



OVERSIGHT OF CLIENT FUNDS

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Modification Date(s): *2/12/2019, 2/25/2020, 2/9/2021*

Date of Last Review: *2/9/21*

I. Definition

There are two types of client funds managed by UCP of Maine. These are as follows:

1. ELC Resident Funds
2. Representative Payee Accounts for ELC residents only

II. Policy

Full on-line access rights will be limited to no less than two and no more than three Finance staff members. In addition, the Chief Executive Officer and Chief Operating Officer will maintain viewing access to all UCP accounts at all times for the purpose of account oversight.

A reconciliation of all accounts will be completed on a monthly basis by Finance staff. On a monthly basis, the Chief Operating Officer or designee who has not been involved in transactions throughout the month will:

1. Review and sign off on the reconciliation of UCP accounts used to manage client funds
2. Choose a minimum of two client files and review and compare all transactions on-line to those in the client file confirming appropriateness of transactions
3. Choose a minimum of five payment transactions from the Rep Payee account master statement and two payment transactions from the ELC resident fund account master statement (if applicable) to request supporting back-up to confirm transactions were for legitimate client needs



Scott Tash, CEO

2-11-21

Date