

<b>HART SUPPORTED LIVING (HSL) Eligibility</b>	<b>DAIL – HSL – 11.1</b>
<b>Effective Date: July 1, 2018</b>	<b>Page 1 of 2</b>

**Policy Statement:** HSL Coordinators are responsible to screen applications to ensure the applicant meets eligibility criteria.

**Legal Authority:** [910 KAR 1:270 Hart Supported Living grant program](#)  
[210.770 Definitions for KRS 210.770 to 210.795](#)  
[210.790 Eligibility for services - design - payment](#)

**Procedures:**

- 1) HSL Coordinators shall review applications and ensure the applicant meets financial eligibility component.
- 2) If the required financial eligibility documentation is not present with the application submission and the deadline for the application has not passed, the HSL Coordinator shall request the missing information from the applicant.
- 3) If required financial eligibility documentation is not submitted by the application deadline, the application is incomplete and shall not be submitted to DAIL for scoring.
- 4) HSL Coordinators shall review the financial eligibility documentation submitted with the application and compare it to the current federal poverty scale. If income falls outside the eligibility parameters for the household composition and allowable deductions, the applicant is ineligible and the application shall not be submitted to DAIL for scoring.
- 5) HSL Coordinators shall review applications to ensure the applicant documents a disability that is in accordance with the Americans with Disabilities Act. If no disability is documented, or the documented disability is not a recognized disability, the application shall not be forwarded to DAIL for scoring.
- 6) HSL Coordinators shall review applications to ensure supports requested are allowable under the regulation. Only allowable services may be scored. If an application contains a combination of requested services that can and cannot be funded, the Regional Coordinator will cross out inappropriate requests and present the allowable requested services for scoring.
- 7) Regional Coordinators shall review applications for duplication of services. If it is evident that the requests on the application are duplications, the application shall not be submitted to DAIL for scoring. If the supports requested appear to be duplicative, but it is uncertain if they are, the Regional Coordinator shall make an attempt to obtain additional information for confirmation. If no confirmation can be obtained, the Regional Coordinator should note the potential duplicative services on the front page of the scoring materials for the Review Team to consider.
- 8) If there is information for which the Regional Coordinator is aware prior to scoring and for which the Review Team should be made aware, the Regional

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Coordinator should note that information on the front page of the scoring materials for the Review Team to consider.

- 9) Regional Coordinators shall maintain applications that cannot be scored and log application information on the application database appropriately.

<b>HART SUPPORTED LIVING (HSL) Application Processing</b>	<b>DAIL – HSL – 11.2</b>
<b>Effective Date: July 1, 2018</b>	<b>Page 1 of 2</b>

**Policy Statement:** HSL Coordinators are responsible for disseminating, accepting, and processing applications.

**Legal Authority:** [910 KAR 1:270 Hart Supported Living grant program](#)  
[210.770 Definitions for KRS 210.770 to 210.795](#)  
[210.790 Eligibility for services - design - payment](#)

**Procedures:**

**Disseminating Applications**

- 1) Regional Coordinators shall include a cover letter when disseminating HSL Applications:
- 2) In January of each year, Regional Coordinators shall contact previous year’s applicants who were not funded to remind applicants there is no waiting list and if they want to be considered for the upcoming fiscal year, they must reapply. The application mailing shall include the following:
- 3) Applications shall be provided upon request to current recipients who wish to request additional funds for the upcoming fiscal year.
- 4) Applications may be disseminated to groups or agencies that could make them available to persons with disabilities.

**Providing Assistance in Completing the Application**

- (1) Regional Coordinators may provide assistance/accommodation with completing applications. If an individual cannot write or type, the Regional Coordinator may assist by filling out the application based on dictation. In addition, if English is not the individual or family’s primary language, it may be necessary to arrange for translation.
- (2) Regional Coordinators shall ensure the applicant has planned and knows in advance what type of services or supports will be requested. If a meeting is requested, suggest the applicant complete the application as much as possible before the meeting.
- (3) Regional Coordinators may provide application assistance in a group setting. Regional Coordinators may host one or more public meetings in their region and invite individuals who may be interested in applying. A general presentation on how to complete an application can be followed-up by individual assistance. These meetings could be held in community spaces such as libraries, churches, etc.
- (4) Service providers may be provided training in assisting with applications. These providers might include support coordinators, supported employment individuals, individuals who work with aging populations, and home health providers. In addition, local advocacy groups could be provided with information on how to provide assistance with applications.

<b>HART SUPPORTED LIVING (HSL) Application Processing</b>	<b>DAIL – HSL – 11.2</b>
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**Receiving Complete Applications:**

- 1) Regional Coordinators shall enter the Applicant ID number on Page 1 and Page 2 of the application before the application is submitted to the State Coordinator.
- 2) The Regional Coordinator shall attach a *Transmittal Cover Sheet* to the front of each application. The Regional Coordinator shall:
  - a) Enter the Applicant ID # at the top.
  - b) Complete the Application Summary by entering the total requested for on-going supports and then list each on-going support requested.
- 3) For each separate one-time support, enter the amount and the request. The Regional Coordinator will ensure a copy of the application is placed in the appropriate location on the DAIL shared drive for HSL State Coordinator access. The Regional Coordinator shall retain the original application.

**Receiving Incomplete Applications**

- 1) The Regional Coordinator will notify any applicants whose applications were incomplete.
- 2) The Regional Coordinators shall maintain incomplete applications.

**Receiving Requests for Impermissible Supports**

- 1) If the applicant's entire request is for a support that cannot be funded through HSL, the application shall not be scored.
- 2) If the application is only partially impermissible, the part of the application that is permissible can be scored, but only if the remaining request can stand-alone. These applications shall be processed for scoring, but the Regional Coordinator shall note the impermissible supports for the State Coordinator to address with the Review Team.
- 3) The Regional Coordinator shall notify applicants in writing if their application contains impermissible supports and retain the original applications.

<b>HART SUPPORTED LIVING (HSL) Review Team Responsibilities</b>	<b>DAIL – HSL – 11.3</b>
<b>Effective Date: July 1, 2018</b>	<b>Page 1 of 3</b>

**Policy Statement:** HSL Review Teams are responsible for scoring new applications and reviewing amendments.

**Legal Authority:** [910 KAR 1:270 Hart Supported Living grant program](#)  
[210.770 Definitions for KRS 210.770 to 210.795](#)  
[210.790 Eligibility for services - design - payment](#)

**Procedures:**

**Scoring New Applications**

- 1) Review Team members must use an HSL Scoring Rubric while scoring applications.
- 2) The Review Team is responsible for identifying Hart-Supported Living fund requests that could potentially be obtainable from another program for which the applicant qualifies. If it is unclear as to whether a requested support would be duplicative, the application should be scored with a note for the State Coordinator to check on other supports prior to funding.
- 3) The application, including all attachments, should be read carefully and thoroughly. Any information not contained in the application should not be considered.
- 4) The Review Team will indicate the one-time support being reviewed on the appropriate line on the score sheets.
- 5) After the Review Team has circled a number for criterion statements in each section, the scores for each section shall be totaled. When all sections are complete, totals for all sections will be added and the sum entered for a *Grand Total*. The Review Team will circle “Yes” or “No” to indicate whether the Grand Total meets the minimum score of 55. The Grand Total will be entered on the front page of the score sheet and the N will be circled on the front next to “Meets Minimum” if it does not meet the minimum score requirement.
- 6) All Review Team members will initial in the “EVALUATED BY” box on the end of the score sheet and enter the date.

**Reviewing Renewal Applications**

- (1) The Review team will review Renewal Applications Financial Eligibility documentation. If the recipient meets the financial eligibility requirements, the Review Team will review the rest of the application. If the recipient does not meet the financial eligibility requirements, the renewal will not be reviewed and a note will be entered indicating a denial letter shall be sent.
- (2) For current recipients requesting continuation of funding with no changes (Section 1 only), the Review Team will review based on need, principles and duplication, using all information available. If a potential issue is

<b>HART SUPPORTED LIVING (HSL) Review Team Responsibilities</b>	<b>DAIL – HSL – 11.3</b>
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identified, DAIL will review the plan further. On the *Approved Continuation Funding* form, the approved amount for continuation funding for each of these recipients will be entered. If the original plan amount is reduced or eliminated based on principle, need, or duplication, the reduced approved continuation amount will be placed in the column, but the dollar amount by which the grant was reduced will be entered in the 'Notes' column, along with the rationale for the reduction or elimination.

- (3) The Review Team will review each recipient who submitted a request to change how the grant funds are used (Section 2; Amendment) for principle, need, and duplication, and for approval of the amendment. If the requested amendment is approved, it will be indicated in the 'Notes' column.
- (4) The Review Team will review each recipient requesting an increase to maintain current supports (Section 3). The recipient's plan will be reviewed for need, principle, and duplication and for the requested *increase*. The approved amount for continuation of funding, including any approved increase, will be indicated. Requests for increased or additional supports cannot be funded as a Section 3 increase, they have to be requested through a new application.

### **Reviewing Requests for Amendments**

- (1) If an amendment requested is \$500 or more, the State Coordinator forwards the *Request for Plan Amendment* form and any attachments with from the Regional Coordinator. If the amendment is requested outside the annual scoring timeline, the requests can be forwarded by e-mail to each Review Team member with the recipient's information redacted.
- (2) A Review Team may be selected for amendments \$500 or less and members can be chosen by the State Coordinator and be comprised of three (3) Regional Coordinators.
- (3) The State Coordinator may approve amendments \$500 or less without a Review Team if the request is reasonable and in accordance with policy and regulation.
- (4) If a Review Team is utilized, each Review Team member will respond by e-mail indicating approval or disapproval.
- (5) All decisions by the Review Team must have no more than one dissenting vote.
- (6) If there is more than one dissenting vote, the request for amendment will be referred to the State Coordinator.
- (7) The Department for Aging and Independent Living has authority to approve or deny any amendment request that increases the amount of the annual plan.

<b>HART SUPPORTED LIVING (HSL) Review Team Responsibilities</b>	<b>DAIL – HSL – 11.3</b>
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- (8) If a current recipient does not agree with a decision of the State Coordinator or the Review Team as to a request for amendment, the recipient may request reconsideration from the State Hart-Supported Living Council.

<b>HART SUPPORTED LIVING (HSL) Requests for Renewal</b>	<b>DAIL – HSL – 11.4</b>
<b>Effective Date: July 1, 2018</b>	<b>Page 1 of 2</b>

**Policy Statement:** HSL Coordinators are responsible for reviewing request for renewal applications to ensure the applicant meets eligibility criteria as established by legal authority.

**Legal Authority:** [910 KAR 1:270 Hart Supported Living grant program](#)  
[210.770 Definitions for KRS 210.770 to 210.795](#)  
[210.790 Eligibility for services - design - payment](#)

**Procedures:**

**Assisting Recipients with Renewal Applications**

- 1) During the second quarterly visit, the Regional Coordinator will provide each recipient with the *Request for Renewal*. The Regional Coordinator shall include the Instructions and Section 1, as well as a copy of the current plan for reference. Regional Coordinators may determine through discussion with the recipient if the recipient needs/wants to complete any of the other sections, and include those sections as well. The Regional Coordinator shall ensure the recipient knows if a change in the plan or an increase in the grant amount is going to be requested, the appropriate section(s) must be completed.
- 2) *Requests for Renewal* are used for two purposes: 1) To review the current plan for need, principles, and possible duplication of services; and 2) To make continuation funding recommendations for all recipients, including recipients who request amendments and increases just to continue current plans. The recipient may be assisted in providing sufficient information in Section 1 to show continued need and no duplication. The recipient may be assisted in determining the appropriate section to complete when asking for an amendment or an increase in the grant. Section 3 is only for increases needed to keep the plan working at its current level of support. If the recipient wants increased support (even one hour of additional support), a new application must be completed.
- 3) When *Requests for Renewal* are submitted, the Regional Coordinator will review to determine completeness and that the correct Sections have been completed for what the recipient requests. If recipients attempt to ask for *increases* in supports in Section 3, the recipient should be informed that increases may only be requested by submitting a new application. Once a renewal has been reviewed and is deemed complete, the Regional Coordinator shall send a letter to the recipient including information regarding when the application will be reviewed and when to expect notification of continuation of services for the next fiscal year.

**Preparing Renewal Applications for the Review Team**



<b>HART SUPPORTED LIVING (HSL) Requests for Renewal</b>	<b>DAIL – HSL – 11.4</b>
<b>Effective Date: July 1, 2018</b>	<b>Page 2 of 2</b>

- (1) Regional Coordinators shall review the renewal application to ensure the financial eligibility documentation is present and the individual meets the requirements. If financial eligibility is over the limit, the Regional Coordinator shall contact the State Coordinator and a denial letter shall be issued.
- (2) Regional Coordinators will prepare Renewal Applications for review in the following manner:
  - (a) Enter the Region number:
  - (b) Leave Review Team: blank; initials of Review Team will be entered at the meeting
  - (c) Write the fiscal year that the funding recommendations will be for under for FY:
  - (d) List the last name of every current on-going recipient (include all on-going recipients, even those who have requested additional funds)
  - (e) List the current on-going grant amount (the on-going amount approved for the current fiscal year) for each recipient.
  - (f) If there is a possible issue as to principles, need, or duplication, place an asterisk (\*) in the appropriate column. (Note: The Review Teams will review all recipients for need, principles, and duplication).
  - (g) If a recipient has completed Section 2 of the *Request* and is asking for an amendment using the same amount of funds, put a "Y" in the "Amend Request" column.
  - (h) If a recipient has completed Section 3 of the *Request* and is asking for funds just to maintain current supports, enter the dollar amount of the requested increase.

<b>HART SUPPORTED LIVING (HSL) Funding Recommendation Procedures</b>	<b>DAIL – HSL – 11.5</b>
<b>Effective Date: July 1, 2018</b>	<b>Page 1 of 1</b>

**Policy Statement:** DAIL is responsible for issuing funding recommendations as allowed by legal authority.

**Legal Authority:** [910 KAR 1:270 Hart Supported Living grant program](#)  
[210.770 Definitions for KRS 210.770 to 210.795](#)  
[210.790 Eligibility for services - design - payment](#)

**Procedures:**

- 1) Funding will begin with the results of renewal application review and in accordance with regulation language.
- 2) If the Review Team noted any potential funding discrepancies by entering notes on the front of the renewal, the State Coordinator shall follow-up as appropriate to ensure funding is made appropriately.
- 3) The State Coordinator will complete a spreadsheet with rankings from all review teams to determine funding.
- 4) For newly funded recipients, funding will be made in the order of the scores of the applications. Highest scores are funded first, taking into consideration on-going requests that can be sustained through future fiscal years.

<b>HART SUPPORTED LIVING (HSL)</b> <b>Hart Supported Living (HSL) Plans &amp; Amendments</b>	<b>DAIL – HSL – 11.6</b>
<b>Effective Date: July 1, 2018</b>	<b>Page 1 of 4</b>

**Policy Statement:** HSL Coordinators are responsible for executing HSL Plans and processing requests for Amendments.

**Legal Authority:** [910 KAR 1:270 Hart Supported Living grant program](#)  
[210.770 Definitions for KRS 210.770 to 210.795](#)  
[210.790 Eligibility for services - design - payment](#)

**Procedures:**

- 1) The Regional Coordinator and the recipient shall develop the HSL Plan as soon as possible so it can be implemented with the start of the fiscal year. The HSL plan shall be based only on requests in the application. Usually, funding recommendations are set to implement the HSL plan as requested in the application, although occasionally the funding recommendation is for partial implementation. The Regional Coordinator shall reference funding recommendation information prior to plan set-up.
- 2) The HSL Plan shall include all required identifying information, and financial and budget information, and required signatures.
- 3) At the time the HSL Plan is developed, the Regional Coordinator shall provide all necessary information regarding recipient requirements, employer responsibilities and implementing the plan.
- 4) The Regional Coordinator shall provide the recipient with a copy of the final, signed plan.
- 5) The Regional Coordinator shall ensure the HSL Plan is complete with the approved support listed along with a description. The description of the support or service should be in sufficient detail so it is clear what is allowable under the HSL Plan. A term such as ‘transportation’ or ‘leisure’ may not be enough to indicate the support approved. The Regional Coordinator will ensure all calculations are correct.
- 6) For approved one-time expenses, the description will be on the estimate, provided with the application, which will be the basis for the funding recommendation. An additional estimate may be required. If necessary, the Regional Coordinator shall secure additional estimates from the applicant as part of HSL Plan development. The amount entered in the approved annual cost should be no more than the funding recommendation. If the original estimate has increased or decreased, an amendment can be completed and submitted for consideration of approval. If approved, a new amended plan will be completed, and signed/dated by the recipient and the Regional Coordinator.

<b>HART SUPPORTED LIVING (HSL)</b> <b>Hart Supported Living (HSL) Plans &amp; Amendments</b>	<b>DAIL – HSL – 11.6</b>
<b>Effective Date: July 1, 2018</b>	<b>Page 2 of 4</b>

**Examples of Descriptions of On-going Supports**

Transportation:

Reimbursement of Community Resource Developer (CRD) for mileage at the current approved state rate, and/or:

- (1) Reimbursement of family member, neighbor, or friend for transportation to work or community activities at cents per mile; and/or
- (2) Payment to a transportation agency for transportation; and/or
- (3) Payment for a taxi for transportation.

Community Resource Developer:

Includes gross wages of hourly wage and employer taxes of gross wages for Community Resource Developer.

Recreation/Leisure:

Includes gross wages for Recreation/Leisure Provider who provides support and reimbursement of the following recreation/leisure expenses: movies, plays, bowling, swimming passes, etc. not to exceed \$750.00 per year per recipient.

Provider of Support - Agency or Individual:

Indicate whether the support will be provided by an agency, or individual. The name of the agency or individual who will provide the support can be included and may be changed at any time by notifying the Regional Coordinator.

- A. Average # of Hours per week:** Indicate expected number of hours per week for this support, if applicable. It is understood that this number may vary for some recipients. This can be changed at any time by notifying the Regional Coordinator. (However, recipient must comply with Wage and Hour regulations, if applicable, and must make necessary changes in agreements with providers.) If not applicable, write N/A or leave blank.
- B. Cost per Hour:** If agency or individual is to be paid per hour, indicate agreed upon rate per hour. This can be changed at any time by notifying the Regional Coordinator. (However, recipient must comply with Wage and Hour regulations, if applicable, and must make necessary changes in agreements with providers.)
- C. Average cost per week:** If appropriate, multiply A times B for average weekly cost. In addition, if provider receives a weekly salary, it should be indicated.

<b>HART SUPPORTED LIVING (HSL)</b> <b>Hart Supported Living (HSL) Plans &amp; Amendments</b>	<b>DAIL – HSL – 11.6</b>
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- D. Average cost per month:** Accurate average monthly cost shall be determined by figuring the Annual Cost and dividing by 12.
- E. \*\*Approved Annual Cost per Fiscal Year:** This shall be calculated by multiplying C Weekly Cost by 52. This amount should be no more than the funding recommendation. The recipient can only be reimbursed this amount for the support over the Fiscal Year. Any change in this amount requires an approved HSL Plan Amendment. Note this column shall be completed for one-time expenses.

### HSL Plan Amendments

- 1) If a recipient wants to change what services are provided, or the total annual amount for a budget item during the fiscal year, the recipient must request an amendment using the *Request for Amendment* form. The completed form must be submitted to the Regional Coordinator. The Regional Coordinator may assist in completion of an amendment.
- 2) After the *Request for Amendment* form is completed, the Regional Coordinator will review the amendment and if complete and correct, complete the *Request for Amendment Cover Sheet and Summary*.
- 3) If the requested amendment is for the same total grant amount or for an increase of \$500 or less, the State Coordinator can either approve the amendment, or refer the amendment to a Review Team. If the State Coordinator approves the amendment, the cover sheet, along with the request will be placed in the recipient's file and the HSL Plan may be amended by initialed changes on the original HSL Plan.
- 4) If the requested amendment has been referred to a Review Team, or if it is for an increase of greater than \$500, these steps will be followed:
  - (a) The date referred to the Review Team will be entered
  - (b) Any applicable additional information, especially as to need, principles, possible duplication, and the availability of funds should be written in the space provided. If it is necessary, additional pages may be attached.
  - (c) Write in the name of each review team member, including the Region #.
  - (d) Fax, mail, or send electronically the *Request* and *Cover* sheet to each Review Team member. Remember to transmit any required attachments such as estimates and letters from doctors or therapists. If the *Request* or attachments are faxed, it is best practice to notify the receiving Regional Coordinator by phone or e-mail that a fax is coming.

<b>HART SUPPORTED LIVING (HSL) Hart Supported Living (HSL) Plans &amp; Amendments</b>	<b>DAIL – HSL – 11.6</b>
<b>Effective Date: July 1, 2018</b>	<b>Page 4 of 4</b>

- (e) Each Review Team member will respond by, e-mail, fax or mail, with an “approve” or “disapprove.” If there is a “disapprove,” the Team Member will indicate the reasons. The Regional Coordinator will document the “approve” or “disapprove” on the cover sheet. For any “disapprove,” the reasons will be indicated on the cover sheet.
- (f) There can be no more than one “disapprove” for an amendment to be effective.
- (g) The cover sheet and the Request will be placed in the recipient’s file and the HSL Plan amended, if approved.

### **Considerations for Amendments**

- 1) An amendment request shall be considered in terms of need (does the recipient need what is being requested?), principles of HSL (how does the requested amendment support the recipient to live in and be part of the community?), the potential for duplication (is the recipient entitled to receive this from another program?) and whether funds are available in the region. Some factors to consider:
  - (a) An amendment request, which appears to merely convert unused funds to an unneeded support, should not be approved just because the recipient will have ‘extra’ money at the end of the fiscal year (e.g. a request to move funds from personal care to vacation or to purchase an aboveground pool). An amendment should be completed at this time to request a decrease of the unused funds. An amendment request should be based on a changed circumstance.
  - (b) Most amendments for increased on-going supports should be for the remainder of the fiscal year, e.g. increased need for respite due to caretaker hospitalization. To make the amended request permanent, the increase may be requested through a renewal application.
  - (c) No amendment can be approved without available funds.
  - (d) The Regional Coordinator should indicate all factors relating to need, principles, duplication and the availability of funds on the Cover Sheet of the Request.

<b>HART SUPPORTED LIVING (HSL) Regional Coordinator Responsibilities: Meetings, Trainings, Records, etc.</b>	<b>DAIL – HSL – 11.7</b>
<b>Effective Date: July 1, 2018</b>	<b>Page 1 of 1</b>

**Policy Statement:** HSL Coordinators are responsible for maintaining required recipient files.

**Legal Authority:** [910 KAR 1:270 Hart Supported Living grant program](#)  
[210.770 Definitions for KRS 210.770 to 210.795](#)  
[210.790 Eligibility for services - design - payment](#)

**Procedures:**

- Regional Coordinators are required to maintain applications, plans and DAIL required reports on file.
- Regional Coordinators should ensure Documentation of Expenditures are maintained as required.
- HSL records should be easily accessible, but secure. HIPAA requirements for confidentiality shall be met and includes records maintained in databases electronically as well as hard-copy records. Closed files and records shall be maintained securely.
- The following records shall be maintained by the Regional Coordinator:
  - (1) Permanent files for recipients - One-time and On-going. Each file shall contain:
    - (a) Application for the previous and current year
    - (b) Approved Plan
    - (c) Correspondence to or from recipient
    - (d) Case and coordinator notes (including quarterly visit notes)
    - (e) Monitoring report forms
    - (f) Other information, if applicable
    - (g) Documentation of expenditure forms

One-time only recipients shall be closed upon satisfactory completion of the support and monitoring. On-going recipients shall be closed when the recipient no longer is receiving services and all the time for any reconsideration is past.

- (2) Unfunded applications for the current fiscal year, filed in numerical order by assigned number. A guide sheet indicating the name and number should be included. When the current fiscal year is over, these files shall be maintained by Fiscal Year.

<b>HART SUPPORTED LIVING (HSL) Processing Documentation of Expenditure Forms</b>	<b>DAIL – HSL – 11.8</b>
<b>Effective Date: July 1, 2018</b>	<b>Page 1 of 1</b>

**Policy Statement:** HSL Coordinators are responsible for receiving and reviewing documentation of expenditure forms for correctness and for submitting accurate payment information to DAIL.

**Legal Authority:** [910 KAR 1:270 Hart Supported Living grant program](#)  
[210.770 Definitions for KRS 210.770 to 210.795](#)  
[210.790 Eligibility for services - design - payment](#)

**Procedures:**

The Regional Coordinator is required to arrange for payments for currently funded HSL Plans. Those duties are:

- (1) Obtaining documentation that a service was provided and there is sufficient documentation illustrating the support was received (including timesheets, receipts, mileage forms, etc.)
- (2) Verifying the service as a part of the established plan;
- (3) Arrange for billing and payment directly to a vendor for one-time expenditures, or to an agency.
- (4) Provide recipients with a sufficient quantity of Documentation of Expenditure (DOE) forms and instructions on the process required for submitting requests for payments.
- (5) Process forms for payment once a month. Inform the recipient when and how forms are due in order for payment to be received on a timely basis. Requests for payments shall be received within thirty days from the support being provided.
- (6) Inform and enforce that recipients are reimbursed strictly for supports and services on their HSL Plan. Ensure recipients stay within the approved budget for each support. If a recipient wishes to move funds from one support to another, an amendment must be submitted by the Regional Coordinator and approved by the State Coordinator or the Review Team.
- (7) If it is determined the recipient will have extra funds at the end of the fiscal year, submit an amendment for any requested change or release the funds for another use.
- (8) Maintain a budget sheet for each recipient that starts with the approved amount for each budget item, with continuous subtractions for each payment made.



<b>HART SUPPORTED LIVING (HSL) Monitoring/Quality Assurance</b>	<b>DAIL – HSL – 11.9</b>
<b>Effective Date: July 1, 2018</b>	<b>Page 1 of 1</b>

**Policy Statement:** HSL Coordinators are responsible to screen applications to ensure the applicant meets eligibility criteria as established by legal authority.

**Legal Authority:** [910 KAR 1:270 Hart Supported Living grant program](#)  
[210.770 Definitions for KRS 210.770 to 210.795](#)  
[210.790 Eligibility for services - design - payment](#)

**Procedures:**

**Monitoring of Regional Coordinators**

The State Coordinator shall conduct an internal monitoring review of each Regional Coordinator annually. Monitoring activities shall include:

- (1) Conducting an interview with each Regional Coordinator to ensure procedures are in accordance with HSL Statute and Regulations.
- (2) Conduct a record review of at least ten percent of recipient's files, but no less than two on-going recipients and one one-time-only recipient (who received service within the past fiscal year).
- (3) Record review shall include plans, budgets, recipient reimbursement forms, databases, recipient monitoring reports, quarterly reports, and include Client Satisfaction Surveys. The State Coordinator will notify the Regional Coordinator of documentation required at least 24 hours prior to the monitoring visit.
- (4) Client Satisfaction Surveys can be conducted in person or via phone. The State Coordinator will arrange for any home visits at a time that is convenient to the recipient and his/her family.

A copy of the monitoring review report will be made available to the HSL Council. The State Coordinator will conduct follow-up on issues raised in the review by telephone or home visit as appropriate. The HSL Council may recommend an additional formal review visit prior to the next formal review period.

<b>HART SUPPORTED LIVING (HSL) Assisting Recipient with Employer Responsibilities for Taxes, Worker's Compensation and Unemployment Insurance</b>	<b>DAIL – HSL – 11.10</b>
<b>Effective Date: July 1, 2018</b>	<b>Page 1 of 1</b>

**Policy Statement:** HSL Coordinators shall provide general information to recipients, but are not to provide professional advice regarding taxes, workers' compensation, and unemployment insurance.

**Legal Authority:** [910 KAR 1:270 Hart Supported Living grant program](#)  
[210.770 Definitions for KRS 210.770 to 210.795](#)  
[210.790 Eligibility for services - design - payment](#)

**Procedures:**

**Assisting Recipients with Employer Responsibilities for Taxes, Workers' Compensation, and Unemployment Insurance**

- (1) Regional Coordinators are responsible for providing information about recordkeeping, taxes, unemployment insurance and workers' compensation insurance to recipients. In providing this information, it should be made clear that you are not giving tax or legal advice, but are informing the recipient of his or her responsibilities in this area and providing information about how to meet those responsibilities.
- (2) Ensure recipients that Section 6 of the 908 KAR 2:190 requires recipients, who are employers, to be responsible for the 'computation of required employee payroll, withholdings, workers' compensation, unemployment and actual payment of required withholdings, taxes and disbursements appropriate to being an employer.' Also, make sure the recipient knows that under Section 13 of the Regulations, a grant can be terminated if the recipient 'does not comply with employer responsibilities if applicable.'
- (3) Regional Coordinators shall refer recipients for professional assistance through a Certified Public Accountant (CPA) or tax expert for additional information to ensure they are meeting all requirements.