

## **Agency Service Coordination Manual**

### **5.3 Funding Requests and Approvals**

#### **Background**

The person-centred planning process identifies the most appropriate support options for individuals, and specifies the implementation activities that must take place in order to assist the individual to access resources or support services. Such assistance may include accessing funding as described in this section.

The process for accessing funding from Community Living disABILITY Services (CLDS) applies to situations where the individual will receive supports from any external service provider and/or external supplier. Funding is approved based on assessed support needs and regional allocations.

This section describes roles and responsibilities for agency delegates requesting funding for individuals supported by the Agency Service Coordination Project. The responsibility for all funding decisions is maintained by the CLDS program.

#### **Process**

##### **Initiating a Funding Request**

- Prior to submitting a funding request, the agency designate will ensure that the services being requested are the most appropriate and cost-effective to meet the needs of the individual.
  - For individuals who have the Public Guardian and Trustee (PGT) appointed as their Substitute Decision Maker (SDM), proposals should be discussed with the assigned Community Service Worker (CSW) for approval to move forward with the request. The agency designate will indicate that the CSW has given approval within their communication to CSR or the RNS Program Manager.
- For individuals with an assigned Support Budget Level, funding should correspond to the CLDS Funding Guidelines. If requested funding exceeds the funding guidelines, the Exceptions Review process as described below will apply.
- For individuals without an assigned Support Budget Level, short-term funding can be requested for a period of six months based on the individual's documented and assessed support needs. The agency designate, in collaboration with CLDS staff, may come to a consensus about what they expect the personal support budget level to be, and base the short-term funding request on this. Alternatively, ongoing funding may be requested based on guidelines for a Support Budget Level of 1.

- It is expected that the agency submit a referral for a Supports Intensity Scale (SIS) assessment as soon as possible, as described in the SIS Assessments section of this manual.
- A request for ongoing funding can be made upon completion of the SIS assessment and assignment of a Support Budget Level.
- In some situations, once a SIS assessment is completed, the guideline funding for the assigned Support Budget Level may be lower than what was previously approved short-term. Funding moving forward will only be approved at guideline rates, and individuals may choose to request an Exceptions Review.
- To request residential or day services funding, the agency designate will complete the Funding Approval Request Form (FARF). Additional supplementary documentation such as a program proposal, cost analysis or staffing patterns may be required if the information is not captured on the FARF.
- The agency designate will submit the completed FARF and corresponding documentation to their agency program manager (or comparable authority) for methodical review. Appendix A describes guidelines for funding requests and will support agency program managers with this review.
  - The agency program manager will submit the FARF and corresponding documentation to the Service and Support Navigator (SSN) at [SSNCLDS@gov.mb.ca](mailto:SSNCLDS@gov.mb.ca) using the Secure Email Transfer Service (SETS).
  - The SSN will review the request to ensure the proposed services are appropriate and sufficient information is provided. If more information or clarification is required, the SSN will contact the agency program manager or agency designate listed on the FARF. Please ensure contact information is clearly indicated on the form.
  - The SSN will submit the request to Centralized Services and Resources (CSR) in Winnipeg or the appropriate Rural and Northern Services (RNS) Program Manager.
  - The completed FARF is reviewed by CSR or the RNS Program Manager to ensure that funding is available. If more information or clarification is required, CSR or the RNS Program Manager will contact the SSN, who may need to return to the agency designate.
- Funding requests for other types of funding are described below and may not require a FARF.

### **Funding Review and Approval**

- The CLDS Admissions Approval and Prioritization of Funding Committee (Funding Committee) was established to provide a formalized review and approval process for CLDS funding requests. The Funding Committee is responsible for approving:
  - all new participant placement proposals in excess of \$50,000;
  - all participant per diem rate increases (over \$25,000) in an existing placement;
  - rate increases as a result of the participant changing placement (over \$25,000);
  - all new age of majority participant transitions in excess of \$50,000;
  - other exceptional expenditures related to participants in CLDS (over \$25,000); and
  - all requests for 1:1 day service supports.
- CSR and RNS Program Managers will forward all funding requests that meet the above criteria to the Funding Committee for approval, copying the SSN.
- The Funding Committee meets on a weekly basis. In the event additional information is required to make a decision, the Funding Committee will request the information from CSR or the RNS Program Manager, who may consult with the SSN.
- All funding decisions will be communicated to the agency designate by the SSN.

### **Exceptions Review Process**

- The exceptions review process is a safeguard to ensure that CLDS participants who have received a Supports Budget Level receive services necessary to meet their needs. The Exceptions Review Policy describes the process in which an individual, Substitute Decision Maker (SDM), family member and/or support network can request an exceptions review based on a claim of having Extraordinary Support needs. The request can be made by completing the Exceptions Review Based on Extraordinary Support Need Form.
- For individuals who are receiving case management through the Agency Service Coordination Pilot Project, the agency designate is to complete the CSW section of the form and ensure that all supporting documentation is included. The completed form and supporting documentation should be submitted to the SSN for review and submission to CSR or the RNS Program Manager. Further information may be requested from the agency designate.
  - The agency designate should ensure that their contact information is clearly indicated on the form.

- CSR or the RNS Program Manager will forward the package to the CLDS Exceptions Review Committee. The Exceptions Review Committee cannot change an individual's assigned Supports Budget Level, however, the committee is able to approve or deny additional funding that an individual may require over and above their Supports Budget Level.
- The individual will be notified in writing once a decision has been made, with a copy to the CLDS Program Manager and the agency designate.

### **Changes to Existing Funding**

- Services and supports provided to individuals must be reviewed on an ongoing basis to ensure that the appropriate level of support is being provided to an individual based on their current circumstances and support needs. Agencies are expected to be in regular communication with CSR or the RNS Program Manager regarding changes to funding utilization and lack of engagement with supports. Changes to funding based on utilization of supports is determined on a case-by-case basis.
- The following situations may have funding implications:

#### **Incarceration**

- The agency designate must inform the SSN via Incident Report within one business day of learning that an individual has become incarcerated. In the event there are funding implications, the SSN will notify CSR or the RNS Program Manager.
  - If the individual has the PGT appointed as SDM, the SSN will ensure the CSW receives this information in order to advise the PGT.
- Depending on the length of time that an individual remains in custody, funding may be adjusted to the agreed upon in-custody rate, or funding may be terminated. This is determined on a case-by-case basis in consultation with CSR in Winnipeg or the RNS Program Manager.
- If funding is terminated, agencies may request to resume funding one month in advance of the individual's release in order to support the transition back to the community.

#### **Hospital Admission**

- The agency designate must inform the SSN via Incident Report within one business day of learning that an individual has been admitted to hospital. In the event there are funding implications, the SSN will notify CSR or the RNS Program Manager.
  - If the individual has the PGT appointed as SDM, the SSN will ensure the CSW receives this information in order to advise the PGT.

- Changes to funding may occur based on an individual's supports and the length of time that they remain in hospital. This is determined on a case-by-case basis in consultation with CSR in Winnipeg or the RNS program manager.

## **Other Funding Requests**

### **Enhanced Program Support**

- Enhanced Program Support (EPS) is reserved for participants living in a Home Share or Supported Independent Living (SIL) with high/complex support needs and/or individuals with lower assessed needs but who require intensive system and case management involvement. An individual's support needs are assessed using a checklist that supplements the FARF. The process for EPS approval is as follows:
  - The agency designate reviews file/referral information to determine whether the individual is a possible candidate for EPS.
  - The agency designate completes the FARF, including the EPS Review and Approval Checklist, and sends to the SSN for submission to CSR or the RNS program manager.
  - Using the supporting information provided, eligibility for EPS is determined by the Funding Committee.
  - Provision of EPS funding is subject to ongoing review and approval.
- Individuals who do not meet the minimum threshold for eligibility for EPS will continue to access the standard Program Support already included within the SIL or Home Share funding guidelines.

### **Clinical Services**

For pilot agencies that are not currently receiving block funding for clinical services:

- The Clinical Services Service Definitions describe parameters for funding for clinical services and should be reviewed prior to a request for funding. Agencies are expected to exhaust all alternative funding options for clinical services and explore all lower cost options available prior to submitting a funding request.
- The SSN, CSR or the RNS program manager may provide suggestions of clinical supports that are available in the region.
- Requests for clinical funding are to be submitted via proposal which includes all relevant treatment information and a cost breakdown.

Requests must be time-limited and include the timeline for treatment in the proposal.

- Participant utilization of clinical funding is to be reviewed on an ongoing basis, and supports are adjusted accordingly.

### **Crisis Funding**

- Critical situations may arise where an increase of funding is required for a short time and is time-sensitive. Long-term planning must be concurrent to ensure that crisis funds are being provided for the shortest term possible.
- The agency designate can submit these requests to the SSN, who will work with CSR or the RNS Program Manager to allocate funds on an emergency basis.
- If the funding will be required on an ongoing basis, agencies are expected to submit a funding request using the FARF as described above.

### **Summer Programming**

- Funding for summer programming is available for participants between the ages of 18 and 21 who are in school and reside with family or in a Home Share.
- The agency designate can submit these requests to the SSN. Requests are made via proposal or email and must be within BOA guidelines. For information about summer programming that is available, the agency designate may consult with the SSN, CSR or the RNS Program Manager.

### **SIL Rent Top Up**

- Rent Top Up may be available to CLDS participants living independently in private rental accommodations, where it has been determined that safe and affordable housing cannot be secured within available EIA or other shelter allowances. The purpose of Rent Top Up is to maintain the individual's independence in the community in safe and affordable housing, rather than accessing other forms of housing such as Home Share and/or Residential Care Facilities. Rent Top Ups are considered when all other avenues for additional financial supports have been exhausted. The agency designate may request Rent Top Up in the form of a proposal submitted to the SSN.
- Once Rent Top Up is approved, the agency providing case management is responsible to pay the top-up amount to the individual's landlord each

month when rent is due, on behalf of the individual. The agency will submit an invoice for SIL and Rent Top Up to CSR or the RNS program manager each month, and will then be reimbursed for the top up amount.

- Rent Top Up funding is reviewed when:
  - there is a change in the individual's rent;
  - there is a change in the individual's income;
  - the individual moves; and/or
  - there is a change in Rent Assist rates.

### **Funding for Agencies External to the Pilot Project**

- Individuals may receive funding from more than one agency for the different types of support they require. For example, an individual may attend day services or receive clinical services from a different agency/service provider than their residential services.
- The service provider requesting funding will submit a detailed proposal to CSR in Winnipeg or the RNS Program Manager. A copy of the proposal should also be submitted to the agency designate from the agency providing case management for a review of the proposed supports. If further information is required, CSR or the RNS Program Manager will correspond directly with the service provider sending the proposal and the agency designate.
- If the proposed funding requires a FARF or Exceptions Request Form, the agency designate will complete the required paperwork and submit to the SSN for submission to CSR or the RNS Program Manager.
- When the funding is approved, CSR or the RNS Program Manager will send funding authorization to the service provider and will inform the agency designate of funding approval.

### **Standards**

- The agency designate will submit all requests for residential or day services funding using the Funding Approval Request Form (FARF). All FARFs should be completed with sufficient detail for CLDS to make an informed decision, as described in Appendix A: Guidelines for Funding Requests.
- Prior to submitting a request for funding, the agency designate will ensure that the services being requested are the most appropriate and cost-effective to meet the needs of the individual.
- All service proposals and/or funding requests for participants with the PGT appointed as SDM require discussion with the CSW prior to submission of the

request. Upon approval to move forward from the CSW, the agency designate will indicate this approval within their communication to CSR or the RNS Program Manager.

- All completed FARFs and corresponding documentation will be thoroughly reviewed by the agency program manager (or comparable authority) prior to submitting the request to the SSN.
- Agencies must conduct regular reviews of funding utilization to ensure that the supports provided match the individual support needs as these may change over time.
  - If the review determines that the level of funding is no longer appropriate, the agency designate should consult with the SSN to determine next steps.
  - For individuals consistently utilizing the approved level of funding, reviews should occur every three months.
  - For individuals who do not consistently utilize the approved level of funding (either over-utilize or under-utilize), reviews should occur on a monthly basis.
- Agencies will only invoice for the hours used, even if it is less than what is approved.
- Agencies are expected to inform the SSN via Incident Report within one business day of learning that an individual has been incarcerated.
- Agencies are expected to inform the SSN via Incident Report within one business day of learning that an individual has been admitted to hospital.

## **5.3 Funding Requests and Approvals**

### **Appendix A: Guidelines for Funding Requests**

When a funding request is submitted to CLDS, it is critical that the agency program manager (or comparable authority) methodically reviews the information to ensure that the submission is complete in order for CLDS to make an informed decision. These guidelines are intended to support agency program managers with this review.

#### **Email**

- All emails including funding requests and proposals will be sent to the appropriate recipients using the Secure Email Transfer Service (SETS). Procedures for SETS are described in the Information Sharing section of this manual.
- The email that accompanies the funding request includes a brief introduction including the service requested, the amount already approved (if applicable) and the total amount requested. The start date is clearly identifiable.
- Past emails related to the current request are included if the request has been approved short-term before.
- All attachments are sent with the email as a cohesive package (i.e., one request is not submitted over multiple emails with different attachments).

#### **Funding Approval Request Form**

- If the request is for residential services, the form contains sufficient detail about how the request meets critical criteria.
- The form contains sufficient detail about the participant's support needs.
  - For example, instead of, "He requires a lot of help with transfers," include a more detailed description of what is happening for the individual, such as "He has quadriplegia. He is transferred using a Hoyer lift and has been assessed as a two-person transfer by an Occupational Therapist, due to spasticity and daily seizure activity. Transfers take approximately 15 minutes to complete. Transfers occur 4 times per day".
- Prior to submitting the request to SSN, the FARF and request should be reviewed by the agency designate and/or an agency program manager (or comparable authority).

### **Shift-Staffed Homes**

- The staffing pattern has been carefully reviewed and reasonably reflects the residents' support needs.
  - Where there is more than single staffing, ensure that the need for double (or more) staffing is clearly articulated in the FARF.
- The hours in the staffing pattern are calculated correctly (i.e., the hours in the schedule match the hours used to calculate the per diem costs).
- In the email and FARF, it is clear as to how many people reside in the home and if there are any vacancies.
- The needs of the other residents are clearly articulated in the accompanying email if a FARF has not been provided for each person.
- It is clear as to whether or not each of the residents in the home attend a day service.
  - The email or FARF clearly identifies the program attendance of everyone in the home.
  - This aligns with the staffing pattern (e.g., staff are not scheduled to work in the home during the day if all of the residents attend a day service).
- The House Manager's administration time is between 10 and 15 hours per week. If it is more than 15-20 hours per week, detailed rationale has been provided as to why this is required.

### **Supported Independent Living (SIL)**

- If the funding and actual hours differ, the agency designate has reviewed the allowable hours per week variation section to ensure that this section:
  - has been used to support higher wages, higher rural mileage, agency after hours/on call system, cultural services, etc.;
  - has not been used to cover standard SIL program costs, attending appointments, program coordination, program oversight and day-to-day SIL programming or Enhanced Program Support.

### **Home Share**

- The agency program manager has reviewed the Home Share funding model and corresponding funding for accuracy.
  - For example, Agency Supported, Private, Regular and 24-hour options are accurately selected. This will ensure that the correct funding amounts are

reviewed and approved.

### **Enhanced Program Support**

- The agency program manager has completed the Enhanced Program Support Review and Approval Checklist after careful review.
- If the agency program manager is in support of the request for enhanced program support, the checklist has at least one affirmative response to numbers 1 to 6 and/or at least three or more affirmative responses to questions 7 to 12.
- The agency program manager has reviewed for accuracy and consistency in the responses to each question.
  - For example, previous Child and Family Services involvement does not automatically result in eligibility for Enhanced Program Support. The individual must have significant and demonstrated needs in the areas identified in the checklist.
- The information written by the agency designate in the FARF clearly supports the checkbox selected by the agency program manager.
  - For example, if the agency program manager selects that the individual has chronic housing issues in the checklist, the related information is clearly articulated by the agency designate in the FARF.