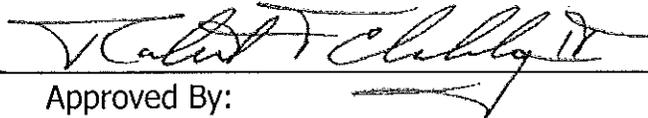


<b>Policy Title:</b>	<b>HANDLING and MANAGING INDIVIDUALS' MONEY</b>		
<b>Policy Number:</b>	3.006	<b>Version:</b>	3.0
		<b>Effective Date:</b>	01/01/2012

  
Approved By:

11/23/2011  
Date Approved

## Overview

**Description:** Assisting individuals to manage their own funds.

**Purpose/Rationale:** Properly recording money received, preparing deposits, and reporting and correcting cash receipt transactions are extremely important functions requiring strict controls and close management. This policy establishes the minimum requirements to ensure handling and recording cash, negotiable instruments, and monetary transactions are timely and in accordance with applicable laws and regulations. This policy defines the administration of an individual's monies to ensure proper management and safeguarding of the individual's funds.

**Applicability:** This policy applies to all State Operated Community Program (SOCP) employees directly or indirectly responsible for accepting, receiving, depositing, processing, reporting, and monitoring an individual's funds.

**Failure to Comply:** DHS-040-013 policy supersedes all previous cash receipting/depositing and other related policies and procedures issued by DHS divisions, sections, units, branches, or field offices that are not signature approved by the Deputy Director of Finance and/or the DHS Controller. Failure to comply with this policy and related procedures may result in disciplinary actions, up to and including dismissal. Poor record keeping can result in employee being held personally financially liable if convicted of violating any provision of OAR 411-325-0380. Violations may result in a civil penalty up to \$500 per day for each violation not to exceed \$6,000 for all violations for any licensed 24-hour residential home or facility within a 90-day period OAR 411-325-0460 (2)(a)(N).

## Policy

This policy establishes uniform accountability standards, strengthens cash receipting controls and provides for equitable and consistent interpretation and application in conformance to applicable laws, rules and regulations.

- a. State Operated Community Program (SOCP) will assure individuals manage their own funds unless the Individual Support Plan (ISP) documents/justifies limitations to self-management using the Financial Plan. Records of all funds will be maintained in chronological order.
- b. SOCP, as Representative Payee (RP), will designate the Site Manager to act on the individuals behalf to ensure the proper management and safeguarding of funds.
- c. Money dispersed to the individual requires a transaction slip which the individual and staff sign. If the client is unable to sign there must be a separation of duties with 2 separate staff signatures to designate receipt of money dispersed and received.
- d. Document all income of checks and cash.

**Procedure(s) that apply:**

- 3\_006\_01, Representative Payee
- 3\_006\_02, Bank Accounts
- 3\_006\_03, Transaction Slips
- 3\_006\_04, Income and Expenditures
- 3\_006\_05, Receipts
- 3\_006\_06, Bank Account Reconciliation
- 3\_006\_07, Moves with-in Program/or Exiting Program - Procedures for Client Funds

**Form(s) that apply:**

- Attachment A: DHS 4634 Personal Property Record (11/08)
- Attachment B: DHS 4568 Income and Expense Account Record (11/11)
- Attachment C: DHS 4578 Transaction Slip (4/08)
- Attachment D: DHS 4669 Representative Payee Record Form (04/11)
- DHS 0844 Receipting of Checks & Other Negotiable Instruments DHS-040-013 (01/09)

**Reference(s):**

- DHS-040-013 Receipting of Checks and Other Negotiable Instruments (10/08)
- DHS -040-010-02 Inappropriate Actions (07/08)
- OAM 10.20.00.PO Internal Control - Cash
- OAR 411-325-0380 Rights: Handling and Managing Individuals' Money
- OAR 411-340-170 (i) (A&B)

**Policy History:**

- |                       |                       |  |                     |
|-----------------------|-----------------------|--|---------------------|
| • <b>Version 1.0:</b> | • <b>Version 2.0:</b> | <b>Version 3.0:</b>  | <b>Version 4.0:</b> |
| - 07/01/2004          | - 07/01/2008          | 05/02/2011   |                     |
| - 06/01/2002          | - 02/27/2009          | 11/23/2011   |                     |
|                       |                       | <i>(contains updates to support DHS -040-013 – (10/2008)</i> |                     |

**Definition(s):**

- IEAR: Income and Expense Account Records
- ISP: Individual Support Plan
- RTR: Risk Tracking Record

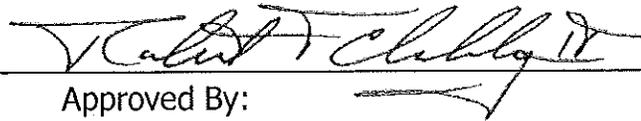
**Contact(s):**

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**Keywords:**

Individuals Money, Personal Property Records, Income and Expense Account Records, Transaction

<b>Procedure Title:</b>	<b>REPRESENTATIVE PAYEE</b>		
<b>Procedure Number:</b>	3.006.01	<b>Version:</b>	3.0
<b>Effective Date:</b>	01/01/2012		

  
Approved By: \_\_\_\_\_

11/23/2011  
Date Approved

**Procedure** (revised 05/17/12)

Step	Responsible Party	Action
1.	Site Manager and Representative Payee (RP)	<p>When an individual eligible to receive monthly benefits from Social Security (SSB/SSI), Veteran (VA) or Railroad (RR) requires assistance to manage his or her funds due to physical or mental limitations, the Social Security Administration (SSA), Veterans Administration or Railroad Board appoints an "interested party" to serve as the beneficiary's "Representative Payee" (RP). The individual's benefits are then paid in the RP's name on the beneficiary's behalf. The RP sees that the benefits are used for the beneficiary's personal care and well-being.</p> <p>To assure availability of funds, there will be two staff identified to have access to client accounts. ATM/Debit cards will not be obtained for any client bank accounts.</p> <p>The SSA, VA, or RRB will appoint SOCP as the RP unless the guardian requests other suitable arrangements. SOCP will designate the Site Manager to act on behalf of the SOCP and in cooperation with Central Office "client benefits liaison" to submit the required reports to the SSA, VA or RRB and to ensure proper management and safeguarding of the individual's funds.</p>

**Policy that applies:**

- 3.006, Handling and Managing Individual's Money
- DHS-040-013 Receipting of Checks and Other Negotiable Instruments (10/08)
- DHS -040-010-02 Inappropriate Actions (07/08)
- OAM 10.20.00.PO Internal Control - Cash
- OAR 411-325-0380 Rights: Handling and Managing Individuals' Money
- OAR 411-340-170 (i) (A&B)

**Procedure(s) that apply:**

- 3\_006\_01, Representative Payee
- 3\_006\_02, Bank Accounts
- 3\_006\_03, Transaction Slips

3\_006\_04, Income and Expenditures  
3\_006\_05, Receipts  
3\_006\_06, Bank Account Reconciliation  
3\_006\_07, Moves with-in Program/or Exiting Program - Procedures for Client Funds

**Form(s) that apply:**

Attachment A: DHS 4634 Personal Property Record (11/08)  
Attachment B: DHS 4568 Income and Expense Account Record (12/11)  
Attachment C: DHS 4578 Transaction Slip (4/12)  
Attachment D: DHS 4669 Representative Payee Reporting Form (01/12)  
DHS 4558 Disbursement of Weekly Money Form (4/12)  
DHS 4598 Shift Spending Log Form (2/17/12)  
DHS 4662 Acknowledgement of Money Received Form (3/12)  
DHS 4602 Client Exit\_Transfer of Funds (01/12)  
TOOL Approved Large Expenditure Log Form (05/12)  
TOOL Missing or no receipt itemization form (05/12)  
TOOL Rent & Service Contribution Worksheet (05/12)  
TOOL Monthly Reimbursement Form (05/12)

**Procedure History:**

- **Version 1.0:**
  - 07/01/2004
  - 06/01/2002
- **Version 2.0:**
  - 06/01/2007
- **Version 3.0:**
  - 05/02/2011
  - 11/23/2011

**Contact(s):**

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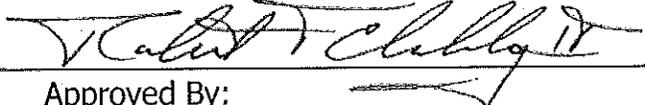
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**Keywords:**

Individual's Money  
Personal Property Records  
Income and Expense Account Records  
Transaction  
Social Security Benefits  
Supplemental Security Income  
Representative Payee  
Management /Safeguarding of funds

<b>Procedure Title:</b>	<b>BANK ACCOUNTS</b>		
<b>Procedure Number:</b>	3.006.02	<b>Version:</b>	3.0
<b>Effective Date:</b>	01/01/2012		

  
 Approved By: \_\_\_\_\_ Date Approved: 11/23/2011

**Procedure** revised 5/17/12

Step	Responsible Party	Action
1.	Site Manager or designee	Establish separate bank checking and/or savings accounts for each individual as the ISP team identifies the need.
2.	Site Manager or designee	For individuals that SOCP is not the rep payee (this would be a parent or guardian), establish a checking account if funds given to the individual are high enough to warrant this.
3.	Site Manager or designee	Maintain separate account ledger for each bank account. This will include ARC accounts, "special" SS accounts and burial accounts.
4.	Site Manager or designee	Individuals who have an appointed designee retain ownership interest but the account title will not permit him or her to have direct access to funds. These accounts will be titled "State Operated Community Program for benefit of (FBO) (client's name)" only. <b>NOTE: In some manner, Checks MUST be printed to indicate State Operated Community Program as representative payee with individuals name following.</b>

**Policy that applies:**

- 3.006, Handling and Managing Individuals' Money
- DHS-040-013 Receipting of Checks and Other Negotiable Instruments (10/08)
- DHS -040-010-02 Inappropriate Actions (07/08)
- OAM 10.20.00.PO Internal Control - Cash
- OAR 411-325-0380 Rights: Handling and Managing Individuals' Money
- OAR 411-340-170 (i) (A&B)

**Procedure(s) that apply:**

- 3\_006\_01, Representative Payee
- 3\_006\_02, Bank Accounts
- 3\_006\_03, Transaction Slips
- 3\_006\_04, Income and Expenditures
- 3\_006\_05, Receipts

3\_006\_06, Bank Account Reconciliation

3\_006\_07, Moves with-in Program/or Exiting Program - Procedures for Client Funds

**Form(s) that apply:**

Attachment A: DHS 4634 Personal Property Record (11/08)

Attachment B: DHS 4568 Income and Expense Account Record (12/11)

Attachment C: DHS 4578 Transaction Slip (4/12)

Attachment D: DHS 4669 Representative Payee Reporting Form (01/12)

DHS 4558 Disbursement of Weekly Money Form (4/12)

DHS 4598 Shift Spending Log Form (2/17/12)

DHS 4662 Acknowledgement of Money Received Form (3/12)

DHS 4602 Client Exit\_Transfer of Funds (01/12)

TOOL Approved Large Expenditure Log Form (05/12)

TOOL Missing or no receipt itemization form (05/12)

TOOL Rent & Service Contribution Worksheet (05/12)

TOOL Monthly Reimbursement Form (05/12)

**Procedure History:**

- **Version 1.0:**
  - 07/01/2004
  - 06/01/2002
- **Version 2.0:**
  - 06/01/2007
- **Version 3.0:**
  - 05/02/2011
  - 11/23/2011

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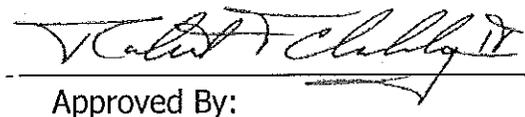
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**Keywords:**

Individual Support Plan, Representative Payee, Bank accounts, Personal allowance, Funds Beneficiary

<b>Procedure Title:</b>	<b>TRANSACTION SLIPS</b>		
<b>Procedure Number:</b>	3.006.03	<b>Version:</b>	3.0
<b>Effective Date:</b>	01/01/2012		

  
Approved By:

11/23/2011  
Date Approved

**Procedure** revised 05/17/12

Step	Responsible Party	Action
1.	Site Manager or designee	<i>Transaction slips</i> form DHS 4578 (4/12) will be logged and numbered sequentially starting at the beginning of each calendar year (2 digit year - followed by ###.) For example, the year 2012 would be 12-001, 12-002, etc. This number will be documented on the "Income and Expense Account Record" (IEAR) and on the corresponding receipt, deposit slip, copy of check (not carbon duplicate of check), etc. Automatic or direct deposits do not require a transaction slip. <b>All checks require a copy of the check before cashing, in addition to the deposit slip.</b> Individual receipts require separate transaction slips.
2.	Site Manager or designee	Receipts, copy of checks, voided checks, deposit slips, etc. will be attached unfolded to the back of the corresponding transaction slip. If necessary to fold these documents, folding will be done after attaching.
3.	Site Manager or designee	Money dispersed directly to the individual requires a <i>Weekly Spending</i> form DHS 4558 (4/12) slip which the individual and staff (or two staff if the individual is unable to sign) have signed as receipt of money dispersed and received. This will be used as a receipt and attached to the transaction slip

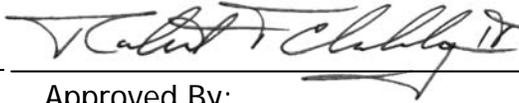
**Policy that applies:**

3.006, Handling and Managing Individuals' Money  
 DHS-040-013 Receipting of Checks and Other Negotiable Instruments (10/08)  
 DHS -040-010-02 Inappropriate Actions (07/08)  
 OAM 10.20.00.PO Internal Control - Cash  
 OAR 411-325-0380 Rights: Handling and Managing Individuals' Money  
 OAR 411-340-170 (i) (A&B)

**Procedure(s) that apply:**

3\_006\_01, Representative Payee  
 3\_006\_02, Bank Accounts

<b>Procedure Title:</b>	<b>INCOME AND EXPENDITURES</b>		
<b>Procedure Number:</b>	3.006.04	<b>Version:</b>	4.0
<b>Effective Date:</b>	01/01/2012		



Approved By:

11/23/2011

Date Approved

**Procedure**

Step	Responsible Party	Action
1.	Site Manager or designee	When checks are received at the house and will be there past banking hours for that day, they will be documented in "checks on hand" column on the <b>4568 Income and Expense Account Record (IEAR)</b> . Cash will be documented on the <b>4568 IEAR</b> at the time received. Review checks for pre/post date, sign, back "FOR DEPOSIT ONLY" and place in the individual's locked cash box until cashed or deposited into a bank account. <i>All client checks received require a copy of the check before cashing, in addition to the deposit slip.</i> Checks will be cashed or deposited within 5 working days of receipt.
2.	Site Manager or designee	Auto deposits – ledger balance: client benefits funds that are auto deposited into checking accounts are to be added to the 4568 IEAR within 3 working days of the deposit and prior to bills being paid or cash withdrawn. <b>NOTE:</b> Monthly benefit checks are received on or before the 1 <sup>st</sup> and 3 <sup>rd</sup> of each month. At times, Social Security reviews benefits and issues an additional mid-month check. <i>It may be necessary to make frequent checks for additional deposits.</i>
3.	Site Manager or designee	Maintain maximum \$60.00 cash in an individual's cash box unless expenditures requiring more cash are expected within 7 days. Ongoing or frequent requirements for more than \$60.00 cash on hand will be outlined in the individual's Financial Plan. Approval for large purchases will be logged on the <b>4607 Approved Large Expenditure Log</b> behind the <b>4568 IEAR</b> .
4.	SOCP Central Administration staff	Random reviews of client finances will be completed by a third party at least annually. A completed report will be given to the Site Manager, Program Manager and the SOCP Director for follow-up as needed. During this process client financial records may be taken out of the house to Central Administration office.

5.	All staff and Site Manager	<p>Site Manager or money designee will set client finances up according to their weekly needs, i.e. weekly spending, outings or personal purchases. Recipient will sign for money at the time received on 4662 Acknowledgement of Money Disbursed form, attached to the money envelope. Leave signed slip, purchases, (varies by house). This form is kept until all monies and receipts are accounted for.</p> <p>This money is logged on the <b>4598 Shift Spending Log</b> if placed in the client's money book/pouch.</p> <p>Recipient of monies is responsible for all monies, receipts, and item(s) purchased.</p> <p>For weekly spending <b>4558 Disbursement of Weekly Money</b> form will be placed with the weekly spending. Two (2) people will need to sign the form as the money is given out, either client and staff or 2 staff. This money is logged on the <b>4598 Shift Spending Log</b>.</p> <ul style="list-style-type: none"> <li>• <u>At least one time each shift</u>, two staff will count the money available for spending and document/log purchases during that shift, using the <b>4598 Shift Spending Log</b>.</li> </ul> <p>Site Manager will review/verify <b>4598 Shift Spending Log</b> for accuracy and completeness a minimum of one time weekly on a separate line. Logs will be kept in the client financial book for 3 months and then destroyed.</p>
6.	Site Manager or designee	The <b>4568 IEAR</b> will clearly distinguish between income and expenditures and the balance will be the running difference between income and expenses. <b>4568 IEAR</b> should reflect automatic deposits and their deposit date.
7.	Site Manager or designee	The first entry on subsequent <b>4568 IEAR</b> pages will document the date, balance forward, and all the balance amounts from the previous page.
8.	Site Manager or designee	Cash activity records will be maintained separately from bank activity records.
9.	Site Manager or designee	Room and board, service contributions, and other monies paid to the program will be paid by check with individual amounts identified on the transaction slip. A copy of the check will be attached to the transaction slip.

### Policy that applies:

3.006, Handling and Managing Individuals' Money  
DHS-040-013 Receipting of Checks and Other Negotiable Instruments (10/08)  
DHS -040-010-02 Inappropriate Actions (07/08)  
OAM 10.20.00.PO Internal Control - Cash  
OAR 411-325-0380 Rights: Handling and Managing Individuals' Money  
OAR 411-340-170 (i) (A&B)

## Procedure(s) that apply:

3\_006\_01, Representative Payee  
3\_006\_02, Bank Accounts  
3\_006\_03, Transaction Slips  
3\_006\_04, Income and Expenditures  
3\_006\_05, Receipts  
3\_006\_06, Bank Account Reconciliation  
3\_006\_07, Moves with-in Program/or Exiting Program - Procedures for Client Funds

## Form(s) that apply:

Attachment A: DHS 4634 Client Personal Property Record – 10/18/12  
Attachment B: DHS 4568 Income and Expense Account Record – 11/01/12  
Attachment C: DHS 4578 Transaction Slip – 10/01/12  
DHS 4669 Representative Payee Reporting form - 01/01/12  
DHS 4558 Disbursement of Weekly Money form – 10/18/12  
DHS 4598 Shift Spending Log - 12/01/12  
DHS 4662 Acknowledgement of Money Received form – 03/01/12  
DHS 4607 Approved Large Expenditure form – 08/01/12  
DHS 4683 Request to Claim Medical Expense Deduction Worksheet - 01/18/12  
DHS 4684 Monthly Reimbursement Form – 08/01/12  
DHS 4685 Missing or no receipt itemization form - 08/12

## Procedure History:

<b>Version 1.0:</b>	<b>Version 2.0:</b>	<b>Version 3.0:</b>	<b>Version 4.0:</b>
06/01/2002 - 07/01/2004	06/01/2007 06/21/2010	05/02/2011 11/23/2011	12/06/12

## Contact(s):

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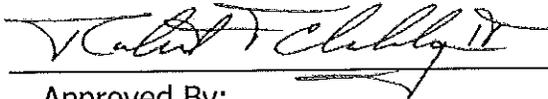
**Email:** Subject line - SOCP Policy [elaine.m.stauffer@state.or.us](mailto:elaine.m.stauffer@state.or.us)

## Keywords:

IEAR, Income and expenditures, Dispersed monies, Deposited monies, Payroll entries, Cash activity records, Bank activity records, Transaction



<b>Procedure Title:</b>	<b>RECEIPTS</b>		
<b>Procedure Number:</b>	3.006.05	<b>Version:</b>	3.0
<b>Effective Date:</b>	01/01/2012		

  
Approved By:

11/23/2011  
Date Approved

**Procedure** revised 05/17/12

Step	Responsible Party	Action
1.	All staff	All purchases require a receipt and require item(s) purchased be compared to the receipt by a second staff. Both staff will then sign the receipt. For missing receipts or vendors that do not provide receipts the TOOL MISSING or NO RECEIPT ITEMIZATION FORM will be used, signed by 2 staff and attached to the Transaction Slip as a receipt.
2.	Site Manager or Designee	A <i>Weekly Spending</i> slip DHS 4558 (4/12) signed by the individual and a staff (or two staff) will be the receipt for any money dispersed directly to the individual, unless determined otherwise by the ISP team on the financial plan.

**Policy that applies:**

- 3.006, Handling and Managing Individuals' Money
- DHS-040-013 Receipting of Checks and Other Negotiable Instruments (10/08)
- DHS -040-010-02 Inappropriate Actions (07/08)
- OAM 10.20.00.PO Internal Control - Cash
- OAR 411-325-0380 Rights: Handling and Managing Individuals' Money
- OAR 411-340-170 (i) (A&B)

**Procedure(s) that apply:**

- |                                   |  |
|-----------------------------------|--|
| 3_006_01, Representative Payee    | 3_006_05, Receipts   |
| 3_006_02, Bank Accounts           | 3_006_06, Bank Account Reconciliation  |
| 3_006_03, Transaction Slips       | 3_006_07, Moves with-in Program/or Exiting Program - Procedures for Client Funds |
| 3_006_04, Income and Expenditures |  |

**Form(s) that apply:**

- Attachment A: DHS 4634 Personal Property Record (11/08)
- Attachment B: DHS 4568 Income and Expense Account Record (12/11)
- Attachment C: DHS 4578 Transaction Slip (4/12)
- Attachment D: DHS 4669 Representative Payee Reporting Form (01/12)
- DHS 4558 Disbursement of Weekly Money Form (4/12)
- DHS 4598 Shift Spending Log Form (2/17/12)
- DHS 4662 Acknowledgement of Money Received Form (3/12)
- DHS 4602 Client Exit\_Transfer of Funds (01/12)
- TOOL Approved Large Expenditure Log Form (05/12)
- TOOL Missing or no receipt itemization form (05/12)
- TOOL Rent & Service Contribution Worksheet (05/12)

**Procedure History:**

- **Version 1.0:**
  - 06/01/2002
  - 07/01/2004
- **Version 2.0:**
  - 06/01/2007
  -
- **Version 3.0:**
  - 05/02/2011
  - 11/23/2011

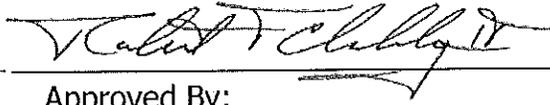
**Contact(s):**

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**Keywords:** Dispersed monies, transaction slip, expenditures

<b>Procedure Title:</b>	<b>BANK ACCOUNT RECONCILIATION</b>		
<b>Procedure Number:</b>	3.006.06	<b>Version:</b>	3.0
<b>Effective Date:</b>	01/01/2012		



Approved By:

11/23/2011

Date Approved

**Procedure** revised 05/17/12

Step	Responsible Party	Action
1.	Site Manager or designee	SOCP will assure individuals manage their own funds unless the Individual Service Plan (ISP) documents/justifies limitations to self-management using the Financial Plan. The ISP Financial Plan will document what personal property of the individual will be put on the Personal Property Record (Attachment A). This will be determined by the significance of the item to the individual or the monetary value. To assure continued eligibility of unearned benefits, each individual's total usable assets will be maintained under \$2,000.00 with ISP identified spend-downs occurring at \$1,500.00. Spend downs need approval by the client's designated ISP team in person, in writing or by phone. Use tool Approved Large Expenditure to document date, amount, how approved, item(s) to be purchased and dated purchased. Tool will be kept with client financial plan and filed annually with financial records.
2.	Site Manager or designee	Individuals requiring support with management of funds will have an <b>electronic/interactive</b> DHS 4568 Income and Expense Account Records (IEAR) (Attachment B) excel form maintained by SOCP. The records will be maintained in chronological order with entries documented as both date entered and date of receipt.
3.	Site Manager or designee	Auto deposits – ledger balance: client benefit funds that are auto deposited into checking accounts are to be added to the IEAR within 3 working days of the deposit and prior to bills being paid or cash withdrawn. <b>NOTE:</b> Monthly benefit checks are received on or before the 1 <sup>st</sup> and 3 <sup>rd</sup> of each month. Unless you have on-line banking, it may be necessary to make frequent checks for additional deposits.
4.	Site Manager or designee	Reconcile the monthly bank statement of deposits and withdrawals to the deposit and withdrawal entries on the IEAR within 7 days of receipt. Document the date of accuracy and the signature of the staff responsible for the reconciliation of the records on the

		bank statement.
5.	Site Manager and designee	Site Manager and designee will balance IEAR with cash box a minimum of every 30 days for accuracy. Verify the transaction and receipts match the IEAR and the balance is correct. Make an electronic entry noting verification of reconciliation. The Site Manager and financial designee making IEAR entries MUST sign the original ledger.
6.	Site Manager or designee	Unresolved discrepancies will be brought to the attention of the Program Manager within 2 working days and an Incident Report (or GER-Therap) will be generated.
7.	Site Manager or Program Manger	Notify Service Coordinator and guardian within 2 working days should funds appear to have been stolen or mismanaged. Report to OIT immediately.
8.	Program Manager	Submit to the Central Business Office to reimburse individual any funds that are missing due to theft or mismanagement on the part of any staff
9.	SOCP Business Office	SOCP Central Business Office will determine method of payment and request reimbursement be made within 10 working days.

**Policy that applies:**

3.006, Handling and Managing Individuals' Money  
DHS-040-013 Receipting of Checks and Other Negotiable Instruments (10/08)  
DHS -040-010-02 Inappropriate Actions (07/08)  
OAM 10.20.00.PO Internal Control - Cash  
OAR 411-325-0380 Rights: Handling and Managing Individuals' Money  
OAR 411-340-170 (i) (A&B)

**Procedure(s) that apply:**

3_006_01, Representative Payee	3_006_05, Receipts
3_006_02, Bank Accounts	3_006_06, Bank Account Reconciliation
3_006_03, Transaction Slips	3_006_07, Moves with-in Program/or Exiting Program - Procedures for Client Funds
3_006_04, Income and Expenditures	

**Form(s) that apply:**

Attachment A: DHS 4634 Personal Property Record (11/08)  
Attachment B: DHS 4568 Income and Expense Account Record (12/11)  
Attachment C: DHS 4578 Transaction Slip (4/12)  
Attachment D: DHS 4669 Representative Payee Reporting Form (01/12)  
DHS 4558 Disbursement of Weekly Money Form (4/12)  
DHS 4598 Shift Spending Log Form (2/17/12)  
DHS 4662 Acknowledgement of Money Received Form (3/12)  
DHS 4602 Client Exit\_Transfer of Funds (01/12)  
TOOL Approved Large Expenditure Log Form (05/12)  
TOOL Missing or no receipt itemization form (05/12)  
TOOL Rent & Service Contribution Worksheet (05/12)

**Procedure History:**

- **Version 1.0:**
  - 06/01/2002
  - 07/01/2004
- **Version 2.0:**
  - 06/01/2007
  -
- **Version 3.0:**
  - 05/02/2011
  - 11/23/2011
- **Version 4.0**
  - 
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**Contact(s):**

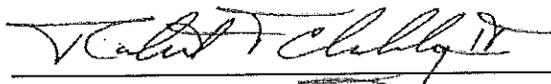
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**Keywords:**

Reconciliation, account, IEAR, Financial Plan, assets, monies

<b>Procedure Title:</b>	<b>Moves Within Program or Exiting Program</b>		
	<b>Client Fund Procedures</b>		
<b>Procedure Number:</b>	3.006.07	<b>Version:</b>	2.0 <b>Effective Date:</b> 01/01/2012

  
Approved By:

11/23/2011  
Date Approved

Upon the end-of-life or end-of-residency of an individual in the State Operated Community Program (SOCP) the following procedures and form to allow notification to Social Security of clients location for the proper processing of the individual(s)' remaining funds, payment of outstanding bills, transitional funds to the new residence and payment to Social Security.

Social Security wants "only" Social Security funds returned (SSA, SSB, SSI). Some clients in the program receive Veteran and Railroad benefits.

The following guidelines determine the amount new providers receive and procedures for returning funds to Social Security.

**Procedure** (revised 05/17/12)

Step	Responsible Party	Action
1.	Exit house Site Manager or Designee	<p>Checking and savings account will remain open for a minimum of 30 days and a maximum of 45 days after individual exits SOCP, to insure receipt of automatic deposits and guarantee funds for outstanding bills. <b>THESE FUNDS MUST BE RETURNED TO SOCIAL SECURITY NOT TO THE NEW PROVIDER.</b></p> <p>Send the new provider a check or money order to cover the rent for the remainder of the month and some spending money (depending on the balance.)</p> <p><b>Individual(s) with less than \$500.00</b> If the individual works – deduct 1 paycheck from the total balance for the spending money.</p> <p><b>Individual(s) with more than \$500.00</b> If the individual works – deduct 2 paychecks from the total balance for the spending money.</p> <p>Received a signed receipt from the new provider. Use Transfer of Funds form DHS 4602 (7/11) Provide forwarding address to "client payroll staff."</p> <ul style="list-style-type: none"> <li>State Operated Vocational Services (SOVS) checks received after exit will be sent to the new address.</li> </ul>
2.	Site Manager or designee	<p>Partial monthly rents will be prorated for SOCP payment and payment to the new residence.</p> <p>The "Monthly Rate" changes each year. To prorate the rent: Divide the "Monthly Rate" by the number of days in the month</p>

		<p>for the "Daily Rate."</p> <p><i>Example: Client exits on the 3rd and sleeps at new residence on the 3rd. SOCP is paid for the 2 days at the daily rate and provides a money order to new provider prorating the rest of the month and receiving a receipt for the payment.</i></p> <p><b>When client moves within the SOCP they can pay the entire rent as it all goes for SOCP. If it is not paid be sure the receiving house knows they need to pay it.</b></p>
3.	Site Manager or designee	<p><b>After 30 days</b> for external transfers / <b>30+ if deceased:</b></p> <p>a) Will coordinate the closure of current account. Obtain a money order payable to the "Social Security Administration." <i>DO NOT send directly to Social Security.</i></p> <p>b) Send or deliver the check to the "Social Security liaison" (Central Office Administrative Staff) to be processed and forwarded to Social Security.</p> <p>c) Deceased clients' funds: Contact the Social Security liaison for appropriate distribution. They will have received a letter for the proper disposition of benefits.</p>
4.	Site Manager or designee	<p><b>SOCP Individual/account signer changes</b> (Interagency Client Moves)</p> <p>a) Will coordinate the closure of current account and opening of a new account. Checking and savings accounts <b>MUST</b> remain open a minimum 30 days after the interagency client move SOCP, to insure receipt of automatic deposits and guarantee funds for outstanding bills.</p> <p>b) Notifies "client benefits liaison" (Central Office Administrative Staff) of new account number.</p>
5.	"Client Benefits Liaison" (Central Office Administrative Staff)	<p><b>SOCP Individual/account signer changes</b> (Interagency Client Moves)</p> <p>a) Write a letter to the bank when needed.</p> <p>b) Provides the address change and the new banking account number to Social Security, VA, or RRB for direct deposits.</p> <p>c) Any updates, new account numbers and/or changes of address have to be submitted to the Social Security, Veterans, and Railroad main offices to assure the proper processing of the direct deposits.</p>

**Policy that applies:**

3.006, Handling and Managing Individuals' Money  
DHS-040-013 Receipting of Checks and Other Negotiable Instruments (10/08)  
DHS -040-010-02 Inappropriate Actions (07/08)  
OAM 10.20.00.PO Internal Control - Cash  
OAR 411-325-0380 Rights: Handling and Managing Individuals' Money  
OAR 411-340-170 (i) (A&B)

### **Procedure(s) that apply:**

3\_006\_01, Representative Payee  
3\_006\_02, Bank Accounts  
3\_006\_03, Transaction Slips  
3\_006\_04, Income and Expenditures  
3\_006\_05, Receipts  
3\_006\_06, Bank Account Reconciliation  
3\_006\_07, Moves with-in Program/or Exiting Program - Procedures for Client Funds

### **Form(s) that apply:**

Attachment A: DHS 4634 Personal Property Record (11/08)  
Attachment B: DHS 4568 Income and Expense Account Record (12/11)  
Attachment C: DHS 4578 Transaction Slip (4/12)  
Attachment D: DHS 4669 Representative Payee Reporting Form (01/12)  
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DHS 4662 Acknowledgement of Money Received Form (3/12)  
DHS 4602 Client Exit\_Transfer of Funds (01/12)  
TOOL Approved Large Expenditure Log Form (05/12)  
TOOL Missing or no receipt itemization form (05/12)  
TOOL Rent & Service Contribution Worksheet (05/12)  
TOOL Monthly Reimbursement Form (05/12)

### **Procedure History:**

- **Version 1.0:**
  - 02/27/09
  -
- **Version 2.0:**
  - 05/02/2011
  - 11/23/2011

### **Contact(s):**

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### **Keywords:**

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## State Operated Community Program

■ Check the “Forms Server” for the most current version as forms are updated regularly.

### 3.006 Rights: Handling & Managing Individuals’ Money (forms)

Attach	DHS #	Name:	Date	Mandatory/Tool
A	4634C	Client Personal Property Record	10/18/12	Mandatory
B	4568	Income and Expense Record (IEAR – excel)	11/01/12	Mandatory
C	4578	Transaction Slip	10/01/12	Mandatory
DHS	4669	Representative Payee Record	01/01/12	Mandatory
DHS	4598	Shift Spending Log	12/01/12	Mandatory
DHS	0844	Receipting of Checks & Other Negotiable Instruments	01/09	
DHS	4558	Disbursement of Weekly Money	10/18/12	TOOL
SDS	4683	Request to Claim Medical Expense Deductions Worksheet	01/18/12	
SDS	4683i	Rent & Service Contributions (Instructions)	2012	
SDS	4684	Monthly Reimbursement Form	08/01/12	
DHS	4662	Acknowledgement of Money Received	03/01/12	Also 2.011
SDS	4607	Approved Large Expenditure form NEW	08/01/12	
DHS	4602	Client Exit_Transfer of Funds NEW	2012	
SDS	4685	Missing or No Receipt Itemization form NEW	08/12	
	MEMO	07/20/09 DWSS Clients Rights Policy 100-002	3.003	3.005
	FORM	Out-of-State travel form DHS 1293	2001	Client outing 4628