STATE OF CONNECTICUT
Department of Developmental Services

Procedure No. I.C.2.PR.007
Subject: Individual Support Authorization Process
Section: Services and Supports: Individual Support

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Revised: July 7, 2003
Revised: April 30, 2005
Revised: May 1, 2009

A. Purpose

To ensure standardized process and documents for the administration of Individual Supports.

B. Applicability

This procedure shall apply to DDS staff with responsibility for creating individual budgets and Fiscal Intermediary Organizations contracting with DDS.

C. Definitions

Case Manager: A DDS employee who is assigned primary responsibility for individuals who are eligible for DDS services. The case manager serves as primary contact with the individual or family/guardian on the person's behalf. The Case Manager is responsible to for the development of an Individual Plan that meets DDS requirements and to monitor the delivery and quality of all services and supports as identified in the Individual Plan. This person may also function as a support broker. (See support broker definition)

HCBS Waiver – The Home and Community Based Services Waiver administered by DDS "waives" certain restrictions of Medicaid regulations and allows a flexible approach to providing services within the community. These services assist a person to live in the community, who would otherwise be eligible for placement in an ICF/MR.

Agreement for Self-Directed Supports An agreement that outlines the responsibilities for self-direction of services for the individual, family member, or sponsoring person of the individual budget. Self-Direction is defined as hiring and managing your own supports.

Level of Need Assessment: the department's method for determining an individual's level of support need for the purposes of allocating DDS funded resources in an equitable manner. The Level of Need Assessment is completed at the time of the referral to the PRAT. When an individual is accepted into funded support services he or she is notified of that funding range for the purposes of developing an Individual Plan and associated Individual Budget.

Planning and Resource Allocation Team (PRAT) – A Regional Team chaired by the Planning and Quality Coordinator, and comprised of regional representatives. This team manages the process whereby DDS identifies available resources, identifies individual consumer needs, assigns Priority, implements Planning and Resource Allocation policies and procedures, makes recommendations regarding applicants for the HCBS waiver, processes allocation of resources, and referrals to available out of home residential group living settings and Provider Agency based day services.

Independent Broker: Individuals or providers qualified by DDS, who deliver supports to individuals and families such as the provision of information, advocacy training and support, assistance with meeting employer tasks, assistance with managing and monitoring the individual budget, assistance with developing and sustaining a personal emergency back-up plan, and assistance with coordinating training for directly hired support staff.

Spending Plan: The financial management database, which compares regional appropriations to actual and projected expenditures. It is used to reserve funds for contractual obligations and measure the availability of funds for new obligations for each residential and day account including Community Training Home (CTH), Residential School, Community Living Arrangement (CLA), Supported Living (SLV), Individual Supports, Employment Opportunities, and other day services

Support Broker: Refers to DDS Case Management staff designated as Support Brokers or a Qualified Independent Broker.

IP 6 Database: An electronic database that includes the Individual Plan section 6, the individual budget, and waiver form 223. Records in the database are used to authorize services to providers, authorize payments by the fiscal intermediary for services in the IP 6 database, and provide financial data for the department.

D. Implementation

1. The Regional Planning and Resource Allocation Team allocates funding to individuals identified through the prioritization process. Funding is provided when resources are available and are based on the consumers' assessed level of need and target group if applicable (for example, high school graduate targeted funding).
2. Regional support broker/case manager will work with the individual, the family, and the circle of support to complete the Individual Plan
3. The case manger completes an IP 6 in the IP 6 database. The IP 6 includes a summary of all services and supports. If the total cost of DDS funded services is within the original assigned PRAT allocation and the case manger has completed the requirements in the IP 6 checklist, the case manager notifies their supervisor that the IP 6 is pending approval. Any attachments required in the IP 6 checklist are submitted to the supervisor. IP 6 Individual Budgets exceeding the original resource allocation range are submitted back to PRAT.
4. The CM Supervisor reviews the IP 6 as indicated in the IP 6 checklist and approves the IP 6 by changing the status to approval 1 (A1) level after verifying that items in the checklist are met. The CM Supervisor notifies the Resource Manager 2 or regional designee that the IP 6 in the IP 6 database is ready for authorization.
5. The Resource Manger 2 or regional designee reviews the IP 6 as indicated in the IP 6 checklist and approves the IP 6 when these items have been completed. When the cost of services in the IP 6 is below the PRAT allocation, the resource manager 2 notifies the PRAT coordinator prior to the authorization. The PRAT coordinator may reduce the allocation.
6. The fiscal office tracks the cash and annualized funds by account (16122,16108, 12101) in the spend plan.
7. The Fiscal Intermediaries, Case Manager, PRAT, the CO waiver unit and other department staff access records in the IP 6 database using their user name and password.
8. The consumer receives a copy of the IP including the IP 6. Consumers who self direct their supports also receive a copy of the disbursement report that provides a month my month allocation for each service in their IP 6.
9. The fiscal office issues quarterly prospective payments to the Fiscal intermediaries based on authorized records in the IP 6 database and outlined in the PR 012 Fiscal Intermediary Contracting Management.
10. Amendments, an increase or decrease in the annual budget, follow the same steps outlined above with the exception of cost of living increases (COLA). COLA's are applied administratively to the IP 6 database and automatically reflect the increase in the rates and allocations.
11. Renewal of records in the IP 6 database that do not have any changes in services are automatically approved when rolled over by the case manager. Records that have a change in service type and amounts follow the approval process above. Any required attachments in renewals with changes are sent to the CM supervisor.

E. References

- Individual Support Cost Standards
- IP 6 Database Users Guide

F. Attachments

Attachment A: Self Directed Support Agreement rev. 1/09
IP6 Checklist Guidelines Rev 1/09