Individual Funds Management
PAR Conference
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Standards and Review

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Purpose

To provide a better understanding of ways to support individuals who need assistance with funds management through the assessment, Individual Service Plan (ISP) and service delivery systems.

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Why is Funds Management so important?

- Protects the individual from loss of funds/property
- Clear parameters for all team members
- Reduces the liability for the provider
- Reduces amount of time providers spend trying to reconcile accounts and receipts
- Minimizes the amount of time spent in internal and external investigations
- Establishes well defined expectations for support staff

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Misappropriation

"Misappropriation" means depriving, defrauding, or otherwise obtaining the real or personal property of an individual by any means prohibited by the Ohio Revised Code.

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Misappropriation

In 2010, there were 1,331 allegations

932 Substantiated Cases (70%)

23% Employees

4% Family

11% Others

50% Unknown

Per ITS data as of 6-1-11

What is being taken?

62% Cash

31% Property (TV, cell phones, food)

7% Medication Theft

Remaining 7%-Identity, Credit, Utilities

Trends

Number of Misappropriations is up 8% over last year

Number of Misappropriations where staff were involved is down from last year

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Causes /Contributing Factors

Trusted Employees, Family members, Payees have access to credit cards, bank cards, and personal information with little oversight

Individuals rely on family and/or caregivers to do the banking (Deposits / Withdrawals)

Money storage (Safes, lock boxes, and folders) aren’t secured or too many people have access

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Factors-continued

Burial accounts and life insurance deposits are handled by one person who may be taking money intended to pay these accounts

Social networking has increased and opportunities to be taken advantage on the web have also increased

Gift cards are purchased but are not tracked and often come up missing

Limited guidance available to the field – now available

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What steps can we take ?

Agency providers should have a policy that tells staff what they can and cannot do:

a)Staff shall not purchase items from individuals.

b)Staff shall not sell items to individuals.

c)Staff shall not borrow or use items belonging to individuals.

These practices protect all involved!

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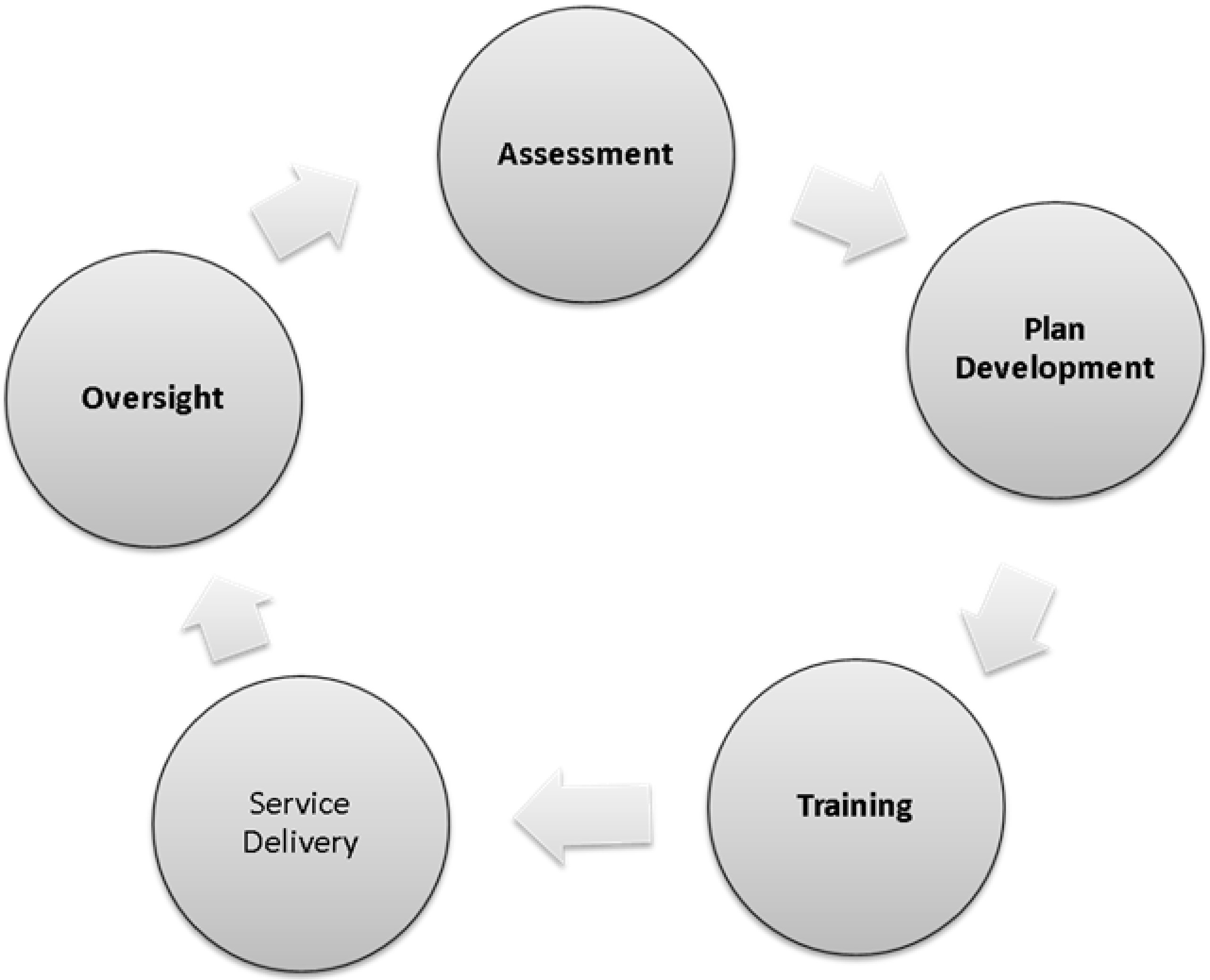
Supports



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Admissions/Starting Services Process

THE ROLE OF THE TEAM:

When it has been determined, through assessment that the provider will help the individual with handling his or her money and things, the team should identify the following and include in the ISP:

- **Identify who is responsible**
- **Identify the $ Limits only when the individual requires assistance**
- **Identify what receipts must be kept by the provider.**
- **Identify what portion of the responsibilities are to be handled by individual.**
- **The names and responsibilities of others who may be helping with management of the individual's things and/or money**

Goal of the Team Process

The goal of the team process is to develop a plan that:

- Meets the assessed needs of the individual
- The individual understands
- The provider can follow
- Ensures oversight of funds/belongings when the individual is unable to do so independently
- Allows for monitoring by the Service and Support Administrator and/or regulatory reviewers

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DODD Guidelines

- Stakeholder group met to develop guidelines to assist individuals, county boards, and providers when an individual is unable to independently handle their money or things.
- Admissions/Starting Services
- Service Delivery
- Discharge/Stopping Services
- Recommended Forms

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Admissions/Starting Services Process

- Decide if the individual needs insurance for their things and how it will be paid for.
- Decide if the individual would benefit from a free annual credit report, and
- When state money (start-up funds) is used to buy things, the plan should show who owns them.
- Identify a system for watching over the individual's things that are worth $50.00 or more through the use of an list or other type of tracking system which shows who owns it, if it is gotten rid of, and how much it's worth.

The responsibilities of the individual, the provider, the payee, and/or the guardian, regarding the individuals things and/or money should be clearly written in the plan.

Admissions/Starting Services Process

THE ROLE OF THE PROVIDER:

- Look at the plan to make sure that it clearly explains the provider's responsibilities
- Provide individual specific training to staff when the need has been written in the individual plan,
- Complete a initial starting balance of the individual's money, for which the provider is responsible
- Complete a list of the individuals things that are worth $50.00 or more
- Start using an Account Transaction Record (Department Recommended Form) Example is at the end of this presentation.

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Admissions/Starting Services Process

THE ROLE OF THE SELF ADVOCATE:

- Speak up about what help you want or do not want when it comes to your money and belongings
- Ask questions if you think something is not right
- Pick someone who will help you advocate for what you want.
- Make sure you agree to the plan that you sign
- Tell someone if someone takes your things or money or if anything is missing.

Service Delivery – Personal Things

When it has been decided, through assessment that the provider will be responsible for or assist the individual with management of his/her things the provider shall:

- Help make sure that each individual has enough personal clothing in good repair
- Help make sure that each individual has appropriate furniture
- Help make sure that each individual has appropriate household goods
- If the individual has needs in this area, report needs to the team in order to develop a plan to meet the need.

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Service Delivery – Personal Things

- Every year, keep an up-to-date list of the individual's things that cost more than $50.00 which includes a full description of the item (brand name, color, size, serial number, etc.).
- Help make sure that any item that cost more than $50.00 is added to the list when it’s bought.
- Throw away things, with the individual or guardian's ok, any item that is no longer in good repair or unsafe.
- Document the individual/guardian’s approval and list what you threw away.
- Records should be kept for seven (7) years.

Service Delivery - Money

When it has been decided, through assessment that the provider will be responsible for or assist the individual with management of money, the provider shall:

Make sure that:

- **It is understood that the individual’s money belongs to the individual so he/she can buy things they want.**
- **An individual does not have to use his or her money to purchase items that are supposed to be paid for other ways.**
- **An individual does not use his or her money to pay the difference between the costs of goods and services and the amount of payment received by the provider from insurance or Medicaid.**

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Service Delivery - Money

- Staff can’t borrow money from the individual, sell things to the individual, or buy things from the individual.
- One individual's money cannot be used to give money to another individual.
- The individuals money cannot be put together with the provider’s money.
- The individual has the right to manage his/her money unless otherwise specified in the ISP.
- When the plan indicates that the provider is responsible for managing the individual's money, that the individual can help as much as possible.

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Discharge/Stopping Services

THE ROLE OF THE PROVIDER:

Upon moving, ending services or getting a new provider, the provider shall do the following:

Notifications

a. A licensed facility must, in the event of discharge, follow the requirements of Ohio Administrative Code 5123:2-3-05.

b. A provider of services in an unlicensed setting must give the individual, guardian, and Service and Support Administrator 30 days notice to stop services.

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Discharge/Stopping Services

THE ROLE OF THE PROVIDER:

Upon moving, ending services or getting a new provider, the provider shall do the following

Personal Things

a. **Complete a final list of the individuals' things within 30 days of the end of services using the Department recommended form.**

b. **Make plans for the individual, guardian, Service and Support Administrator, or Responsible Agent to pick up the individuals' things within 30 days of ending services.**

c. **Make sure that the person picking up the individual's things signs the final list (One copy for the provider, one copy for the person picking up the things).**

Discharge/Stopping Services

THE ROLE OF THE PROVIDER:

Upon moving, ending services or getting a new provider, the provider shall do the following:

Personal Money

a. Release the individuals' money, taking out what is owed by the individual, at the time services end. If the individual ends services, the provider has 14 days from the date he/she is told to release funds.

b. Provide the individual or guardian with a final itemized statement of the individuals' money and left over personal money within 30 days of ending services.

Discharge/Stopping Services

THE ROLE OF THE SELF-ADVOCATE:

Upon moving, ending services or getting a new provider, the individual shall do the following:

1. **Inform the SSA of his/her choice to end services.**
2. **Work with the team to locate another provider.**
3. **Ask for all of your money and all records about your money.**
4. **Make sure that you get all of your belongings if you are moving.**

Death Process

THE ROLE OF THE RESPONSIBLE AGENT:

At the time of death, the Responsible Agent shall:

1. Tell the Department of Jobs and Family Services, if the individual received Medicaid, that the individual has passed away.

2. Make sure that any left over benefits are returned to the Department of Jobs and Family Services.

3. Contact the Probate Court or Legal Representative to decide any necessary legal action to be taken.

4. Make decisions regarding who gets the individuals' things.

5. Make decisions regarding who gets the individual's money (based on direction from Probate Court)

Death Process

THE ROLE OF THE PAYEE:

At the time of death, the Payee shall do the following (if there is no Payee, the Responsible Agent shall be responsible):

1. Tell Social Security that the individual has passed away.
2. Make sure that left over money is returned to the Social Security Administration.

THE ROLE OF THE PROVIDER:

At the time of death, the provider shall do the following:

Notifications

a. Tell the guardian, family, next of kin, Service and Support Administrator and/or responsible agent immediately (within 4 hours) of the individual's death.

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Death Process

THE ROLE OF THE PROVIDER:

At the time of death, the provider shall do the following:

Personal Things

a. Complete a final list of the individuals belongings within 14 days of death, using the Department Recommended form.

b. Make arrangements for the administrator of the estate, family members, or Responsible Agent to pick up the individuals' things within 30 days of death.

c. Make sure that the person obtaining the individual's things signs the final list (One copy for the provider and one copy for the person getting the things)

Death Process

THE ROLE OF THE PROVIDER:

d. Complete a final list of all medications within 24 hours

e.Unused medication must be thrown away within 7 days per the provider's disposal policy or returned to the pharmacy.

i. In the event that the medication is returned to the pharmacy, the provider must obtain a receipt from the pharmacy for the returned medications.

ii. If the medication is thrown away by the provider, documentation of the disposal must be kept and signed by the person throwing away the medication and one witness.

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Transition Record

MONTHLY INDIVIDUAL FUNDS TRANSACTION RECORD							
INDIVIDUAL'S NAME:					MONTH/YEAR:		
			Fund	Fund	Fund	Individual's	Staff
Date	Description of Transaction	Ref. No	Received	Disbursed	Balance	Signature	Signature
			Balance B/Fwd				

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Inventory Record

Purchase Date	Description of Item (Include brand, color, size, serial number)	Quantity	Number Deleted	Reason for Deletion	Inventory Balance	Signature of Staff

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Gift Card Record

INDIVIDUAL GIFT CARD ACCOUNT

INDIVIDUAL NAME: ______________________ MONTH/YEAR: ______________

Date	Description of Transaction	Ref. No	Gift Card Amount	Amount Disbursed	Gift Card Balance	Individual's Signature	Staff Signature

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Thank you!