**Procedure No:** I.C.3.PR.002 **Issue Date:** April 2002

**Subject:** **Individual and Family Grants** **Revised:** 2008, 2011, 2014, 2018,

**Section:** Services and Supports, Family Supports **Revised:** November 1, 2019

 **Effective Date**: Upon Release

 **Approved:**/s/Jordan A. Scheff/LT

**Policy Statement**

An Individual and Family Grant is state funding awarded for the purpose of providing an individual and his or her family supports or defraying expenses related to the individual’s disability. By awarding this grant funding so that individuals may remain in their own communities and be able to access their own natural support systems, the Department of Developmental Services is fulfilling its mission to enhance independence and individual choice while providing appropriate supports.

1. **Purpose**

This procedure establishes a consistent approach and process for the administration of DDS Individual and Family Grants. These grants are designed to support individuals who are eligible for DDS services and who live in the community.

1. **Applicability**

This procedure shall apply to individuals eligible for DDS services who live in their own home or family home. It also applies to individuals who live in licensed community companion homes. The procedure applies to the families and other caregivers who have primary responsibility for individuals of any age who are eligible for DDS funding or services.

1. **Definitions**

“Community companion home” or “CCH” means a private family home in which three or fewer individuals reside and which is licensed pursuant to section 17a-227 of the Connecticut General Statutes.

“Individual and Family Grant” means state funding awarded to an individual who resides in his or her own home, family home or a community companion home for expenses related to the individual’s disability.

“Individualized supports” means funding or services that assist individuals to live in their own home or family home that may include, but are not limited to, personal assistance; self-advocacy; skill development; social and leisure services; support planning and coordination; purchase of adaptive equipment and supplies; and other individually determined supports based upon the individual support plan.

“Payee” means a person, business, vendor, or other entity that is designated to receive Individual and Family Grant funds for an individual and that agrees to be responsible for (1) managing the grant funds and (2) reconciling those funds by submitting all required reports and documentation of the use of the grant funds.

1. **Implementation**
2. **Introduction**
3. DDS has an Individual and Family Grant Review Committee that is headed by the Individual and Family Grant Manager and which shall include regional representation. The committee shall review and approve Individual and Family Grants applications and ensure that the department’s process for awarding and administering these state-funded grants is appropriately implemented.
4. The maximum amount of Individual and Family Grant funding per individual per fiscal year funded through the Family Support Grants account is **$4,999**. The funding amount for each Individual and Family Grant varies and more than one request for a grant may be made in a fiscal year. Two or more grants may run simultaneously based upon the assessed needs of the individual, as reviewed and approved by the Individual and Family Grant Manager, or his or her designee.
5. If an individual or family requests additional grant funding or a single grant that exceeds **$4,999** in a fiscal year, such a request requires prior approval by the Assistant Regional Director for Individual and Family Support Services, or his or her designee. Approval of any grant that exceeds **$4,999** is contingent upon the assessed needs of the individual.
6. The DDS Individual and Family Grant Program funding is not an entitlement and is limited by the availability of appropriated funds.

1. **Eligibility for Individual and Family Grant Funding**

An individual is not required to be enrolled in a Medicaid Home and Community Based Services (HCBS) waiver to receive an Individual and Family Grant from DDS. Grant funds, when available, shall be allotted based upon the following prioritization criteria:

* 1. An individual who does not receive DDS waiver funding or services.
	2. An individual who only receives employment opportunity or day services funding.
	3. An individual who receives DDS residential funding, but would benefit from additional services or goods that are not covered by existing funding.
	4. A child, who does not have a determination of a diagnosis of intellectual disability (ID).
	5. Any other eligible DDS individual, not specified in the criteria in subsections a, b, c and d of this section, may be considered for grant funding upon review of the individual’s grant funding request and its approval by the Regional Director or the Regional Director’s designee and based upon the availability of grant funding for the fiscal year.
1. **Allowable Expenses**

Individual and Family Grants, which are funded with state dollars only, are intended to assist both the individual and his or her family members to pay for expenses related to the individual’s disabilityto help maintain the health and safety of the individual. There is a wide range of expenses that may be approved for individual and family grant funding by the department depending upon the individual’s or the family’s circumstances.

1. The following examples of possible appropriate family grant expenditures should not be considered all inclusive, but instead are illustrative of uses of the individual and family grant funding, to address disability related needs. Individual and Family Grants may be used for: (1) adaptive equipment; (2) assistive technology; (3) camp; (4) community activities; (5) environmental modification; (6) individualized supports; (7) medical expenses; (8) miscellaneous expenses; (9) personal support; (10) respite; (11) therapy, not covered by insurance; and (12) transportation.
2. The following examples of disallowed expenses of individual and family grant funding should not be considered all inclusive, but instead are illustrative of prohibited uses of these funds. Individual and family grant funding may not pay for (1) on-going payments for utilities, rent, or mortgage; (2) the purchase or lease of vehicles; (3) clothing, unless determined to be related to the individual’s disability; (4) babysitting; (5) typical childhood activities; (6) food; (7) tobacco products; (8) alcohol; (9) gambling; (10) expenses of family members; (11) any illegal activity; or (12) any other item or service that is not an appropriate expense related to the individual’s disability as determined by the regional Individual and Family Grant Review Committee.
3. An individual or his or her family who requests grant funding for equipment or home modifications that cost more than $2,500 shall obtain three comparable bids for the equipment or home modifications. The individual or family shall submit copies of the bids to DDS. All required documentation must be provided at the time of grant submission. The lowest bid shall be selected unless a written justification for the selection of a higher bid is submitted to and approved by the Individual and Family Grant Manager.
	1. An Individual and Family Grant request shall be submitted and approved by the Individual and Family Grant Review Committee prior to any expenditure for which individual and family grant funding is anticipated to be used.
	2. Any expenditure that pre-dates an Individual and Family Grant request is not allowable. Exceptions may be made for emergency situations, but any expenditure that pre-dates the request is required to: (1) relate to the immediate health and safety needs of the individual and (2) be approved by the Regional Director or the Regional Director’s designee or the Commissioner or the Commissioner’s designee.
	3. Individual and Family Support Grant payments are governmental disbursements in the interest of the general welfare to meet an eligible individual’s assessed needs related to his or her disability and are, therefore, not taxable.
	4. In a case where grant funds are used for a purpose other than what the funds were approved for, the Individual and Family Grant Manager, the Regional Director, the Commissioner, or their designees may grant approval of the alternative use of the grant funds, after the fact, at the written request of the individual and his or her family that includes a justification for the alternative use of the grant funds and appropriate documentation of the expenditure of all funds.
	5. In any case where grants funds have been requested by an individual or his or her family for an expense, which is normally disallowed, only the Commissioner or the Commissioner’s designee may approve of such request.
4. **Grant Application, Authorization and Award Process**

**Application Process**

An individual’s case manager, Help Line staff, or other appropriate DDS staff shall provide an individual or his or her family with information about Individual and Family Grants and the eligibility criteria for these grants. The individual’s case manager or the case manager’s designee, on behalf of the individual, may apply for a grant at any time using the Individual and Family Grant Request and Need Checklist. The case manager also shall submit any other supporting documentation to assist in the evaluation of the grant request as it relates to the individual’s disability.

**Approval Process**

The Individual and Family Grant Review Committee shall review all grant applications based upon the criteria outlined in this procedure and make a determination if a grant shall be awarded.

**Award Process**

The Individual and Family Grant Program Manager or his or her designee shall notify an individual or family of grant approval and shall ensure that an Individual and Family Agreement and Authorization form is completed and signed.

1. The Individual and Family Grant Agreement and Authorization formshall specify the total amount of the grant, specific purpose of the grant, and the requirements for expenditure reporting for an individual or family.
2. The Individual and Family Grant Agreement and Authorization form shall be signed by the designated payee and sent to the Individual and Family Grant Program Manager or his or her designee for final approval. A new Individual and Family Grant Agreement and Authorization form shall be signed by the designated payee for each grant.
3. For Individual and Family Grants approved for invoicing, the designated payee shall receive the Individual and Family Grant Outcome form. This form shall include a description of approved purchases, special conditions, as applicable, and the requirements for expenditure reporting for a payee. This form shall be reviewed, signed, dated, and returned to the Individual and Family Grant Program Manager or his or her designee for each grant.
4. All approved grant requests shall be forwarded by the Individual and Family Grant Program Manager or his or her designee to the Central Office business office for payment processing.
5. Individual and Family Grants are only to be used for the purpose indicated on the Individual and Family Grant Agreement and Authorization form and the Individual and Family Grant Review Outcome form. If an individual or his or her payee uses the funds for purposes other than those indicated on the Individual and Family Grant Review Outcome form, the individual or his or her payee shall be responsible for paying those funds back to DDS.
6. Any change in use of grant funds is required to be approved in writing by the Individual and Family Grant Program Manager prior to their expenditure.
7. **Expenditure Reporting**
	1. If a DDS Individual and Family Grant is being used for Respite, Personal Support, or Individualized Home Supports, the individual or family shall submit to the Individual and Family Grant Manager or his or her designee a signed Individual and Family Grant Expenditure Report form and a detailed DDS Individual and Family Grant Provider Payment Log for each authorized grant, prior to the end of the current fiscal year, but not later than September 30th of the next fiscal year. All hours provided shall be recorded in the Payment Log in one quarter (¼) hour increments (i.e., 3 hours, 3.25 hours, 3.5 hours).
	2. If a DDS Individual and Family Grant is being used for any purpose other than Respite, Personal Support, or Individualized Home Supports, the individual or family shall submit to the Individual and Family Grant Manager or his or her designee a signed Individual and Family Grant Expenditure Report form including original receipts, proof of cancelled checks and proof of paid invoices, if any, for each authorized grant, prior to the end of the current fiscal year, but not later than September 30th of the next fiscal year.
	3. An individual or family shall maintain documentation supporting the expenditures of grant funds including copies of original receipts, proof of cancelled checks and proof of paid invoices, if any, and a detailed DDS Individual and Family Grant Provider Payment Log, if applicable, for three full years after the end of the fiscal year in which the Individual and Family Grant was received.
	4. The Individual and Family Grant Manager or his or her designee shall review and approve each Expenditure Report for accuracy and appropriateness. If an individual or family fails to submit an acceptable Individual and Family Grant Expenditure Report form with original receipts, proof of cancelled checks and proof of paid invoices, if any, and a DDS Individual and Family Grant Provider Payment Log, if applicable, or if the individual or family has used the grant funds for purposes other than those authorized, no additional Individual and Family Grant funds shall be authorized to the individual’s payee who used the grant funds inappropriately or did not meet the expenditure reporting requirements.  The designation of a new payee is required before a new grant may be awarded to the individual.
	5. The Individual and Family Grant Manager or his or her designee may approve as complete an Individual and Family Grant Expenditure Report as long as the individual or family have accounted for the expenditures of the grant funding within $25 of the total amount of the grant.
8. **Audit Process**

The DDS Audit Unit shall annually review a sample of the individual and family grants that have been issued.  The objective of these reviews is to assure compliance with the Individual and Family Grant policy and procedure. These audits also include reviewing the documentation provided by each individual and his or her payee, who are a part of the sample group, to ensure that it supports that the grant funds were used for the purposes approved by the Individual and Family Grant Review Committee.

1. **References**
2. **Section 17a-218(e) of the Connecticut General Statutes**

(e)The commissioner may, within available appropriations and in accordance with individualized plans of care, provide a full range of services to support persons with intellectual disability living with their families, caregivers, independently or in community-based residential facilities licensed pursuant to section 17a-227. Such services may include, but are not limited to, education and training programs, social services, counseling services, medical services, physical or occupational therapy, parent training, recreation and transportation. Such services may be provided by the department or be purchased from persons or private agencies through contracts pursuant to subsection (d) of section 4-70b or purchased directly by the person receiving services or the person's family or legal representative. The department may provide a direct subsidy to persons with intellectual disability or their families or legal representatives to be used for such purchases of such support services. The person receiving such subsidy or the person's family or legal representative shall provide a documented accounting of such subsidy to the department.

1. [Sample North Region Individual and Family Grant (1) Approval Letter, (2) Grant Agreement and Authorization & (3) Grant Expenditure Report](https://portal.ct.gov/-/media/DDS/DDS_Manual/IC3Samples/SAMPLE-Family-Grant-Packet-NR.pdf)
2. [Sample South Region Individual and Family Grant (1) Approval Letter, (2) Grant Agreement and Authorization & (3) Grant Expenditure Report](https://portal.ct.gov/-/media/DDS/DDS_Manual/IC3Samples/SAMPLE-Family-Grant-Packet-SR.pdf)
3. [Sample West Region Individual and Family Grant (1) Approval Letter, (2) Grant Agreement and Authorization & (3) Grant Expenditure Report](https://portal.ct.gov/-/media/DDS/DDS_Manual/IC3Samples/SAMPLE-Family-Grant-Packet-WR.pdf)
4. [Sample North Region Individual and Family Grant Outcome Form](https://portal.ct.gov/-/media/DDS/DDS_Manual/IC3Samples/SAMPLE-Family-Grant-vendor-outcome-form-NR.pdf)
5. [Sample South Region Individual and Family Grant Outcome Form](https://portal.ct.gov/-/media/DDS/DDS_Manual/IC3Samples/SAMPLE-Family%20Grant-vendor-outcome-form-SR.pdf)
6. [Sample West Region Individual and Family Grant Outcome Form](https://portal.ct.gov/-/media/DDS/DDS_Manual/IC3Samples/SAMPLE-Family%20Grant-vendor-outcome-form-WR.pdf)
7. **Attachments**

I.C.3.PR.002 Attachment D [Individual and Family Grant Provider Payment Log](https://portal.ct.gov/-/media/DDS/DDS_Manual/IC3/IC3PR002_Attachment_D_Individual_and_Family_Grant_Provider_Payment_Log.docx?la=en)

I.C.3.PR.002 Attachment E [Individual and Family Grant Request & Need Checklist](https://portal.ct.gov/-/media/DDS/DDS_Manual/IC3/IC3PR002_Attachment_E_Individual_and_Family_Grant_Request_Need_Checklist.docx?la=en)