attachment C: DDS Environmental Modification Checklist

I.C.2.PR.009 Attachment D: Prior Approval for Hiring Family Members Form