

DAS APS Representative Payee Cases
Policy, Process and Procedures

The process outlined below is applicable for all DAS APS Staff involved in managing the financial affairs of an APS client. Representative payee services are provided as a result of the Memorandum of Understanding between the Division of Family and Children Services (the payee of record) and the Division of Aging Services (manager of the case/funds disbursement). Policies established by DFCS for handling funds are to be followed by DAS APS Staff and include both state level accounting policies and local regional processes. Each DAS APS region has at least one DFCS Regional Accounting Office that prepares checks for disbursement. Further, the payer source (generally the Social Security Administration) has policies and procedures related to representative payee situations. DAS APS Staff must be familiar with and follow those policies and procedures.

1. Any case needing representative payee services must have an open APS ongoing case which specifies the need through the assessment, DON-R evaluation and applicable justification or redetermination statements.
2. The required case plan must include a goal related to assistance in managing resources/income. Corresponding steps must clearly outline what the Social Service Case Manager will do to support achievement of the goal as well as what activities the client will perform.
3. A discussion must be held with the client that includes the development of a general monthly budget and how bills/expenditures will be managed to include personal spending funds.
 - a) The discussion must be documented in AIMS. The budget must include monthly expenses (dollar amounts) such as rent, utilities, spending money etc. In addition, the budget must include planning for yearly expenses (i.e., property taxes). When possible, a burial account or life insurance should be established/obtained for the client. Establishing a savings account within the DFCS restricted funds accounts is another option and should be discussed with the client, supervisor and DFCS Regional Accounting designee to plan for future spending needs or large purchases.
 - b) If the client receives a “lump sum” payment, discussion should occur to determine how best to disburse the funds to include establishing a burial account/savings account as the funds will allow. SSCM must also notify DFCS/OFI staff if applicable (active FS, TANF, or MAO case). Supervisory input is suggested.
 - c) An annual review of the budget will occur at the time of the redetermination and if significant changes occur with the client and or monthly income. All information and discussion(s) will be documented in AIMS.
 - d) Supervisory concurrence and approval of budget establishment, significant budget changes and lump sum disbursement plans are required.
4. Once the payee case has been established through collaboration between the client, DAS APS, DFCS and the payer source, the APS staff member will

initiate contact with all vendors who provide services to the client to notify the vendor of the billing address change if applicable, obtain a form W-9* if applicable and clarify for the vendor any questions as necessary. Contact with each vendor is to be documented in AIMS and shall include any pertinent information.

5. When bills are due or spending money is needed by the client, the DAS APS Staff member will:
 - a) Complete Form 750 noting specifically when the payment is needed and how the payment is to be disbursed.
 - b) Attach the bill/invoice as supporting documentation to Form 750.
 - c) Route Form 750 with supporting documentation to the assigned DFCS Regional Accounting Office per DFCS policy.
 - d) For issuing personal spending/allowance to the APS client, form 750 will be completed with the disbursement payable to the client (no supporting documentation is required). Form 750 will indicate how the check is to be disbursed, i.e. mailed by the DFCS office or hand-delivered by the DAS APS Staff member.
 - e) File copies of Form 750 with all supporting documentation in the hard copy of the case record (Note: SSCM should establish a separate “representative payee case file” for each APS ongoing case that includes representative payee services.)
 - f) Dictate the activity related to the fund disbursement in the AIMS case file per documentation policy.
6. When **any** check is hand-delivered, the DAS APS Staff member will obtain verification that the check was received by the intended recipient (either the vendor or client) as evidenced by a signature **and date** of receipt on Form 750 by SSCM or Form 591A (Inventory receipt form) by the FSW. A copy of the verification is to be filed in the case record and a notation entered into the AIMS documentation record.

Note: Staff should have checks mailed by DFCS Regional Accounting Office to the extent possible.
7. During the course of providing services to the APS client, the DAS APS staff person may shop **for** the client using a check payable to a vendor. In those instances when the client is not present, the complete transaction including any change returned to the client (or placed on a gift card) will be documented on Form 591 and signed/dated by the client when the goods are delivered to the client.

Although not encouraged, should a gift card be purchased or used to load change from a transaction initiated by a vendor check, the DAS APS staff member should complete the “gift card” receipt form for the client to acknowledge receipt. All receipts shall be copied for the file and the original receipt(s) returned to the client/guardianship case manager as indicated. Copies of applicable forms/receipts will be filed in the case record.
8. The DFCS Regional Accounting Office may require copies of the signed form 750 or form 591A. DAS APS staff are to follow local DFCS accounting

- practices. Form 591A is to be used to verify receipt of services provided to the client.
9. The DAS APS Supervisor for assigned representative payee cases must obtain a copy of the DFCS report on a monthly basis. The report lists all checks received and disbursements made on behalf of the APS adult representative payee case. The DAS APS Supervisor will compare the report to the APS Case File. Any discrepancies should be resolved with DFCS regional accounting. This activity will also insure that resource limit is maintained for SSI recipients.
 10. Upon termination of the APS case or change in the assigned representative payee, DAS APS Staff will:
 - a) Follow APS policy for the closure/change [Section 2004.11/2004.4 in DAS/APS Policy Manual](#) as well as payer source policy and local DFCS regional accounting policy for termination and disbursement of remaining funds.
 - b) All follow up activity will be documented in AIMS.
 11. Additional requirements of all DAS APS Staff:
 - a) Assure that client funds are never co-mingled with any other funds.
 - b) If an identified vendor is related by blood or marriage to the client, approval for the expenditure must be obtained from the Supervisor prior to check issuance.
 - c) The DAS APS employee will prioritize expenditures to insure that basic living expenses (e.g. food, shelter, utilities, etc) are authorized and received by or paid on behalf of the client prior to items/services that are not essential for meeting daily needs.
Care should be taken in handling SSI beneficiary funds to insure that the \$2000 resource limit is not exceeded. Excess resources can lead to the termination/suspension of benefits. One recommendation is for a life/burial insurance policy to be purchased if provisions have not already been made.
 - d) The DAS APS employee shall not borrow or lend money, credit or possessions from a current or former APS client.
 - f) The DAS APS employee shall not request or provide services for reimbursement.
 - g) The DAS APS employee shall not allow their family or personal acquaintances to provide services for an APS client.
 - h) The DAS APS employee shall not purchase services or goods from an APS client.
 - i) The DAS/APS employee shall never store or hold client possessions or purchases.
 - j) The DAS/APS employee shall never sign on behalf of or enter into a contractual agreement for a representative payee client (e.g. signing a lease agreement for rent, formal agreement for a personal care home or nursing home), in cases where DHS is not the Guardian.
 - k) Should there be a question regarding the disbursement of funds or misuse of funds, the Supervisor and District Manager will be notified and, as applicable, the payer source.

- 1) DAS/APS Staff must assure that all vendors in representative payee cases have completed the Form W-9 required by DFCS regional accounting per IRS policy before payment can be rendered.
12. For additional information, refer to the websites below:
 - a) <http://www.ssa.gov/payee/>
(Social Security Administration-Representative Payee)
 - b) <http://167.193.156.254/ffs/index.php>
(DFCS Field Fiscal Services)

Attachments:

[IRS Form W-9 with instructions](#)
[Form 750](#)
[Form 750 instructions](#)
[Form 591](#)
Gift Card Receipt Form
Representative Payee Flowchart