# FOCUS SAMPLE REVIEW CHECKLIST P.II-F h

# PROVIDER ASSISTED FINANCIAL SERVICES

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

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| BASED ON  **OBSERVATIONS/INTERVIEWS / FILE REVIEW--**  THE FOLLOWING IS PRESENT | YES/NO/NA – NOTES FROM **OBSERVATIONS/INTERVIEWS/FILE REVIEW** |
| **002.06 PARTICIPANTS’ PERSONAL FUNDS AND PROPERTY.** *The provider shall have written policies and procedures to protect the participant’s funds and property. The provider must:*  **(1)** Have a policy to address who is responsible for replacement or compensation when a participant’s personal items are damaged or missing;  **(2)** Not use the participant’s funds and personal property as a reward or punishment;  **(3)** Not assess the participant’s funds and personal property as payment for damages unless approved by the individual support planning team, and written consent is received from the participant to make the restitution;  **(4)** Not use the participant’s funds and personal property to purchase inventory or services for the provider; and  **(5)** Not allow the participant’s funds and personal property to be used by provider staff or subcontractors for their personal use. |  |
| **002.06(A) SUPPORT IN MANAGING FINANCIAL RESOURCES.** *When a participant does not have the skills necessary to manage his or her financial resources, the provider may, with the informed choice of the participant, offer services and supports that temporarily transfers some of the control of handling the participant’s financial resources to the provider.*  **002.06(A)(i)** *The transfer of control of a participant’s financial resources:*  **(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 participant and the extent to which the participant can participate; and  **(4)** Must not be transferred to another entity and the participant must not be charged for the service. |  |
| **002.06(A)(ii)** *The participant’s individual support planning team must determine and document in the individual support plan (ISP) the following regarding the temporary transfer of control of a participant’s finances to the provider:*  **(1)** The extent in which the participant can participate in management of his or her financial resources;  **(2)** The participant’s informed choice; and  **(3)** The rationale for the transfer of control. |  |
| **002.06(B) PROVIDER MANAGEMENT OF PARTICIPANTS’ FINANCES*.*** *If the provider is responsible for handling participants’ funds*:  **(i)** The provider must maintain a financial record for each participant that includes:  **(1)** Documentation of all 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 current balance;  **(ii)** The provider must provide account balances and records of transactions to each participant at least quarterly, unless otherwise requested;  **(iii)** Before the provider allows a non-routine expenditure exceeding $150, the participant must review and prior authorize it, as well as notify the participant’s individual support planning team;  **(iv)** The provider must have policies and procedures that outline how financial errors, overdrafts, late fees, and missing money will be handled when the provider is responsible for managing participants’ funds. The policies and procedures must include that:  **(1)** The provider is responsible for service charges and fees assessed due to staff errors;  **(2)** The provider must replace missing money promptly if missing money is due to staff error; and  **(3)** The provider is responsible for taking steps to correct a participant’s credit history when it is affected by provider staff actions in managing the participant’s finances; and  **(v)** When the provider is maintaining participants’ personal funds in a common trust, a separate accounting is maintained for each participant or for the participant’s interest in a common trust fund. |  |
| **006.02 ADMINISTRATIVE AND PARTICIPANT RECORD KEEPING REQUIREMENTS.** *The provider must keep administrative and participant records that:*  **(C)** 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. |  |