

**STATE OF CONNECTICUT  
DEPARTMENT OF MENTAL RETARDATION**

**Reference Guide to Case Management and  
Related Policies and Procedures**

The purpose of this document is to establish a standardized reference guide for case managers and others who provide case management services to use as a resource in the process of assisting in planning, support, service coordination, revenue enhancement, regulatory compliance and documentation in relationship to supporting individuals on their caseloads. The reference guide identifies the related policy or procedure, conditions under which a case manager should refer to and apply the policy or procedure, and the location of the document.

The DMR case manager or other DMR staff who provide case management services will follow State of Connecticut Department of Mental Retardation policies and procedures as indicated. Policies and procedures are accessible both in hard copy and electronic formats.

The reference guide is divided into two sections. Section One contains case management policies and procedures; Section Two contains department policies and procedures that are related to case management.

The following case management policies and procedures are located in Section One:

1. Automated Data System Maintenance Procedure
2. Case Management Policy
3. Components of an Individual Plan Procedure
4. Discontinuance of Services Policy and Procedure
5. Individual Planning Policy
6. Individual Record Policy and Procedure
7. Intake and Initial Visit Procedure
8. Minimum Frequency of Case Management Contacts Procedure
9. Regional Responsibility for Services Policy and Procedure
10. Planning and Support Team Procedure
11. Service Coordination Procedure
12. Targeted Case Management Procedure

The following related policies and procedures are located in Section Two:

1. Abuse and Neglect Policy and Procedures
2. Criminal Issues/Forensic Procedure
3. Eligibility for DMR Services
4. Emergency Crisis and Response
5. Guardianship
6. Home and Community-Based Waiver
7. Human Rights Committee
8. Individual and Family Grants
9. Incident Reporting and Follow-up
10. Intermediate Care Facility/Mental Retardation (ICF/MR)
11. Individual Supports
12. Legally-Liable Relative
13. Planning and Resource Allocation
14. Portability of Funding

15. Privacy Practices - Security of Protected Health Information (HIPAA Regulations)
16. Programmatic Administrative Review and Transfer Hearing
17. Program Review Committee (PRC) Policy and Procedure
18. Risk Management: Individual Safety Screening
19. Targeted Case Management Policy
20. Voter Registration

# Reference Guide To Case Management and Related Policies and Procedures

## Section One Case Management Policies and Procedures

### 1. Automated Data System Maintenance Procedure

- **When to Access:**  
As a guide to Case Management Automated Data System (CAMRIS) responsibilities.
- **Where to Find:**  
Hard and Electronic Copies: DMR Manual  
Part I.C.1

### 2. Case Management Policy

- **When to Access:**  
Whenever questions arise regarding department expectations regarding case management.
- **Where to Find:**  
Hard and Electronic Copies: DMR Manual  
Part I.C.1

### 3. Components of an Individual Plan Procedure

- **When to Access:**  
When enhanced understanding, clarification, or definition of the individual planning process is required.
- **Where to Find:**  
Hard and Electronic Copies: DMR Manual  
Part I.C.1

### 4. Discontinuance of Services Policy and Procedure

- **When to Access:**  
When a case manager learns an individual may no longer be eligible or has requested services be discontinued. The policy and procedure describe the process for discontinuing DMR supports and services, including case management, and the circumstances under which this action is appropriate.
- **Where to Find:**  
Hard and Electronic Copies: DMR Manual  
Part I.C.1

### 5. Individual Planning Policy

- **When to Access:**  
As a guide to the standards, process, development of the comprehensive individual plan.
- **Where to Find:**  
Hard and Electronic Copies: DMR Manual  
Part I.C.1

## **6. Individual Record Policy and Procedure**

- **When to Access:**

During initial set up and on-going maintenance of the DMR Case Management Individual Record for each individual determined eligible for services. Ensures standardization of filing and record keeping format and provides timeframes for retaining documents in the record.

- **Where to Find:**

Hard and Electronic Copies: DMR Manual  
Part I.C.1

## **7. Intake and Initial Visit Procedure**

- **When to Access:**

When the Central Eligibility Unit sends an eligibility file for an individual determined eligible for DMR supports and services to the region. The procedure describes the process to be followed prior to and during the initial visit.

- **Where to Find:**

Hard and Electronic Copies: DMR Manual  
Part I.C.1

## **8. Minimum Frequency of Case Manager Contacts Procedure**

- **When to Access:**

When questions arise regarding required frequency of case management contact with individuals who reside in various residential settings.

- **Where to Find:**

Hard and Electronic Copies: DMR Manual  
Part I.C.1

## **9. Regional Responsibility for Services Policy and Procedure**

- **When to Access:**

When questions arise regarding which region has responsibility for service delivery for individuals found eligible to receive services from DMR. The procedure describes the process to be followed when individuals have moved or wish to move from one region to another.

- **Where to Find:**

Hard and Electronic Copies: DMR Manual  
Part I.C.1

## **10. Planning and Support Team Procedure**

- **When to Access:**

When enhanced understanding or clarification is required regarding the composition of and processes to be followed by an individual's planning and support team.

- **Where to Find:**

Hard and Electronic Copies: DMR Manual  
Part I.C.1

## **11. Service Coordination Procedure**

- **When to Access:**  
When questions arise regarding case management activities related to assisting individuals to gain access to supports and services, to coordinate among service providers and to develop resources.
- **Where to Find:**  
Hard and Electronic Copies: DMR Manual  
Part I.C.1

## **12. Targeted Case Management Procedure**

- **When to Access:**  
When questions arise regarding standardized processes to be followed by case managers to ensure successful participation in the Targeted Case Management Program.
- **Where to Find:**  
Hard and Electronic Copies: DMR Manual  
Part I.C.1

## **Reference Guide To Case Management and Related Policies and Procedures**

### **Section Two Related Policies and Procedures**

#### **1. Abuse and Neglect Policy and Procedures**

- **When to Access:**

Whenever an employee of the department or of a provider agency witnesses or suspects an individual with mental retardation has been subjected to abuse or neglect the Abuse and Neglect Policy and Procedures must be followed. Case managers provide follow up in cases where another party has filed an allegation for one of the individuals on their caseloads.

- **Where to Find:**

Hard Copy: DMR Manual

Part I - Service Delivery

I.F. -Human Rights and Legal Responsibilities

I.F. -Policies

I.F. -Procedures

Electronic: LAN

Located on DMR Common "J" Drive under "DMR Manual"

#### **2. Criminal Issues/Forensic Procedure**

- **When to Access:**

Upon notification that an individual has become involved with the judicial and correctional systems. Purpose of procedure is to outline program planning necessary to ensure appropriate service delivery to individuals requiring such specialized services due to forensic issues.

- **Where to Find:**

Hard Copy: DMR Manual

Part I -Service Delivery

I.C. -Services and Supports

I.C.7 -Forensic Services

Electronic: LAN

Located on DMR Common "J" Drive under "DMR Manual"

#### **3. Eligibility for DMR Services**

- **When to Access:**

Whenever any resident of the State of Connecticut wishes to apply for services from the Department of Mental Retardation on behalf of him or herself, or on behalf of a child, ward, sibling, friend, or client who is thought to be in need of mental retardation services. Also, whenever OBRA, Provisional Eligibility, or age 7 re-eligibility status is in question.

- **Where to Find:**

Policy and procedure in process.

Refer to original DMR Policy 9.

#### 4. Emergency and Crisis Response

- **When to Access:**

Upon notification of an individual's immediate need for supports requiring intervention by more than one division within the region.

In most cases, this would involve an individual receiving services from the department who needs emergency placement due to unexpected homelessness or as requested by OPA for an Immediate Protective Service Plan. It should not be utilized for emergent situations that are normally managed within a division.

- **Where to Find:**

Procedure in process.

#### 5. Guardianship

- **When to Access:**

When questions arise regarding the State of Connecticut guardianship process. Every person in Connecticut who is 18 years of age or older is considered to be an adult legally capable of directing their own personal financial affairs. In cases of persons with mental retardation who are considered unable to meet essential requirements for their physical health or safety and/or unable to make informed decisions about matters related to their care, the Probate Court is authorized to appoint a plenary or limited guardian to supervise all or certain aspects of that care.

- **Where to Find:**

Policy and procedure in process.

#### 6. Home and Community Based Waiver

- **When to Access:**

When an individual receives services that are covered under the Medicaid Home and Community Based Services Waiver (HCBS) or when an individual applies or seeks to apply for HCBS Waiver services.

The HCBS Waiver allows DMR to collect Federal reimbursement for certain services provided to individuals who have been enrolled in the HCBS Waiver.

This procedure includes forms necessary to apply for the HCBS Waiver and directions for their completion.

- **Where to Find:**

Policy and procedure in process.

Refer to: DMR Form 223, DSS Form W-1518, DMR Form 219, DMR Form 222, DMR Form 223 and DMR Form 296 (if required).

#### 7. Human Rights Committee

- **When to Access:**

When a program is proposed for an individual that potentially infringes on his or her human rights, a Human Rights Committee Access Form is completed and submitted. Each Region has established a Human Rights Committee as directed by DMR Policy #6.

- **Where to Find:**

Policy and procedure in process.

Refer to original DMR Policy #6.

## **8. Incident Reporting and Follow-Up**

- **When to Access:**  
Upon observation of an incident or receipt of an Incident Report. The purpose of the procedure is to use a standardized process to report and document the above incidents and to ensure appropriate follow up occurs in order to manage and reduce overall risks.
- **Where to Find:**  
Hard Copy: DMR Manual  
Part Quality Enhancement  
Policy and procedure in process. Draft only.

## **9. Individual and Family Grants**

- **When to Access:**  
When individuals who live on their own, or when families who provide care at home for their family members of any age request cash subsidies for the purpose of defraying extraordinary disability-related expenses, or the purchase of in-home respite service.
- **Where to Find:**  
Hard copy: DMR Manual  
Part I -Service Delivery  
I.C. 3 - Family Supports  
I.C.3 - Policies and Procedures  
Electronic: LAN  
Located on DMR Common "J" Drive under "DMR Manual"

## **10. Intermediate Care Facility/Mental Retardation (ICF/MR)**

- **When to Access:**  
Prior to or upon admittance of an individual to a ICF/MR facility, or when an assigned caseload includes individuals residing in an ICF/MR facility. Procedure to ensure that the individual receives the services as designated through the Federal Regulations and that compliance of such regulations is ensured.
- **Where to Find:**  
No policy or procedure in the DMR manual at this time  
Refer to: ICF/MR regulations located in regional offices and at individual facilities and/or with Case Manager/QMRP.

## **11. Individual Supports**

- **When to Access:**  
Whenever individuals are receiving individual supports or express an interest in exploring individual support and self determination and directing their own supports.
- **Where to Find:**  
Hard Copy: DMR Manual  
Part I -Service Delivery  
I.C. 2 -Individual Supports  
I.C. 2 -Policies and Procedures  
Electronic: LAN  
Located on DMR Common "J" Drive under "DMR Manual"

## 12. Legally-Liable Relative

- **When to Access:**  
When needing to explain the requirements to notify individuals who receive care or support that they or their legally-liable relative may be held liable for reimbursement of part or all of any amount paid by the state for that care or support. (Applied to all new applicants on or after January 1, 2001).
- **Where to Find:**  
Hard copy - Notice of Liability Procedure and Fact Sheet in process  
No policy or procedure in DMR Manual at this time

## 13. Planning and Resource Allocation

- **When to Access:**  
When an eligible individual or their family or guardian, as applicable, request day or residential supports and services either directly from DMR or through a provider funded by DMR. Also applies when a request for a change of services is received or when a request for portability of funding is made.
- **Where to Find:**  
Hard Copy: DMR Manual  
    Part I -Service Delivery  
        I.B - Planning and Resource Allocation  
        I.B - Policies and Procedures  
Electronic: LAN  
    Working Draft located on DMR Common “J” Drive under “DMR Manual”

## 14. Portability of Funding

- **When to Access:**  
When an individual who receives funding from the department for supported living, day, or community training home services and under certain circumstances, community living arrangements (CLAs), elects to change those services due to dissatisfaction or some other reason. Funding is portable and may be applied to purchase services from a provider of choice.  
  
Under certain circumstances, funding for community living arrangements and services provided by DMR staff may also be portable.
- **Where to Find:**  
Hard Copy: DMR Manual  
    Part II - Administration  
        II.C - Contracted Services  
        II.C.PR.001 - Portability  
Electronic: LAN  
    Located on DMR Common “J” Drive under “DMR Manual”

## 15. Privacy Practices - Security of Protected Health Information (HIPAA Regulations)

- **When to Access:**  
For greater understanding of the Federally Enacted Privacy Rule, which provides federal protection for the privacy of health information, and for clear definition of the contained privacy policies.
  - **Where to Find:**  
Hard Copy: Refer to DMR policies and procedures.

Electronic: LAN  
Located on the DMR Common "J" Drive under HIPAA Regulation.

#### **16. Programmatic Administrative Review (PAR) and Transfer Hearing**

- **When to Access:**  
When disagreements arise with DMR programmatic decisions, any person accepted for services by the department (or their family, guardian, or advocate, as applicable) may request a Programmatic Administrative Review.

When objections to a residential move proposed by the department for an individual arise, a Transfer Hearing may be requested.

- **Where to Find:**  
Revised policy and procedure in process.  
Hard Copy: Refer to original DMR Policy #7.

#### **17. Program Review Committee (PRC) Policy and Procedure**

- **When to Access:**  
Upon notification that an individual receiving supports and services from the department is anticipated to receive a behavior program using aversive procedures, a behavior modifying medication, a procedure that may be used during emergency intervention, or has been administered a behavior modifying medication or received an emergency use of restraint, unless there is a valid waiver from such review in accordance with applicable policies and procedures..

- **Where to Find:**  
Revised policy and procedure in process.  
Hard Copy: Refer to original DMR Policy #5

#### **18. Risk Management: Individual Safety Screening**

- **When to Access:**  
When there exists a need to determine if an individual may be subjected to severe physical injury or death in identified risk areas. Purpose of procedure is to establish a process to determine risk and to ensure that a plan is in place to reduce or eliminate risk if an individual is determined to be at risk.

- **Where to Find:**  
Hard Copy: DMR Manual  
Procedure No: I.D.P.R.013  
Electronic: LAN  
Located on DMR Common "J" Drive under DMR Manual

#### **19. Targeted Case Management Policy**

- **When to Access:**  
When needed to clarify standardized process to be followed by case managers to ensure successful participation in the Targeted Case Management Program.
- **Where to Find:**  
TBD

## **20. Voter Registration**

- **When to Access:**

At time of first visit after individual turns 17 years of age or when questions arise regarding voting rights.

All citizens over age 17 years of age are guaranteed equal opportunity to register to vote. Persons with mental retardation, physical disabilities, or mental health disabilities are entitled to register. Only a Probate Court decision can determine an individual's incompetence to vote, separate from the elements of guardianship and conservatorship of person.

- **Where to Find:**

Policy and procedure in process.