

Connecticut Department of Developmental Services

Procedure No. I.C.2 PR.007

Subject: Individual Services and Support Authorization Process

Section: Services and Supports: Individual Supports

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Approved: Jordan A. Scheff

Policy Statement

The Department of Developmental Services (DDS) is committed to providing a framework for individuals to utilize the maximum amount of control over how they receive supports and services through self-direction, choice, responsibility, and control over the delivery of HCBS waiver and state plan services. These service types allow individuals and their families to choose and design their own supports and services including hiring and managing their direct support professionals. Individuals and their families may exercise freedom and authority to customize their support plans through the use of an Individual Budget. Self-direction serves to support the DDS Mission and Vision that endorses the full engagement of persons with developmental disabilities in their chosen communities within Connecticut.

A. Purpose

The purpose of this policy is to establish a standardized process for developing and implementing Individual Budgets. This standardized process will provide guidance to individuals and their representatives, and DDS staff who are involved in Individual Budget development and implementation.

B. Applicability

This procedure is applicable to DDS staff responsible for developing budgets for individuals receiving support and services through DDS and fiscal intermediaries contracting with DDS.

C. Definitions

“Case Manager” means a DDS employee who is assigned primary responsibility for assisting individuals who are eligible for DDS services. The case manager serves as primary contact with the individual or their family or legal representative on the individual’s behalf.

“Employer of Record” means the person who holds the Federal Tax Identification Number used by the Fiscal Intermediary to process payroll. The Employer of Record may carry out some or all the duties of an Employer or may seek support from a representative for these duties.

“Fiscal Intermediary” means an organization or agency under contract with DDS whose role is to support all aspects of the fiscal administration of an individual’s budget.

“Individual” means a person who has been determined to be eligible for or is currently receiving funding and services from DDS.

“Individual Budget” means an individual’s itemized, comprehensive budget which provides details of all expected funds and resources needed to provide support and services that are included in the Individual Plan. Individuals may have a combination of self-directed and agency-directed supports.

“Individual Budget System” means a database where Individual Budgets are stored that is used by case managers, Resource Managers, and Transition Advisors to develop and manage Individual Budgets.

“Level of Need Assessment” or “LON Assessment” means the method used by DDS for determining an individual’s level of support need for the purposes of allocating DDS funded resources in an equitable manner.

“Planning and Resource Allocation Team” or “PRAT” means the DDS staff in each region who are responsible for establishing an individual’s category assignment, approving, or denying an individual’s request for funding or services and allocating resources to individuals receiving funding and

services from the Department, including, but not limited to HCBS waiver eligibility.

“Planning and Support Team” means the group of persons who participate in the development of an Individual Plan, including the individual; the individual’s parent or legal representative, family members or chosen advocates, as applicable; the individual’s case manager; support services personnel; and any other person requested by the individual.

“Representative” formerly referred to as “Sponsoring Person” means a person selected by the individual to provide support in carrying out some or all of the duties of an Employer. A Representative may be a family member, friend, guardian, or conservator who may co-sign the individual’s Self-Directed Support Agreement. The Representative shall not be a paid support staff, without prior approval from DDS. The Representative is identified when an individual or their Employer of Record requires additional assistance to self-direct their supports and services.

“Self-Directed Support Agreement” or “SDSA” means the required legal document between the individual, Employer of Record, and Representative as applicable and DDS in order for a person to self-direct their services, detailing the responsibilities of the Employer of Record with regard to managing the Individualized Budget.

D. Implementation

1. When an individual is referred to PRAT, DDS staff complete a LON Assessment. When an individual is accepted into funded support services, their case manager informs them of the funding range for the purposes of developing an Individual Plan and associated Individual Budget.
2. When an individual who has been determined to be eligible to receive funding for support and services from DDS chooses to self-direct, DDS shall assign them a case manager if they do not already have one.

3. The case manager shall work with the individual and their Planning and Support Team to complete an Individual Plan. The case manager shall submit the Individual Plan, which includes a recommended Individual Budget for support and services to the Regional PRAT. If the Planning and Support Team determines self-direction aligns with the individual's goals, the Self-Directed Support Agreement (See attachment A) shall be reviewed with the individual, Employer of Record, and Representative, and signed.
4. The Regional PRAT shall take into consideration the Individual Budget request and report back to the case manager as required by [I.B.1.PR.001 Administration of Requests for Day and Residential Supports](#) by each Region's Planning and Resource Allocation Team.
5. The case manager shall finalize the Individual Budget as determined by the Regional PRAT and enter the information into the Individual Budget System. The Individual Budget shall include a summary of all services and supports with the total cost of DDS funded services within the original assigned Planning and Resource Allocation Team allocation. If additional support or funding is needed, the case manager shall submit required documentation through a Planning and Resource Allocation Team request. The case manager shall submit the Individual Plan and budget documentation to the Case Manager Supervisor for review and approval.
6. The Case Manager Supervisor shall review the Individual Plan and budget documentation. The Case Manager Supervisor approves the Individual Plan and budget. The system notifies the Regional Fiscal Intermediary Liaison or a regional designee that the Individual Budget is ready for approval. A prior approval may be needed in order to complete authorizations for some budget line items as outlined in [I.C.2.PR.015 Individual Support Cost Guidelines](#).
7. The Regional Fiscal Intermediary Liaison or regional designee reviews the Individual Plan and approves the budget. When the cost of services in the Individual Plan is below the Planning and Resource

Allocation Team allocation, the Regional Fiscal Intermediary Liaison or regional designee notifies the Planning and Resource Allocation Team Coordinator prior to the authorization. The Planning and Resource Allocation Team Coordinator may reduce the allocation.

8. DDS and the Fiscal Intermediary shall determine how often DDS will transmit Individual Budget data. DDS shall transmit the approved Individual Budget data to the Fiscal Intermediary in the agreed upon timeframes. Individuals who self-direct may access their budget expenditure reports through the Fiscal Intermediary.
9. DDS shall allocate the appropriate program funds to the Fiscal Intermediary for disbursement into Individual Budgets.
10. The case manager shall review the budget and make appropriate changes if needed as required by subdivisions 5-7 above. The DDS Team shall review, update and approve the budget changes prior to the budget end date. To begin the approval process, the case manager shall submit any required documentation to support the request for Individual Budget changes to the Case Manager Supervisor for review and approval.

E. References

1. [I.B.1.PR.001 Administration of Requests for Day and Residential Supports](#)
2. [I.C.2.PR.015 Individual Supports Cost Guidelines](#)

F. Attachments

1. Attachment A: Self-Directed Support Agreement