

Title 17 - Regional Center

Guidelines for Personal and Incidental Funds

ITEMS TO BE PROVIDED BY FACILITY

Bed Linens
 Birthday Party Supplies (Basic)
 Comb
 Dental Floss
 Denture Cream
 Deodorant
 First Aid Medications
 Furniture
 Hair Brush
 Hair Conditioner/Crème Rinse
 Laundry
 Local Phone Calls
 Mouthwash
 Postage (Normal/Necessary)
 Razor (if IPP Indicates Consumer Ability)
 Razor Refills
 Sanitary Napkins/Tampons
 Sanitizer (Hand)
 Shampoo
 Shaving Cream
 Shoe Laces/Polish
 Soap for Hands/Bathing (Non-medicated)
 Hair Care Items (Mousse/Gel/Hair Spray)
 Stationary/Envelopes
 Toilet/Tissue Paper
 Toothpaste/Toothbrush
 Towels/Washcloths
 Transportation (as per Placement Agreement)

PERSONAL AND INCIDENTAL ITEMS

Barber/Beauty Shop Services
 Batteries
 Bicycles/Exercise Equipment
 Body Powder
 Burial Plans
 Camp Fees
 Cell Phone
 Cigarettes
 Clothing
 Community Experience (Movies/Zoo/Disneyland)
 Cosmetics
 Dental Costs (Not Covered by Insurance)
 Dental Insurance
 Douche (Non-prescription)
 Drugs (Non-prescription/Prescription not covered by Insurance)
 Dry Cleaning/Alterations/Mending
 Electric Shavers
 Electronic Devices (Personal)
 Entertainment
 Glasses (Not Covered by Insurance)
 Incontinence supplies (Not Covered by Insurance)
 Lotions for Hands/Body
 Manicures/Pedicures
 Medications/Medical Equipment (Not Covered by Insurance)
 Perfume/Cologne/Aftershave
 Property Damage (as per IPP Agreement)
 Shoes
 Smart Phone App Purchases
 Suitcase/Duffle Bag/Back Pack
 Toys/Games
 Vacations (as per IPP Agreement)
 Vitamins/Supplements (As Prescribed by a Physician)

NOTE: The above list is not limited to these items. Unusual items should be documented in the IPP.

Guidelines for Personal and Incidental Funds

These Personal and Incidental (P & I) policies and procedures are based on Title 22, Section 80026, "Safeguards for Cash Resources, Personal Property, and Valuables." The IPP should clearly indicate how consumer monies are to be handled. It should state whether the consumer has the ability or not to independently handle specific denominations of money. IPPs will also document if the service provider is working with the consumer to make the correct change when making purchases. If the Regional Center is the payee, the Social Security Administration has determined that the consumer is unable to manage his/her own money.

Monies Kept in Facility

1. Each consumer's P & I monies are to be used exclusively for him/herself. Service providers are required to account on the P & I ledger for any consumer monies which the service provider handles or assists the consumer in handling. This includes personal and incidental funds, workshop or job earnings, monetary gifts, gift cards, gambling winnings, and any other consumer monies entrusted to the service provider. The ID Team decision for the consumer to handle his/her own funds should be reflected in the IPP and the Placement Agreement (pages 1 and 2). A ledger sheet of the monies must be maintained. If the consumer's SSA/SSI and/or work check comes first to the service provider, who then cashes it and turns the funds over to the consumer, a P & I ledger must be maintained to account for all funds.
2. A ledger sheet must be maintained for each consumer with columns for income, disbursements, and balance. This ledger sheet must be current review, within two weeks, at all times. The ledger includes cash, gift cards, checks at the facility, and any money in checking or savings accounts regardless of whose name the accounts are in.
3. Cash resources kept on the facility premises must be available upon request and shall be kept in a locked and secure location. If monies are kept in bank accounts, a minimum of \$20 should be available in the facility at all times, for each consumer (if positive balances exist), or as identified in the IPP.
4. Consumer funds cannot be commingled with facility funds. Facility funds should be kept in a separate account. Upon receiving P & I funds; the service provider has 5 working days to transfer the money out of a receiving account and into the consumer account.
5. The amount of consumer funds maintained in the facility **should not exceed \$300 at any given time**, unless specified in the IPP. The CSC will review the consumer's P & I balance on a quarterly basis. The \$300 limit includes cash, gift cards, checks at the facility, and any money in checking or savings accounts regardless of whose name the accounts are in. If the Regional Center is payee and the balance is over \$300, the service provider will contact the CSC for spend down approval or to make arrangements to return the excess funds to the trust account in IRC's Revenue Unit.
6. The consumer's P & I funds should not fall below zero, except in instances where the facility is advancing funds to the consumer. In this case, the negative balance shown on the consumer's ledger should be the amount due to the service provider. Negative balances should only occur when unusual expenses are incurred; for example, when the consumer first arrives at the facility and has not received all his/her funds. Negative balances should not be a continuing situation. The Regional Center discourages the practice of advancing facility funds to consumers, although this practice is not prohibited. If facility funds are advanced, there must be proper documentation including the date, amount, purpose, consumer signature, and it must be documented in the IPP. Loans to consumers must come from facility funds. Under no circumstances can a consumer's funds be advanced to another consumer.

Guidelines for Personal and Incidental Funds

- The service provider must be bonded if he/she handles money for any consumer. Title 22, Section 80025(c), specifies the bond requirements as follows:

<u>Amount Safeguarded per Month</u>	<u>Bond Required</u>
\$750 or less	\$1,000
\$751 to \$1,500	\$2,000
\$1,501 to \$2,500	\$3,000

- When consumers move, they do not have to leave a deposit to cover bills. Title 22, Section 80026(k) states: "Upon discharge of a client, all cash resources, personal property, and valuables of that client which have been entrusted to the licensee shall be surrendered to the client..."

How to Handle Receipts

- There must be a supporting store receipt for each purchase made with consumer funds. This receipt should indicate the name of the store and the date of the purchase. The specific items purchased should be noted on the receipt. These receipts shall be filed with the ledger sheet in chronological order.
- On rare occasions, should items be purchased where a business receipt is not attainable, a handwritten receipt must contain the following information: date, from whom the item was purchased, the description of the item, and the consumer's name. Additionally, the consumer's signature must be on the handwritten receipt or on the P & I ledger. Examples of handwritten receipts that may be accepted would be those for a county fair, street vendors, barbers/beauticians, etc. Excessive handwritten receipts will be a red flag for additional record review. Expenditures for which there are no receipts will not be allowed and the service provider will be required to reimburse the consumer.
- When cash is provided to the consumer from his/her account, a cash receipt or the ledger sheet must be signed by the consumer. A signed cash receipt or signature on the ledger is **required**. The receipt or ledger sheet must indicate the date, amount, and the purpose of disbursement.

How to Handle Checking and Savings Accounts

- Consumer funds may be held in a checking or savings account for one or all of the consumers residing at the facility. If the service provider chooses to use a congregate account—one account for multiple residents—the service provider shall be responsible for any banking fees. The consumer's names or an indication that it is "Consumer Funds" must appear on the account. These accounts must be separate from the service provider's personal and business accounts. It is preferred that consumers maintain individual accounts, and the service provider assists the consumers in opening and maintaining individual bank accounts that don't accrue fees.
- Check cashing fees are the responsibility of the consumer. However, if check cashing fees are occurring on a regular basis, it is the expectation of Community Care Licensing that an ID Team meeting be held to work with the workshop/day program to resolve this ongoing cost for the consumer.

Guidelines for Personal and Incidental Funds

When Consumers Pass Away

1. The Consumers' monies should be forwarded to the representative payee.
2. Title 22, Section 80026(l) states: "Upon the death of a client, all cash resources, personal property, and valuables of that client shall immediately be safeguarded in accordance with the following requirements:
 - 1) All cash resources shall be placed in an account as specified in Section 80026(i).
 - 2) The executor or the administrator of the estate shall be notified by the licensee of the client's death, and the cash resources, personal property, and valuables shall be surrendered to said party in exchange for a signed, itemized receipt.
 - 3) If no executor or administrator has been appointed, the authorized representative, if any, shall be notified by the licensee of the client's death, and the cash resources, personal property, and valuables shall be surrendered to said person in exchange for a signed, itemized receipt.
 - 4) If the licensee is unable to notify a responsible party as specified in (2) or (3) above, the licensee shall give immediate written notice of the client's death to the public administrator of the county as provided in section 7600.5 of the California Probate Code."

Planning for Vacations

1. The service provider may pay for vacation costs, if costs are to be shared. The consumer may pay for just their share of the vacation expenses. Prior to planned vacations, the service provider shall consult with the CSC and submit a written estimate of the cost. The vacation plans shall be made according to consumers' choice and state law. Consumers must have their personal needs for clothing, etc. met prior to P & I funds being approved for vacations. The vacation plans must be documented in the IPP. The CSC will require copies of receipts for the consumer file. Activities that do not include an overnight stay are not considered a vacation.
2. When vacations for consumers are planned, the costs will be covered in the following manner:
 - a) The cost of rooms (or a leased RV), gas, and parking will be divided evenly by each occupant. If staff occupies a room with a consumer(s), the service provider or staff is to cover their share of the expenses.
 - b) Costs for meals may be funded by the consumer's P & I funds. However, if the consumer does not have funds available, prior to the vacation the CSC must be notified, and a plan developed and included in the IPP. If a consumer exceeds the vacation budget, the service provider must cover meal expenses with the expectation of being reimbursed by the consumer.
 - c) If a consumer is charged for staying in a time share, documentation showing cost or value of points is required.
3. If the Regional Center is payee, in order to assure that consumers do not go over the resource limit of \$2,000, an ID Team meeting must be held to outline a written plan to coordinate saving for the vacation. This process shall be coordinated with IRC's Revenue Department if the savings plan goal is over \$500 per consumer.
4. All vacations that are booked through a Seller of Travel (travel agent) must have a registration number, as required by law, issued by the Attorney General's office <https://oag.ca.gov/travel>.
5. Payments for vacations booked through a Seller of Travel (travel agent) will be paid by the representative payee.
6. Excess funds in the facility P&I account can be turned over to the payee to supplement the travel expense but are not to be paid directly from the consumer's facility P&I account.

Guidelines for Personal and Incidental Funds

General Guidelines1. Basic Services

The Placement Agreement (page 6) and Title 22, Section 80026(f), specify that expenditures from consumer P & I funds shall not be made for any basic services. These services are specified in the Admission Agreement, ICRC 17, Title 17, and Title 22. If a consumer wants to purchase an item that is a basic service, the CSC may give written approval for an exception. This must be done prior to the purchase, taking into consideration the consumer's other needs and funds available, and must be included in the IPP.

2. Cash Disbursements

The P & I funds are the consumer's property; it cannot be considered an allowance and cannot be rationed. An entry releasing cash to the consumers should reflect the term "CASH" not "ALLOWANCE". Include a brief description of what cash is being used for, i.e. day program outing, home visit, or community outing. If the consumer has a payee, excessive cash outs are not allowed by the Social Security Administration (this constitutes a conduit payee situation). The existence of a conduit payee may indicate that the consumer should be receiving his/her own benefits directly.

3. Meals

The service provider is responsible for 3 meals a day and between meal snacks (Title 22, Section 80076). The cost of meals purchased outside of the facility should be reasonable, taking into consideration the consumer's other needs, ability to make choices, and funds available. When more than 4 meals out per month occur, the facility must contribute \$3.00 per meal (over 4), per consumer. If a consumer wishes to have snacks other than those provided by the facility, he/she may purchase those. Consumers are not responsible for purchasing food used as reinforcers for behavior plans while at the day program. Some Regional Center funded day programs provide lunch as defined in the program design.

4. Transportation

The service provider is responsible for transportation to all routine medical/dental appointments, social, recreational, and other daily living activities, all appointments scheduled by the CSC, and as designated in the IPP (Placement Agreement, page 6). If the consumer is utilizing "Lyft" or "Uber", it is to be addressed in the IPP.

5. Consumer Gambling

The amount the consumer can spend on gambling is based on the individual's ability to make choices, their needs, and funds available. The ID Team process should be considered if there are questions about the amount to be spent.

6. Day Program Supplies

Consumer funds may not be used for purchasing training supplies. Program supplies are the responsibility of the day program.

7. Verification of P & I Funds/Purchases

Funds will be verified at each quarterly visit by the CSC. Cash on hand will equal the P & I balance on the ledger. If the funds are not kept at the facility, the bank statement balance (plus outstanding deposits and minus outstanding withdrawals) will equal the balance on the ledger.

The CSC can ask to see the items purchased, check to see that sizes match the consumer, have him/her try on items, and check serial numbers against the actual item. Any item costing over \$50.00 must be listed on the inventory.

Guidelines for Personal and Incidental Funds

The CSC will sign the P & I ledger “Reviewed by _____, date”. This indicates that the ledger has been reviewed, but not that the CSC necessarily agreed with the expenditures. If there are items disagreed with, the CSC will circle the amount/item on the ledger and discuss it with the service provider.

8. Furniture and Bedding

Service providers are responsible to provide adequate furniture and bedding for each consumer. If a consumer chooses to change his/her bedding and/or furniture from what is offered by the facility, then the consumer may purchase his/her bedding or furniture. However, these purchases must be marked as belonging to the consumer and must be inventoried. Purchases of this nature must be discussed and approved by the ID Team and noted in the ongoing notes that the consumer elected to purchase these items.

9. Shared Services or Products

Any item, service, or product that benefits the entire facility cannot be charged to an individual consumer. Therefore, items such as cable/satellite TV, internet service, wifi, bottled water, etc. that relate to the common area or general living quarters of the facility is an expense of the service provider. Items, services, or products may not be purchased jointly by consumers. The consumer may elect to have cable/satellite TV, telephone, internet, etc., in his/her bedroom and can be only charged for that specific expenditure.

10. Toys/Books/Supplies

Toys and books that are identified as common – kept in common areas, utilized by multiple consumers, and are defined as toys or equipment used as part of programming – are the responsibility of the service provider. Personal toys/books, mobile device applications (apps) – as defined as an item chosen by the consumer for his/her personal use, not for use by other consumers, and kept as a personal possession in their private space – shall be funded by the consumer’s P & I.

11. Exercise Equipment

Consumers may pay for personal exercise equipment out of their P & I funds. Other consumers may use the equipment if the consumer/family/conservator approves in writing and is agreed upon by the ID Team. If said agreement is in place, the service provider shall be responsible for any damage and/or maintenance of equipment. Exercise equipment in the common area of the facility is to be paid for by the service provider.

12. Recreational Equipment/Arts & Crafts

If the recreational equipment/arts and crafts are defined in the program design, they shall be the cost of the service provider. If said equipment is not written into the program design and the ID Team agrees in writing in the consumer’s IPP, it may be funded by the consumer’s P & I.

13. Therapeutic Treatment

If the therapeutic treatment is defined in the program design, it shall be paid for by the service provider. If a therapeutic treatment is needed by a consumer, as determined by the ID Team and written into the IPP, it may be funded by the resident’s P & I. Consumer P & I funds shall not be used if the therapeutic treatment is part of the facility’s program as defined by the program design.

14. Toiletries and Personal Hygiene Items

Toiletries and personal hygiene items are the responsibility of the service provider. However, if a consumer wants a brand other than the one provided, the consumer may pay the difference between the brand provided by the facility and his/her selected brand. This must be noted in the ongoing notes, reported to the ID Team, and written into the IPP that the consumer is capable of making this choice. However, if consumers are using their own money to buy hygiene items to practice purchasing skills, they should be reimbursed for this amount by the service provider.

Guidelines for Personal and Incidental Funds

15. Incontinence Supplies

In situations where the consumer is admitted to the facility with diapers/pull-ups that are not covered by insurance, it is the service provider's responsibility to research funding sources. When covered by insurance, and the insurance temporarily stops funding incontinence supplies, the consumer's P&I can cover the cost. The need for incontinence supplies and funding for said supplies shall be documented in the IPP.

16. Batteries

Batteries for medical devices as defined by being medically necessary and/or for common use items – IE remote controls, smoke detectors, flashlights – shall be the responsibility of the service provider. Batteries used for personal non-medical devices can be paid with consumer P&I funds.

17. Bus Passes

Bus passes used primarily for the consumer to go to and from their respective day program shall be funded by the regional center. If bus passes are used by the facility as a function of their program to get consumers to and from activities and outings, the bus pass shall be a cost of the service provider. If the consumer is using a bus pass for primarily personal transportation, and it is agreed by the ID Team and written into the IPP, the consumer may use their P & I to purchase a bus pass.

18. Property Damage

The facility will not charge a resident for normal wear and tear. The facility will not, generally, charge a resident for damage to the facility. Consumer funds may not be used to pay for property damage unless documented in the IPP as part of a behavior modification plan by an interdisciplinary team composed of at least the consumer, authorized representative, facility staff, behavior specialist, and the CSC.