

The Arc of NC
LIFEGuardianship Supports and Services
January 29, 2013

1) The entity's mission, purpose, and governance structure.

The Arc of North Carolina is a private, non-profit 501C3 organization. The mission of The Arc of North Carolina is to secure for all people with intellectual and developmental disabilities the opportunity to choose and realize their goals of where and how they learn, live, work and play.

The Board of Directors amended its charter with the Secretary of State in the early 1980s to provide guardianship. The board designated the responsibility for guardianship to a standing committee, referred to as the LIFEGuardianship Council, and staff. All members (minimum of 16) of the Council are volunteers and at least one-half or 50% have to be family members or consumers. The other members are volunteers with expertise relevant to guardianship such as attorneys, bankers, social workers, physicians, Program Managers, etc. The council meets quarterly to discuss overall goals and objectives for the program and has three subcommittees that meet monthly to make major decisions on behalf of each ward/protégé. These subcommittees are referred to as Protégé Review Committees (PRC), and are similar to that of an Admissions, Human Rights, and Ethics committee. Volunteers on these three committees live in each part of the state (named the East PRC, Central PRC, and West PRC) and hold their meetings accordingly.

2) A description of the types of programs, services, and activities funded by State appropriations.

The LIFEGuardianship Program provides guardianship of the person, of the estate, and general (of the person and of the estate) to individuals declared legally incompetent by the Clerks of Superior Court. The Arc of NC is appointed Corporate Guardian by the Clerks, and volunteers and staff act as representatives on its behalf. The program advocates and supports individuals with intellectual and developmental disabilities, severe and persistent mental illness, substance abusers, and/or the elderly. Most of the wards have a combination of these disabilities. Representative payee services are provided to manage individual's government benefits (i.e., Supplemental Social Security Income) that have absolutely no one else to do so. Resident agent services are also made available for out of state guardians in need of a processing agent. Staff advocate, network, coordinate and serve as a liaison to ensure that the wards needs are met in the least intrusive manner possible; that their human; civil rights are not violated, their health and safety are protected, and ensure informed consents. Additionally staff monitors and provide oversight to ensure that the medical, dental, residential, programmatic, habilitative and rehabilitative needs are being met. Case management is also provided when there is absolutely no other source to do so.

Volunteers for the wards and overall program are recruited, trained, and retained on an ongoing basis. Volunteers serve on the LIFEGuardianship Council in an advisory capacity for the overall program and help develop policies and procedures relevant to guardianship. The Council volunteers also serve on one of three Protégé Review Committees (East/Central/West) to screen referrals to the program for guardianship, ensure face to face meetings with potential wards; decide if there is a need for guardianship and if so the type, provide consents for major decisions on behalf of each ward (i.e., medical, do not resuscitate, dental surgery, residential placements, behavior plans with aversives, restoration of rights,

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etc.). Volunteers who cannot serve on the Council but a Protégé Review Committee (PRC) are also recruited, trained and retained by the program. When possible, wards are matched with a volunteer friend to spend quality time with them and assist in being the “eyes and ears” for the program between visits by staff. Staff visit each ward monthly, every other month, or quarterly, based on individual needs. Visits are made in the residential facilities, jails/prisons, day programs, on the job, or wherever the wards’ are located. Those that are homeless are sought out and placements found to address their need even if it is temporarily in a hotel or motel. Between visits indirect contacts by phone, letter or email are made by staff with the ward or on their behalf (i.e., with psychiatrist, nurse, social worker, dentist, etc). Staff is responsible for routine consents and moderate level consents as well. Again major decisions are made by a PRC such as DNRs, change in residential placements, surgeries, etc.

Staff is responsible for attending all annual person centered planning meetings for each ward and other important ones on their behalf as well. Reports on abuse, neglect and exploitation have to be made by staff, or if an agency is involved they have to verify that the agency does so.

The program provides education, training, consultation and assistance on Guardianship, Alternatives, and Restoration of Rights, as requested. Additionally it works diligently to restore, partially or fully, the rights of wards who no longer need a guardian or only on a limited basis.

During fiscal year 2010-2012, a large number of guardianship needs had to be addressed in a short period of time based on Local Management Agencies becoming Managed Care Organizations and no longer being able to provide guardianship nor able to contract with Corporate Guardians to do so. Staff worked hard to process the large number of referrals received as a result of this, and the staffing size of the program had to be increased to address these needs.

3) Statistical and demographical information on the number of persons served by these programs, services, and activities, including the counties in which services are provided.

The program admitted and served 96 new wards during FY 2011-2012. It also served 24 wards that died during this time, restored the rights of 6 individuals, and had 3 family members to succeed or replace The Arc of NC as guardian. On June 30, 2012, LIFEguardianship was supporting 762 wards and available in all 100 counties across the state. Many individuals were placed out of large congregate facilities such as psychiatric hospitals, Regional Centers for people with IDD to smaller, more homelike settings; residences for wards in need were located, consents provided for various types of medical treatments, including whether to put do not resuscitate orders in place; pre-need burial plans put in place, and annual status reports and financial accounting provided to Clerks of court for all wards (762) served plus financial accountings were submitted to Social Security offices for Representative Payeeships for 23 wards. The program trained and maintained 66 different volunteers, provided approx. 20 presentations & consultations on guardianship to the general public reaching about 400 people.

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4) Outcome measures that demonstrate the impact and effectiveness of the programs, services, and activities.

Guardianship is a continuing activity based on the need for informed decision making on behalf of those unable to do so. The need continues to grow, however a small number can have their rights restored.

Limited guardianships were also put in place for approximately 24 wards which is less restrictive. This ensure that these individuals are able to make decisions in areas that they can, and the guardian only has decision making authority in specific areas designated by order of the court.

In addition to the outcomes stated in number 3 above, the program served as resident/processing agent for 6 out of state guardians, and has been asked by 8 families in codicils of wills to succeed/replace them as guardian of their family member, upon their death or disability. Family member guardians and others are concerned about what will happen to their son or daughter or close friend, when they are no longer able to make decisions on their behalf. LIFEguardianship address this concern as families and other individual guardians plan for the ward's future.

The program has a waiting list (30 individuals) for guardianship due to lack of funding available to cover the services and supports. Grants have been denied in that guardianship is viewed as a role of families (unless there is abuse, neglect or exploitation) or the state.

The needs of each ward are addressed on a person centered basis, and are too numerous to share here. A few examples include that a ward was taken out of state without consent or knowledge of the staff. The ward had to be found and returned to North Carolina from another state by staff, to ensure their health and safety was protected. Referrals were made to the program and they were no longer living at the addresses provided. Staff went into homeless shelters and neighborhoods where they would most likely be, located these individuals, and placed them in residential settings after being appointed guardian.

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5) A detailed program budget and list of expenditures including all positions funded and funding sources.

Salaries / Wages / Benefits

\$166,862

Personnel Breakdown	Pro-Rated Salary	Percentage	Benefits
♦ Executive Director	\$ 7,178	5%	1,795
♦ Finance Officer	\$ 4,677	5%	1,170
♦ Assistant Dtr QA/QI	\$ 3,265	5%	815
♦ Accounting Specialist	\$ 1,821	5%	455
♦ Program Director	\$16,005	20%	2,995
♦ Administrative Assistant	\$ 8,200	20%	1,434
♦ Regional Specialist	\$ 8,350	20%	1,503
♦ Area Specialist	\$ 7,000	20%	1,309
♦ Regional Specialist	\$ 9,200	20%	1,652
♦ Area Specialist	\$ 7,100	20%	1,269
♦ Area Specialist	\$ 8,099	20%	1,446
♦ Area Specialist	\$ 8,464	20%	1,547
♦ Area Specialist	\$ 7,400	20%	1,111
♦ Area Specialist	\$ 7,371	20%	1,358
♦ Area Specialist	\$ 8,265	20%	1,475
♦ Regional Specialist	\$10,703	20%	1,391
♦ Area Specialist	\$ 7,360	20%	1,352
♦ Area Specialist	\$ 6,502	20%	1,135
♦ Area Specialist	\$ 1,875	5%	344
♦ Regional Specialist	\$ 2,093	5%	378
	\$140,928.00		25,934

2) Professional Services

\$ 3,000

3) Total Personnel Services

\$169,862

Supplies and Materials

4) Office Supplies and Materials (paper, folders, pens, labels, ink cartridges, etc.)

\$ 12,500

5) Computer Supplies and Software

\$ 3,500

8) Total Supplies and Materials

\$ 16,000

Operational Expenses

10) Travel

\$74,686

(NOTE: **\$.50 per mile @ approximately 149,372 miles** for staff members to visit protégés, attend Meetings and workshops, etc.)

12) Communications

\$ 20,000

(Includes telephones in home based offices and faxes; cell phones for 24 hour availability and for emergency situations and consents. Internet services are also included for staff)

14) Printing & Binding

\$ 2,500

16) Computer Services

\$ 8,500

17) Employee Training

\$ 6,500

(training for guardians, attendance at conferences and conventions, National, State and local levels, used to increase overall knowledge)

18) Advertising

\$ 2,000

Brochures on guardianship and informational literature

19) Total Operational Expenses

\$114,186

Fixed Charges and Expenses

20) Office Rent

\$ 4,800

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(Space for 2 LIFeguardianship employees located in one building in Raleigh. Formula Included measuring the total square footage for the 2 employees, and allocating it by the total office square footage used by The Arc of NC for its entire staff in Raleigh. **NOTE:** Approximately 44% of the total annual cost for the 2 LIFeguardianship employees was used or \$4,800.00 for the fiscal year. The cost per square foot is \$15.50)

23) Dues and Subscription	\$ 750
(Includes (includes annual membership dues for North Carolina Guardianship Association, AAIDD, National Guardianship Association, etc.)	
25) Total Fixed Charges & Other Expenses	<u>\$ 5,550</u>
31) Total of Direct Costs	<u>\$305,598</u>
33) Total Budgeted Expenditures	<u>\$305,598</u>

6) The source and amount of any matching funds received by the entity.

In FY 2011/12 The Arc had a \$99,275 operating deficit for the LIFeguardianship program as a whole . Our June 30 financial statements indicate revenues of 1,707,316 with expenditures of 1,806,591. The Arc of North Carolina offset this deficit with funds from its reserve accounts including its Guardianship endowment.

The Arc of North Carolina, Inc.
Statement of Activities w/Revenue Percentage
LG Summary
For the Twelve Months Ended June 30, 2012

	Period to Date		Year to Date	
	Actual	% Of Revenue	Actual	% Of Revenue
Support and Revenue				
GOE Commission	\$1,621.48	0.57%	\$9,032.20	0.53%
LG Fees - Private Pay	525.00	0.19%	9,712.50	0.57%
LG Fees - Guilford	787.50	0.28%	10,500.00	0.62%
LG Fees - Johnston Co	525.00	0.19%	6,300.00	0.37%
LG Fees - LifePlan Trust	3,150.00	1.11%	6,300.00	0.37%
LG Fees - Lutheran	0.00	0.00%	1,575.00	0.09%
LG Fees - Omnivisions	262.50	0.09%	3,150.00	0.18%
LG Fees - Pathways	3,132.00	1.11%	37,975.50	2.22%
LG Fees - Piedmont	149,100.00	52.71%	160,845.75	9.42%
LG Fees - SE Regional	8,622.50	3.05%	102,634.00	6.01%
LG Fees - Wake Co.	14,777.25	5.22%	182,359.50	10.68%
LG Fees - Western Highlands	3,825.00	1.35%	45,900.00	2.69%
LG Fees - Cumberland	1,086.40	0.38%	13,036.80	0.76%
LG Fees - Durham	0.00	0.00%	150.00	0.01%
LG Fees - Eastpointe	525.00	0.19%	6,300.00	0.37%
LG Fees - Five Co.	1,837.50	0.65%	22,050.00	1.29%
LG Fees - OPC	262.50	0.09%	3,150.00	0.18%
LG Fees - Sandhills	6,759.38	2.39%	66,150.08	3.87%
LG Fees - Smoky	17,947.07	6.34%	197,953.72	11.59%
LG Fees - ECBH	20,818.00	7.36%	242,737.90	14.22%
LG Fees - Mecklenburg	3,806.25	1.35%	45,675.00	2.68%
LG Fees - Beacon	3,412.50	1.21%	38,587.50	2.26%
LG Fees - Onslow	3,675.00	1.30%	36,658.16	2.15%
LG Fees - Southeastern Center	2,625.00	0.93%	30,318.73	1.78%
LG Fees - Centerpointe	18,060.00	6.38%	208,320.00	12.20%
LG Fees - New Hanover	262.50	0.09%	262.50	0.02%
MH/DD/SAS	25,466.51	9.00%	305,598.00	17.90%
Services Provided in Excess of Funding	(10,000.00)	(3.54%)	(85,916.50)	(5.03%)
Total Support and Revenue	282,871.84	100.00%	1,707,316.34	100.00%
Total Support & Revenue & Net Asset Rel.	282,871.84	100.00%	1,707,316.34	100.00%
Expenses				
Salaries	75,964.76	26.85%	896,532.63	52.51%
Overtime	956.07	0.34%	6,468.30	0.38%
Vacation	4,090.28	1.45%	45,448.39	2.66%
401(k) Contribution	1,292.83	0.46%	16,851.65	0.99%
Payroll Taxes	5,801.81	2.05%	68,019.01	3.98%
Unemployment Insurance	1,273.50	0.45%	14,557.32	0.85%
Insurance-Medical	11,500.00	4.07%	126,675.00	7.42%
Insurance-Short Term Disability	169.47	0.06%	2,289.05	0.13%
Insurance-Long Term Disability	284.97	0.10%	4,461.70	0.26%
Insurance-Dental	308.62	0.11%	3,693.70	0.22%
Insurance-Vision	51.65	0.02%	1,003.34	0.06%
Insurance-Life	246.13	0.09%	4,042.66	0.24%
Insurance-Business Specific	375.00	0.13%	6,578.00	0.39%
Professional Fees	16,420.00	5.80%	197,985.00	11.60%
Computer Supplies	64.04	0.02%	786.67	0.05%
Office Expense	3,346.32	1.18%	29,116.14	1.71%
Advertising	0.00	0.00%	5,357.65	0.31%
Telephone Service	1,850.98	0.65%	21,125.75	1.24%
Utilities	83.84	0.03%	1,851.51	0.11%
Postage	537.66	0.19%	4,410.68	0.26%
Office Rent	1,072.35	0.38%	12,868.20	0.75%
Travel	12,233.60	4.32%	121,391.65	7.11%
Training	115.00	0.04%	1,771.84	0.10%
Arc/NC Convention Expense	0.00	0.00%	28.00	0.00%
Conferences & Conventions	0.00	0.00%	645.00	0.04%
Protege Emergency Fund	0.00	0.00%	(196.52)	(0.01%)
Equipment & Furniture	0.00	0.00%	222.81	0.01%
Wireless Phone Service	3,467.50	1.23%	34,924.65	2.05%
Background Checks	38.00	0.01%	199.15	0.01%
Investment Mgt & Bank Svc Fees	0.00	0.00%	72.06	0.00%
Admin Expense Allocation	31,049.90	10.98%	177,230.01	10.38%
Miscellaneous Expense	0.00	0.00%	180.46	0.01%

The Arc of North Carolina, Inc.
Statement of Activities w/Revenue Percentage
LG Summary
For the Twelve Months Ended June 30, 2012

	Period to Date		Year to Date	
	Actual	% Of Revenue	Actual	% Of Revenue
Total Expenses	<u>\$172,594.28</u>	<u>61.02%</u>	<u>\$1,806,591.46</u>	<u>105.81%</u>
Income (Loss) from Operations	110,277.56	38.98%	(99,275.12)	(5.81%)
Other Income and Expenses				
Increase (Decrease) in Net Assets	<u>110,277.56</u>	<u>38.98%</u>	<u>(99,275.12)</u>	<u>(5.81%)</u>

The Arc of North Carolina, Inc.
Statement of Activities w/Revenue Percentage
Life Guardianship MH-Administration
For the Twelve Months Ended June 30, 2012

	Period to Date		Year to Date	
	Actual	% Of Revenue	Actual	% Of Revenue
Support and Revenue				
LG Fees - Private Pay	\$525.00	0.19%	\$9,712.50	0.57%
LG Fees - Guilford	787.50	0.28%	10,500.00	0.62%
LG Fees - Johnston Co	525.00	0.19%	6,300.00	0.37%
LG Fees - LifePlan Trust	3,150.00	1.12%	6,300.00	0.37%
LG Fees - Lutheran	0.00	0.00%	1,575.00	0.09%
LG Fees - Omnivisions	262.50	0.09%	3,150.00	0.19%
LG Fees - Pathways	3,132.00	1.11%	37,975.50	2.24%
LG Fees - Piedmont	149,100.00	53.01%	160,845.75	9.47%
LG Fees - SE Regional	8,622.50	3.07%	102,634.00	6.04%
LG Fees - Wake Co.	14,777.25	5.25%	182,359.50	10.74%
LG Fees - Western Highlands	3,825.00	1.36%	45,900.00	2.70%
LG Fees - Cumberland	1,086.40	0.39%	13,036.80	0.77%
LG Fees - Durham	0.00	0.00%	150.00	0.01%
LG Fees - Eastpointe	525.00	0.19%	6,300.00	0.37%
LG Fees - Five Co.	1,837.50	0.65%	22,050.00	1.30%
LG Fees - OPC	262.50	0.09%	3,150.00	0.19%
LG Fees - Sandhills	6,759.38	2.40%	66,150.08	3.90%
LG Fees - Smoky	17,947.07	6.38%	197,953.72	11.66%
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LG Fees - Mecklenburg	3,806.25	1.35%	45,675.00	2.69%
LG Fees - Beacon	3,412.50	1.21%	38,587.50	2.27%
LG Fees - Onslow	3,675.00	1.31%	36,658.16	2.16%
LG Fees - Southeastern Center	2,625.00	0.93%	30,318.73	1.79%
LG Fees - Centerpointe	18,060.00	6.42%	208,320.00	12.27%
LG Fees - New Hanover	262.50	0.09%	262.50	0.02%
MH/DD/SAS	25,466.51	9.05%	305,598.00	17.99%
Services Provided in Excess of Funding	(10,000.00)	(3.56%)	(85,916.50)	(5.06%)
Total Support and Revenue	281,250.36	100.00%	1,698,284.14	100.00%
Total Support & Revenue & Net Asset Rel.	281,250.36	100.00%	1,698,284.14	100.00%
Expenses				
Salaries	75,964.76	27.01%	896,532.63	52.79%
Overtime	956.07	0.34%	6,468.30	0.38%
Vacation	4,090.28	1.45%	45,448.39	2.68%
401(k) Contribution	1,292.83	0.46%	16,851.65	0.99%
Payroll Taxes	5,801.81	2.06%	68,019.01	4.01%
Unemployment Insurance	1,273.50	0.45%	14,557.32	0.86%
Insurance-Medical	11,500.00	4.09%	126,675.00	7.46%
Insurance-Short Term Disability	169.47	0.06%	2,289.05	0.13%
Insurance-Long Term Disability	284.97	0.10%	4,461.70	0.26%
Insurance-Dental	308.62	0.11%	3,693.70	0.22%
Insurance-Vision	51.65	0.02%	1,003.34	0.06%
Insurance-Life	246.13	0.09%	4,042.66	0.24%
Professional Fees	14,100.00	5.01%	167,625.00	9.87%
Computer Supplies	64.04	0.02%	786.67	0.05%
Office Expense	3,346.32	1.19%	29,116.14	1.71%
Advertising	0.00	0.00%	5,357.65	0.32%
Telephone Service	1,850.98	0.66%	21,125.75	1.24%
Utilities	83.84	0.03%	1,851.51	0.11%
Postage	537.66	0.19%	4,410.68	0.26%
Office Rent	1,072.35	0.38%	12,868.20	0.76%
Travel	12,233.60	4.35%	121,391.65	7.15%
Training	115.00	0.04%	1,771.84	0.10%
Arc/NC Convention Expense	0.00	0.00%	28.00	0.00%
Conferences & Conventions	0.00	0.00%	645.00	0.04%
Protege Emergency Fund	0.00	0.00%	(196.52)	(0.01%)
Equipment & Furniture	0.00	0.00%	222.81	0.01%
Wireless Phone Service	3,467.50	1.23%	34,924.65	2.06%
Background Checks	38.00	0.01%	199.15	0.01%
Investment Mgt & Bank Svc Fees	0.00	0.00%	72.06	0.00%
Admin Expense Allocation	31,049.90	11.04%	177,230.01	10.44%
Miscellaneous Expense	0.00	0.00%	180.46	0.01%
Total Expenses	169,899.28	60.41%	1,769,653.46	104.20%

The Arc of North Carolina, Inc.
Statement of Activities w/Revenue Percentage
Life Guardianship MH-Administration
For the Twelve Months Ended June 30, 2012

	Period to Date		Year to Date	
	Actual	% Of Revenue	Actual	% Of Revenue
Income (Loss) from Operations	\$111,351.08	39.59%	(\$71,369.32)	(4.20%)
Other Income and Expenses				
Increase (Decrease) in Net Assets	<u>111,351.08</u>	<u>39.59%</u>	<u>(\$71,369.32)</u>	<u>(4.20%)</u>

The Arc of North Carolina, Inc.
Statement of Activities w/Revenue Percentage
Life Guardianship GOE-Administration
For the Twelve Months Ended June 30, 2012

	Period to Date		Year to Date	
	Actual	% Of Revenue	Actual	% Of Revenue
Support and Revenue				
GOE Commission	<u>\$1,621.48</u>	<u>100.00%</u>	<u>\$9,032.20</u>	<u>100.00%</u>
Total Support and Revenue	<u>1,621.48</u>	<u>100.00%</u>	<u>9,032.20</u>	<u>100.00%</u>
Total Support & Revenue & Net Asset Rel.	1,621.48	100.00%	9,032.20	100.00%
Expenses				
Insurance-Business Specific	375.00	23.13%	6,578.00	72.83%
Professional Fees	<u>2,320.00</u>	<u>143.08%</u>	<u>30,360.00</u>	<u>336.13%</u>
Total Expenses	<u>2,695.00</u>	<u>166.21%</u>	<u>36,938.00</u>	<u>408.96%</u>
Income (Loss) from Operations	(1,073.52)	(66.21%)	(27,905.80)	(308.96%)
Other Income and Expenses				
Increase (Decrease) in Net Assets	<u>(1,073.52)</u>	<u>(66.21%)</u>	<u>(27,905.80)</u>	<u>(308.96%)</u>

The Arc of North Carolina

Community Resource Consultant Program [Wilmington]

1] Mission, Purpose and Governance Structure

The Arc NC is a private, non-profit advocacy and service organization for people with Intellectual and developmental disabilities. The Arc NC is governed by a 30 member board of directors elected by the membership from our 30 affiliated chapters. The Arc was founded in 1956 by parents of children with IDD in order to improve the quality of life for their children. Currently The Arc through its affiliates or through our direct service programs has a presence in all 100 North Carolina counties.

2] Description of Services Funded by State Appropriation

The Arc applied for through a Division of MHDDSA request for proposal the opportunity to provide the Community Resource Consultant Service for people with IDD. This service is intended to support individuals and families in “self directing” services under the CAP/IDD waiver. We are currently in the third year of this contract which had the ability to serve up to 8 individuals or families. During the entire contract period we have had five referrals.

In this project our role was to teach individuals and families to manage their services and provide clinical oversight.

3] Statistical and Demographical Information-

In FY 2011-12 we served 5 individuals. Two in Wake county one in New Hanover County one in the Sandhills Center catchment area and one in the Smokey Mountain Center catchment area.

4] Outcome

For this program the best outcome measure is if the individual continues in Self directed Services. For the 5 families we supported three continue to self-direct their services. One individual is no longer eligible for the CAP program and another individual is supported by another provider. The three remaining families will be transferred to the MCO's .The Arc will not have this contract once all MCO's go live.

5] Budget

For FY 2011-12 The Arc billed 11,657 dollars for the service. In order to receive the funding we must bill in 15 minute increments at a rate of 14 dollars per 15 minutes.

The Arc did not receive a “grant” for this program.

6] Matching

The Arc did not match this funding in FY 11-12