

**ALAMEDA COUNTY SUBSTITUTE PAYEE PROGRAM**  
**OPERATIONAL GUIDELINES FOR CASE MANAGERS/CONTACT PERSONS**

In order to be an authorized Case Manager/Contact person, you must attend a training session before processing transmittals or working with Sub Payee staff.

Persons residing in Alameda County who are identified as potential Sub-Payee clients will be referred to the program through the Clinical Liaison.

The following forms and information are required in order to apply for Sub-Payee Services.

Faxed copies are not accepted. Always send originals.

1. Completed Substitute Payee Program Referral (313-SP-01):

All blanks must be filled in. If no information is available on a specific item, write “unknown,” or “N/A.” However, missing or incomplete information may cause the referral to be returned or delayed in processing. When completing Therapist Comments Section, briefly explain why the client needs a payee and/or why the current payee is inappropriate. Include why no family member can take on this responsibility.

2. Signed Release of Information and Authorization for Payeeship (313-SP-04)

The client must sign both areas of this form. If the client is conserved in person and estate and is refusing to sign, their conservator may sign for them.

3. Signed Advance Notification of Representative Payment (Form SSA-4164)

Social Security is requesting that client’s sign this form in order to expedite our approval as payee. If this form is not included with our application to become payee, there will be a delay in processing our request.

4. Signed Physician/Medical Officer Statement (Form SSA-787)

This form must be completed and signed by a physician. If signed by anyone other than an M.D., Social Security will not accept it. Clients being referred for Sub-Payee should always have question #2 answered “NO.” *If the client already has a payee, this form is not required.*

5. Request to Relinquish Payeeship Form (Optional):

If the client has a payee, this form signed by the current payee will expedite our payee application. If the current payee refuses to sign, Social Security Administration must contact the current payee and allow them 10 days to state their objections to the payee change.

If interim funding is requested the following forms are required in addition to the forms listed above.

6. Signed Authorization for Reimbursement for Interim Assistance Granted (313-SP-25)

The client and the case manager must sign this form. We will loan client interim funding for housing payments and spending money up to the SSI rate the client is eligible to receive. Interim funding will not be approved if the client lives with friends, relatives or is in an IMD or hospital. Rent and board and

care payments **are always paid in arrears**. Payment will be made only for the actual number of days that the client resided in the home during the prior month.

7. Signed Authorization for Reimbursement of Interim Assistance Granted Pending SSI/SSP Eligibility Determination (SSP 14)

Only the client's signature is needed. The PST will sign as the agency representative.

SEND THE COMPLETED REFERRAL PACKET TO:

ALAMEDA COUNTY SUB-PAYEE CLINICAL LIAISON  
7200 BANCROFT, SUITE 125A  
OAKLAND, CA. 94605

(510) 777-3863      TIE LINE #33863

Or send via QIC CODE 24560

Once the referral is reviewed and approved by the clinical liaison, it is sent to the Substitute Payee Program Unit Supervisor. The referral is reviewed again for accuracy, completeness and then assigned to a PST. The PST will process the appropriate forms and send the application for payeeship to Social Security.

PLEASE NOTE: It may take three to six months for Social Security to process and appoint the Substitute Payee Program as the payee.

Basic Responsibilities of Case Managers/Contact Persons:

It is the case manager/contact person's responsibility to "use the funds in the client's best interest." Client's benefits are to be used for current month's needs and conserved if not used. You are to be aware of client's living arrangements at all times. If whereabouts are unknown, you must immediately report this to the Sub-Payee Program. Case Managers/Contact Persons are responsible for identifying and reporting all factors that may affect the client's eligibility for benefits.

You are expected to maintain monthly contact with clients and the facilities where the client resides. The case manager/contact person is responsible for notifying the assigned PST of any changes in a client's circumstances, living arrangements, resources, income or eligibility for other income, or anything that may affect eligibility for SSI and benefit amounts. The following are examples of the types of information you must provide the Sub-Payee worker:

1. Employment: Effective date of employment, termination date of employment, paydays, hourly wage rate, number of hours client expects to work per day or per week, work related expenses, etc.
2. Bank accounts: If a client has their own bank account, bank statements must be submitted monthly to the Sub Payee PST. It is recommended that the mailing address on the clients account be changed to the Sub Payee P.O. Box (P.O. Box 129 San Leandro CA, 94577). If a client refuses to submit bank statements on a monthly basis, they must close their account.
3. Changes in resources, or living arrangements and/or address changes: If the client leaves the county or the State, all payments will be stopped until all pertinent information is obtained. Clients are ineligible for the California portion of their SSI benefits when they move out of state. If the client's resources exceed the limit on the last day of the month, the PST will return the following month's SSI and report to Social Security that the client is over the resource limit.
4. Hospitalizations or incarcerations, marriages, divorces, separations.

➤ See Attached List of Reporting Responsibilities for Case Managers/Contact Persons

All contact between the client and the PST is through the case manager/contact person. Do not advise the client, or any member of their family, nor the board and care home personnel to contact the Sub-Payee Unit. If a client, family member, or someone from the board and care home should call our office, they will be referred to the case manager or contact person. We will not provide them with information.

When transferring a client to a new case manager/contact person, the responsibility to notify the Sub-Payee Worker will be that of the case manager/contact person making the change. Until the Sub-Payee worker is notified of the change, the previous case manager/contact person will remain responsible for the client's Substitute Payee Program services. Please use the Case Manager Transfer form provided in this packet.

Periodically, Social Security Administration requires information regarding the client's eligibility and/or disability status. It is the responsibility of the case manager/contact person to provide information and documentation to the Sub-Payee Program when required by Social Security and requested by the Sub-Payee Program. Also, it is the responsibility of the case manager/contact person to complete forms required by Social Security with and/or for the client regarding disability or medical status. These forms must be completed and returned by the designated date to the Sub-Payee Unit. If not, the client's eligibility for benefits may be terminated.

Case Managers now have access to the Sub Payee computer system (Panoramic) where a monthly report can be generated for each client which provides financial information. This report should be reviewed monthly and any discrepancies should be reported to the PST immediately.

All changes of address must be reported to the PST via a written transmittal. No changes will be processed or implemented until a transmittal is received by the PST.

**Transmittals for changes to the budget and requests for payments must be received by 9:30 A.M. in order to be processed for that day's check run.**

Transmittals received after 9:30 A.M. will be processed for the next check run date. Emergency check requests or urgent information may be communicated by telephone, but must be followed up by a faxed transmittal. Checks will not be released until the transmittal is received.

Checks are processed and issued on the 1<sup>st</sup>, 3<sup>rd</sup> and 15<sup>th</sup> of each month and every Tuesday and Thursday of each week. If a check run day falls on the weekend or a holiday, checks will be processed on the Friday before the weekend or working day before the holiday.

If a client is closed to your program, this does not automatically close or stop Sub-Payee services. You must coordinate the transfer of Sub-Payee responsibilities with the Sub-Payee PST. A Sub-Payee client will remain your responsibility and you will need to continue to provide Sub-Payee services until or unless:

1. The client is transferred to another case manager/contact person in an Alameda County or County contracted mental health service site. You must notify the Sub-Payee PST in writing of the change.
2. The client passes away. You must contact the Sub-Payee Program to determine the appropriate disbursement of funds. The case cannot be closed until the balance is at zero.
3. The client has a new payee. Social Security Administration mandates that all conserved funds be returned to Social Security, not to the new payee.

4. Whereabouts of client are unknown for six months or longer. You must immediately report to us if whereabouts are unknown so that we can notify Social Security. We can keep the case open for up to six months in the event the client whereabouts are again known. If after six months there is no contact and you cannot locate the client, we will need to close our case. The balance in the account (if any) will be returned to Social Security Administration and the case will be closed. If the whereabouts of the client becomes known after we close the case and Sub-Payee services are again needed, a new referral packet must be submitted.
5. Client becomes his/her own payee. The balance in our account will be returned to Social Security for disbursement to client.
6. Client moves out of county, moves out of State, or out of the United States. We can not continue to provide Sub-Payee services if a client resides outside of Alameda County. The client should be informed to contact their nearest Social Security Administration office and apply to be his/her own payee, or have someone else or another agency apply to be their payee. If client applies to be his/her own payee or another person/agency applies to be the payee, Sub-Payee can continue to disburse funds until the transition is completed. During the transition period you will continue to be responsible for notifying us of any changes in the client's circumstances or living arrangements. If the client, another person or agency does not apply to be the payee, Sub-Payee will request Social Security to put the client into suspense and we will close our case.

You will be required to submit a Closing Episode Document for every case that is closed.

**Remember: You must keep in contact with a Sub-Payee client and always be aware of his/her living arrangements, income, resources, their financial situation and needs. Payments must be used for client's current needs or saved if not currently needed.**

These are our general operational guidelines. Each client's situation is different and must be handled individually according to mandated regulations and our program's requirements and procedures. For more information, please contact the Sub-Payee PST.