

**FOCUS SAMPLE REVIEW CHECKLIST P.II-F h
 PROVIDER ASSISTED FINANCIAL SERVICES**

Agency/Area Program:	Reviewer Name:
Focus sample individual name/#:	Review Date:

BASED ON OBSERVATIONS/INTERVIEWS -- THE FOLLOWING IS PRESENT	YES/NO/NA – NOTES FROM OBSERVATIONS/INTERVIEWS
Individuals' Personal Funds and Property (404 NAC 4-005.05B-D)	
The temporary transfer of control of the individual's finances to the provider is documented in the individual's IPP. (404 NAC 4-005.05C)	
The IPP Team determined and documented the following: <ol style="list-style-type: none"> 1. The extent in which the individual can participate in management of their finances; 2. The individual's informed choice; 3. Rationale for the transfer of control; 4. The support plan that leads to returning control of the finances to the individual; and 5. The IPP team reviews the plan at least annually. (404 NAC 4-005.05C) 	

PROVIDER ASSISTED FINANCIAL SERVICES

BASED ON FILE REVIEW -- THE FOLLOWING IS PRESENT	YES/NO/NA – NOTES FROM FILE REVIEW
<p>The transfer of control of an individual’s financial resources:</p> <ol style="list-style-type: none"> 1. Must not be for a convenience of staff, or as a substitute for habilitation; 2. Must be temporary; 3. Must be based on the choice of the individual and the extent to which the individual can participate. 4. Must not be transferred to another entity and the individual must not be charged for the service. (404 NAC 4-005.05B) 	
<p>The provider must maintain a financial record for each individual for which they are responsible for handling the funds that includes:</p> <ol style="list-style-type: none"> 1. Documentation of <u>all</u> cash funds, savings, and checking accounts, deposits, and withdrawals; and 2. An individual ledger which provides a record of all funds received and disbursed and the <u>current balance</u>. (404 NAC 4-005.05D) 	
<p>The provider ensures that all record entries are dated, legible, and clearly identify the person making the entry. In the case of electronic records, signatures may be replaced by an approved, uniquely identifiable electronic equivalent. (404 NAC 4-013.02H)</p>	

PROVIDER ASSISTED FINANCIAL SERVICES

BASED ON FILE REVIEW -- THE FOLLOWING IS PRESENT	YES/NO/NA – NOTES FROM FILE REVIEW
<p>The provider must maintain a financial record for each individual for which they are responsible for handling the funds that includes:</p> <ol style="list-style-type: none"> 1. Provision of account balances and records of transactions to each individual or legal representative at least quarterly, unless otherwise requested; 2. Must ensure that all non-routine expenditures exceeding \$100 are reviewed and prior authorized by the individual or legal representative, and the IPP Team notified. (404 NAC 4-005.05D) 	
<p>When the provider is maintaining individuals' personal funds in a common trust, a separate accounting is maintained for each individual or for his/her interest in a common trust fund. (404 NAC 4-005.05D)</p>	