

State Onsite Mental Institution Review

Summary Report

General Information:

1. State or Commonwealth:
2. Name of Mental Institution:
3. Is the State the Payee OR is the Mental Institution the Payee:
4. Physical Location of Review (list all locations visited):

5. State Mailing Address:

6. State Agency Contact Name, Phone number and Title:

7. Onsite Mental Institution Mailing Address:

8. Name, Phone Number, and Title of Onsite Mental Institution Director:

9. Name, Phone Number, and Title of the staff member coordinating the onsite State mental institution review with the P&A grantee:

10. P&A Reviewer Name:
11. Review Period Dates:
12. Visit Dates:
13. Total Title II Beneficiaries from Institution's Records:
14. Total Title XVI Beneficiaries from Institution's Records:
15. Total of all Beneficiaries from Institutions Records:

The P&A reviewer will use information from the State, Mental Institution, financial records, SSA-9584BK, and beneficiary visits to complete the Summary Report. The Summary Report is prepared by the P&A grantee and is designed to assist the SSA Regional Office in writing the final report to the State.

Rate Setting and Reimbursement:

When a Title II beneficiary resides in an institution, the institution should allot a reasonable share of benefits for its customary care and maintenance charges. An institution's customary charges and the beneficiary's other current needs should be taken into account. The institution should not charge an amount for current maintenance in excess of the legal maximum charge established by the State. For Title XVI beneficiaries when the SSI benefit is listed as \$30 on the reconciliation worksheet, the beneficiary must not be charged any maintenance costs. If a title XVI beneficiary's SSI benefit amount is listed as more than \$30 on the reconciliation worksheet, confirm with the Mental Institution there is no Medicaid (XIX) reimbursement.

1. Title II Beneficiaries: Describe how the institution allots maintenance charges to the Title II beneficiaries. Compare the answers to questions one through three provided on the current SSA-9584BK, rate setting section, with the debits for maintenance charges on the financial records. Note any difference between the institution's stated policy from the SSA-9584BK and the maintenance charges on the financial records.
2. Title XVI Beneficiaries Receiving \$30 per month: Describe any situation (if applicable) using the payee's financial records, where the institution is charging a XVI beneficiary who receives \$30 per month an additional maintenance charge. Include the name of the beneficiary and dates of the charges.
3. Title XVI Beneficiaries Receiving More Than \$30 per month: Describe any situation (if applicable) using the payee's financial records, where an institution is allotting maintenance charges and the facility receives Medicaid (title XIX) reimbursement for the beneficiary. Include the name of the beneficiary and dates of the charges.

Resident Accounts (Direct Deposit for Institutions and Account Balances):

Using the answers from the current SSA-9584 and the payee's financial records, record your observations below. Note any differences between the payee's answers on the SSA-9584BK and your observations during the financial review.

1. Does the State agency or mental institution use individual or collective accounts to direct deposit SSA benefits? Include the type of account and the exact title of the account(s).
2. Does the account earn interest?
3. When the State agency or mental institution uses a collective account for direct deposit of SSA benefits, describe how the State agency or mental institution maintain records which identify the amount contributed by each beneficiary.
4. If an interest bearing savings or checking account is established (whether individual or collective account), the interest earned belongs to the beneficiaries. Describe how the interest is credited to beneficiaries. Note: If the account is a collective account, the interest must be credited to beneficiaries on a prorated basis.
5. If a noninterest-bearing account is established(whether individual or collective), funds should not be allowed to accumulate above a reasonable level to meet the current and foreseeable needs of beneficiary. Only funds which are needed for the beneficiary's current maintenance should remain in the account. As an upper limit, where an individual beneficiary's balance exceeds \$500, SSA recommends that funds be invested on the beneficiary's behalf in interest-yielding investments. Interest from the account must be credited to the beneficiary. Were there any accounts that exceeded \$500 after the beneficiary's current maintenance costs were deducted each month? Provide the name of the beneficiary.
6. Why does the State agency or mental institution use a non-interest bearing account (if applicable)?
7. Does the State agency or mental institution use any other accounts to hold beneficiary funds? For example, burial accounts, U.S. Savings Bonds or savings accounts. List the beneficiary name, type of account and account number.
8. Were any title XVI beneficiary's personal accounts over \$2000 in any month of the review period? Describe the State agency or mental institution's policy for reviewing account balances approaching the SSI beneficiary resource limits. (\$2000 for individuals and \$300 for a couple). List each beneficiary, the personal account amount, and month.

9. Review the personal accounts of the beneficiaries to determine if zero balances or unreasonably low balances are being maintained. If the low or nonexistent balances cannot be explained by high levels of personal expenditures, note the beneficiary's name and months of low or zero balances.

10. SSA opposes restrictive ceilings on balances because they limit substantial personal needs expenditures and transitional funds needed in the event of a beneficiary's discharge or transfer.

SSA recommends that ceilings on SSI beneficiaries' accounts be no lower than the SSI resource limits of \$2,000 for an individual and \$3,000 for a couple as set by title XVI regulations.

NOTE: For title II only beneficiaries, it is not necessary to impose a ceiling on personal accounts. However, if the title II beneficiary is also covered by Medicaid, there may be a Medicaid limit which is often the same as the SSI limit.

Did the State or institution impose ceilings on the beneficiaries' account balances?

Title II beneficiary ceiling amount:

Title XVI beneficiary ceiling amount:

11. Were large purchases (\$100 or more) documented with receipts?

12. Were there any unusual or improper expenditures? Include the name of the beneficiary and the month of the expenditure.

13. Were bank account records properly maintained?

14. What happens to any conserved funds when a beneficiary dies?

Resident Spending:

Personal fund expenditures should average at least \$30 per month for all institutionalized beneficiaries. A minimum of \$30 dollars must be set aside by the payee to be used for personal needs or saved on the beneficiary's behalf.

Using the answers from the current SSA-9584 and the payee's financial records, record your observations below. Note any differences between the payee's answers on the SSA-9584BK and your observations during the financial review.

1. Describe how the State agency or mental institution allocate funds for personal expenditures:
2. Describe situations where the State agency or mental institution require the beneficiary to purchase items that could be covered by Medicaid from their personal needs funds. For example, if a personal needs expenditure appears to be related to the medical condition of the beneficiary, is the item covered by Medicaid?
3. Describe any instances during the review period where personal spending funds were withheld completely or partially (less than \$30 per month). Fully explain each circumstance. Include the name of the beneficiary and how and why the institution decided to withhold personal spending funds.
4. Were large purchases (\$100 or more) documented with receipts?
5. Is the institution applying it's stated policies with respect to allocating a monthly amount for personal needs?
6. Are additional personal needs funds provided if more are needed?

Reporting Procedures:

Using the answers from the current SSA-9584 and the payee's financial records, record your observations below. Note any differences between the payee's answers on the SSA-9584BK and your observations during the financial review.

1. Describe how the payee reports changes to SSA. See the table of representative payee reporting responsibilities in the NAG business process.

Include a specific description of the following:

- How the payee reports custody changes (release from the custody of the institution)
 - Beneficiary death
 - All work activity
 - Any other income received by SSI beneficiaries
2. Does the institution routinely report to SSA significant reporting events which could affect SSA benefits or representative payment? Significant reporting events include custody changes, death, work activity and other income received by SSI beneficiaries.

Facility Tour:

Describe the general appearance of the grounds and facility.

Meeting Beneficiaries/Staff and Visiting Living Areas:

The purpose of these meetings is to obtain some general information about the beneficiary's well-being, along with the atmosphere and general cleanliness of the facility. The P&A grantee will observe the beneficiary's environment, and his/her ability and the opportunities available to spend money. The P&A reviewer will relate the information obtained from the financial records to their visits with the beneficiaries to determine if the beneficiary's needs are being met.

List the names of the beneficiaries you were able to visit and include the following observations:

- A) Does the beneficiary know how much spending money is available to him or her for each month?
- B) How does he or she get the spending money? For example, does the beneficiary sign a withdrawal ticket on a daily, weekly, or monthly basis?
- C) If a beneficiary's records show a large purchase, such as television, furniture or personal listening device, etc., is the item available for the beneficiary to use and is it marked to reflect the beneficiary's ownership (if not a group purchase).
- D) The general cleanliness of the beneficiary's living area.

Were any beneficiaries determined to be medically inadvisable to visit by the institution staff?

List the names of the beneficiary(s):

Talk to staff members (social workers, nurses) designated as responsible for ensuring that the personal needs of the beneficiaries are being met to determine how purchases are made.

Include the name of the staff member and the following observations:

- A) Whether the facility maintains petty cash boxes or other similar funds to provide for the beneficiaries personal needs. For example, a petty cash fund is maintained at the nurses' station to provide small amounts of money daily for the beneficiary's use at the vending machines, If so, determine how records are maintained of the funds disbursed for each beneficiary.

Current SSA-9584BK Compared to the Previous SSA-9584BK:

Describe any differences (if any exist) between the previous SSA-9584BK and the current SSA-9584 and why there is a difference.

Current SSA9584BK and the Mental Institution's Performance During the Review Period:

Describe how the institution performed during the review period in the areas listed below as compared to their own stated policies (as indicated by the information supplied on Form SSA-9584-BK). If there are differences between the facility's performance and their stated policy (SSA-9584BK), the reviewer should give the details of where, when, and why.

1. Problems encountered (if none, make a note of it).
2. Effectiveness of communication between fiscal staff and treatment staff.
3. Amounts of spending money earned by beneficiaries through work programs or behavior-modification programs.
4. Institutional clothing (For example, does the institution furnish clothing of poor quality from bulk purchasing? Are clothes bought directly from local stores using the facility's funds, etc.?).
5. Programs affecting beneficiaries' lives (e.g., training in use of money, etc.).
6. Note particularly imaginative or beneficial practices.
7. Kinds of spending favored by institution. (Which kinds and why?)
8. Kinds of spending not favored by institution. (Which kinds and why?)
9. Main factors (attitudes, practices, etc.) which encourage or limit approved uses of personal needs funds.
10. Group purchases. (What is policy and practice with respect to group purchases? (Are they approved by SSA in advance?)
11. What happens to personal funds when the beneficiary leaves the institution or there is a change of payee? Are conserved funds returned to SSA for reissuance?
12. Other comments.

Issues From the Last State Onsite Mental Institution Review:

If there were issues noted on the last review, list the issue, describe how the institution corrected the problem and describe how the institution handled the issue during this review period.

Any other concerns, comments or observations noted by the reviewer: