

**STATE OF CONNECTICUT
DEPARTMENT OF DEVELOPMENTAL SERVICES**

DIRECTIVE: The Reallocation of Department Funded or Provided Support Resources.

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Employee Groups for Review and Implementation: EMT, Regional PRATs, Resource Management, Case Management, DDS Public Support Management Staff, Self Determination Directors, Private Providers

Manual Section: I. Service Delivery, B. Planning and Resource Allocation

Purpose

The purpose of this directive is to ensure that all individuals who request additional services or supports are treated in a fair and consistent manner and that the redistribution of regional service/support dollars and staff support resources are handled and monitored uniformly in each region.

Applicability

This directive applies to all individuals who request or receive Department of Developmental Services (DDS)-funded or -operated residential and/or day supports and services, the regional Planning and Resources Allocation Teams (PRAT) committees, the Self Determination (SD) directors, resource management staff, DDS private contractors, and any DDS staff responsible for the provision, allocation or tracking of day and/or residential support resources.

Definitions

HCBS Waiver(s) means Home and Community Based Services Waiver(s), under Medicaid, which are administered by Department of Social Services (DSS) and operated by DDS, to support individuals with mental retardation to live and work in the community.

Information Resource Allocation - Basic Principles:

- 1 All individuals requesting supports are treated in a fair and consistent manner.
- 2 The allocation processes are consistent in all regions.
- 3 Individuals considered for additional supports are clients of the department and are on the DDS Waiting List.
- 4 High school graduate money is dedicated to current graduates and those who graduated in the prior year who are on the Waiting List for day services
- 5 Ageout money is dedicated to ageouts.
- 6 Waiting List funds are dedicated to people on the Waiting List for residential supports.
- 7 Enhanced Family Support (EFS) funds are for individuals on the Waiting List whose needs can be fully met or on the Planning List
- 8 New and reallocated funds are distributed based on these considerations:
 - a. The person is on the Waiting List for services;
 - b. Caregiver age
 - c. The length of time the person has been on the on the Waiting List;
 - d. The person's status on the Home and Community Based Service (HCBS) Waiver;
 - e. The individual's Level of Need
 - f. The availability of resources;
 - g. Department goals; and
 - h. Any special conditions required for specific funding accounts.

General Allocation Process:

In seeking to standardize the department's allocation of day and residential resources, the following process shall be followed (see DDS Procedure I.B.1.PR.001 Administration of Requests for Day and Residential Supports for details):

1. The person's case manager refers all individuals with support needs to PRAT. Each request for support must be accompanied by the required documentation including a Level of Need assessment.
2. Allocations are made based on individual needs considered in relationship to others with unmet needs on the department's Waiting List.
3. All resource allocation decisions are made through PRAT and must comply with department requirements, goals and guidelines. For example:
 - a. Resource allocations can not exceed the region's available resources - annualized or cash; and
 - b. Individual resource allocations are within the department's authorized funding ranges and are based on the individual's Level of Need,
4. Each region has a Spend Plan Group that, at a minimum, includes the Private ARD, PRAT Coordinator, and SD director. This group tracks all funding resources, annualized and cash.
5. Resource management staff and the Public ARD track and advise the PRAT coordinator of all vacancies and hours of support, in private and public programs, as they become available.

6. Each region assigns an individual to the region's PRAT, which has knowledge of and decision-making authority for the Spend Plan.
7. When resources (money and/or support hours) become available due to changes in the supports provided to individuals through public support staff, an ISA or a Master Contract, the Public ARD, SD director or resource manager shall notify the region's Spend Plan person and/or PRAT chairperson, as appropriate.

Temporary Support Changes:

Agreements for Self-Directed Supports

1. The regional SD director may identify cash resources that are not being utilized (within the current regional individual budget) and reassign such resources, on a **time limited basis**, to another individual with an individual budget whose health and safety needs are not being met and for whom the need for additional support is temporary in nature (3 – 6 months).
2. There is no cap on the cost of the temporary support assigned. The amount of money assigned is based on the individual's need for additional resources.
3. The SD director will notify the PRAT coordinator in writing prior to or at the next PRAT meeting of any such reallocation. This notification shall include:
 - a. The source of the temporary resource;
 - b. The reason for the temporary support change; and
 - c. If a resource is removed from another individual(s) budget, the reason for such change.

Master Contracts

1. The private provider may identify resources that are not being utilized and assign such resources on a time limited basis to another individual, served under the same Master Contract, whose health and safety needs are not being met and for whom the need for additional support is temporary in nature (3 – 6 months).
2. There is no cap on the cost of the temporary support assigned. The amount of money assigned is based on the individual's need for additional resources.
3. The private provider will notify their regional resource manager within five business days, in writing, of any such reallocation. This notification shall include:
 - a. The source of the temporary resource;
 - b. The reason for the temporary support change; and
 - c. If a resource has been taken away from another individual(s) the reason for such change.
4. The resource manager will send a copy of the notification to the PRAT coordinator prior to the next PRAT meeting

One-Time Supports Changes

These supports include the purchase of items such as home modifications or adaptive equipment. One-time supports use cash and are not annualized. Ongoing expenses such as increased staffing or hours of support are not one-time supports.

Agreements for Self-Directed Supports

1. The SD director may recommend to PRAT the reallocation of available cash resources within the region's ISA budget for one time supports to an individual with an existing individual budget who self directs.

2. Such recommendations must be made in writing, must include the reason for the support and the urgency and be reviewed by PRAT, before any changes are made to the individual's budget.
3. PRAT approves or disapproves the resource request in writing.

Contracted Services

1. The private provider recommends to PRAT the reallocation of available cash within the contract budget for one time support.
2. Such recommendations are to be made in writing, must include the reason for the support and urgency and be reviewed by PRAT before supports can be purchased.
3. PRAT approves or disapproves the request in writing

DDS-Operated Programs

1. The Public ARD recommends to PRAT the expenditure of available cash resources within the region's budget for one-time supports.
2. Such recommendations are to be made in writing, must include the reason for the support and urgency, and be reviewed by PRAT, before supports can be purchased.
3. PRAT approves or disapproves the one-time support request in writing

Recommendations for Permanent/Annualized Support Changes

Agreements for Self-Directed Supports

1. The SD director may recommend to PRAT the reallocation of available annualized resources within the region's individual budget allocations for permanent increases/decreases in the amount of support resulting in changes in the annualized budget amount of existing individual budgets for consumers who self-direct.
2. Such recommendations must be made in writing, include the reason for the change in support and the urgency and reviewed by PRAT before changes are made to the individual's budget.
3. PRAT approves or disapproves the support change in writing.
4. In emergency situations where decisions cannot wait for the next official PRAT meeting, the SD director and the PRAT coordinator may negotiate the immediate reallocation of resources and report such activity at the next PRAT meeting.

Master Contracts.

1. The private provider may recommend the permanent reallocation of available annualized resources within their contract. Such reallocations would result in the increases/decreases in the amount of support and a permanent change to an individual's budget.
2. Such recommendations must be made in writing, include the reason for the change in support and the urgency before changes are made to the person's individual budget.
3. PRAT approves or disapproves the support change in writing.

Public Programs.

1. The Public ARD may recommend the permanent reallocation of available annualized resources within their program. Such reallocations would result in the increases/decreases in the amount of support and a permanent change to an individual's budget.
2. Such recommendations must be made in writing, must include the reason for the change in support and the urgency, and be reviewed by PRAT before changes are made to the person's individual budget.

3. PRAT approves or disapproves the support change in writing

Denials

Recommendations of waiver services denials by PRAT must be sent to the Director of Waiver Policy at the DDS Central Office. If the waiver service is denied the individual is entitled to a DSS Fair Hearing and/or a Programmatic Administrative Review (PAR).

Emergency Situations

In emergency situations where decisions cannot wait for the next official PRAT meeting, the private provider, their resource manager and the P/Q Coordinator may negotiate the immediate reallocation of resources and report such activity at the next PRAT meeting.