Connecticut Department of Developmental Services

Procedure No. I.C.2.PR.008
Subject: Individual Budget Application Fiscal Management
Section: Services and Supports: Individual Support

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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 the fiscal management of individual supports, services, and costs. This standardized process will provide budget and fiscal management guidance to DDS staff, fiscal intermediaries and individuals who utilize self-direction as a support mechanism.

B. Applicability

This procedure is applicable to DDS staff, Fiscal Intermediaries, and those individuals responsible for self-directing their own services and supports.

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.

“Collective Bargaining Agreement” is an agreement between the Personal Care Attendant Workforce Council, who represents individuals employing staff through self-direction, and the union that represents Direct Support Professionals (DSPs) and Personal Care Attendants (PCAs). It includes benefits for DSPs and PCAs and wage increases.

“Direct Support Professional” or “DSP” means an employee who provides support and services to individuals with an intellectual disability or other developmental disabilities, including, but not limited to assisting with activities of daily living, personal care, and community integration.

“Fiscal Intermediary” means an organization or agency under contract with the Department of Developmental Services (DDS) whose role is to support all aspects of the fiscal administration of the individual's budget under a support agreement.

“Fiscal Intermediary Individual Expenditure Report” is a standardized cash accounting report made available by the Fiscal Intermediary at the end of each calendar month to DDS, Employers of Record, and representatives. This report is also known as the Monthly Budget Report.

“HCBS Waiver” is the Home and Community Based Services Waiver administered by DDS that “waives” certain restrictions of Medicaid regulations and allows a flexible approach to providing supports and services within the community.

“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 and are included in the Individual Plan.

Individuals may have a combination of self-directed and agency-directed supports.

“Individual Budget Adjustment” means a change in the type or cost of a person’s support that does not change the original total allocation of the Individual Budget. The change may include a new line item as long as the bottom line of the existing budget does not change.

“Individual Budget Amendment” means a change in the current approved budget allocation that (1) adds funds for additional supports as approved by the Planning and Resource Allocation Team (2) removes funds when supports are no longer needed or (3) adds funds as required by the mandated Collective Bargaining Agreement (CBA) increases.

“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.

“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.

“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 person or their representative and DDS in order for a person to self-direct their services, detailing the responsibilities of the

individual, Employer of Record, and Representative as applicable with regard to managing the Individualized Budget.

D. Implementation

1. Fiscal Intermediary Individual Expenditure Report.

    a. The Fiscal Intermediary shall make expenditure reports available to individuals who self-direct their services or their representative.

    b. The Fiscal Intermediary Individual Expenditure Report is broken down into monthly expenditures and is reported on a regular basis as agreed upon by DDS and the contracted Fiscal Intermediary.

    c. The Fiscal Intermediary Individual Expenditure Report shall include a list of expenditures the Fiscal Intermediary paid at the time the report was created.

2. Individual Budget Amendment.

    a. Individuals shall request an individual budget amendment for additional services and supports through their case manager.

    b. The case manager shall submit the individual budget amendment request for additional services and supports to the Planning and Resource Allocation Team in a form and manner as outlined in the I.C.2.PR007 policy and procedure.

    c. The case manager shall update the Individual Budget System to include any additional funding that has been authorized by the Planning and Resource Allocation Team as outlined in the approved individual budget amendment request.

    d. An individual or their representative shall not implement any additional services until their Individual Budget amendment has been authorized.

e. The employee, Employer of Record, or representative shall complete a Wage and Service Change Form for any wage rate changes outside of the Collective Bargaining Agreement rate increase (i.e., raises) that will result in the need for an Individual Budget amendment.

f. A one-time Individual Budget amendment is intended to be used in the current budget year. The case manager may submit a request to the case manager supervisor for approval to use one-time Individual Budget amendment in the next budget cycle. Once approved, individuals can use the payment for goods and services for the intended purposes in the new budget year. One-time Individual Budget amendments may include but are not limited to home modifications, vehicle modification, purchase and installation of adaptive equipment, and a series of clinical visits that extend beyond the end of the budget period.

3. Individual Budget Adjustment.

a. An individual or their representative, their case manager and the Independent Support Broker, if applicable, may discuss the need for a change in the type or amount of a particular support or service. If any proposed individual budget adjustment is within existing line items or results in a new line item without an adjustment to the authorized allocation, the Individual Plan and Individual Budget shall be revised to affect the adjustments.

b. The case manager shall document any individual budget adjustments in the Individual Budget Database.

c. The case manager may complete Individual Budget adjustments that are under $5,000. The adjustment is effective upon completion of the required documentation in the Individual Budget Database by the case manager.

d. The case manager shall obtain approval from the case manager supervisor if the individual budget adjustments are at or above $5,000.

e. Any individual budget adjustments are required to follow Cost Guidelines and HCBS Waiver Rates.

f. The case manager shall communicate any individual budget adjustments that add a new wage-based service to the Fiscal Intermediary promptly to ensure the authorized funding is made available to any applicable DSP.

4. Termination of an Individual Budget.

a. An individual or their representative may decide to terminate services funded by DDS in their Individual Budget and choose an alternative support service.

b. The case manager or regional designee shall fill out the individual budget termination form (see attachment A).

c. The case manager or regional designee shall send the form within 10 business days of the termination date to the regional fiscal intermediary liaison or regional designee who shall make this change in the individual budget database.

d. The case manager or regional designee shall send a termination notice notifying the Fiscal Intermediary that the budget has been made inactive and to stop paying for services rendered after the termination date.

5. All self-directed in-home services that are federally mandated to use Electronic Visit Verification (EVV) shall be recorded in the approved EVV system. The DSP shall input their time live in the EVV when they perform in-home services. The DSP shall receive payment based on EVV data.

6. The Fiscal Intermediary shall implement all wage increases mandated in the Collective Bargaining Agreement. A Fiscal Intermediary Cash Adjustment Report shall be submitted to the DDS business office on a monthly basis. The Fiscal Intermediary Cash Adjustment Report shall include the total amount of funds by the Special Identification Code (SID) received by the Fiscal Intermediary, and a list of expenditures by individual and SID that have been completed as of the report date. DDS Fiscal Department shall use this report to adjust the next program fund payment to the Fiscal Intermediary.

E. References

1. I.C.2.PR015 Individual Supports Cost Guidelines
2. Waiver Rates
3. Self-Directed Support Agreement
4. I.C.2.PR.007 Individual Support Agreement Authorization Process

F. Attachments

1. Attachment A: Individual Budget Termination Form