



OFFICE OF LONG-TERM LIVING BULLETIN

ISSUE DATE August 15, 2016	EFFECTIVE DATE October 1, 2016	NUMBER 59-16-08
SUBJECT: Participant Reviews		 Deputy Secretary, Office of Long-Term Living

PURPOSE:

The purpose of this bulletin is to implement a standardized participant review tool for Service Coordinators (SCs). This bulletin also provides guidance to SCs on when increased face-to-face visits to participants should be scheduled in order to protect the health and welfare of program participants.

SCOPE:

This bulletin applies to Office of Long-Term Living (OLTL) Medical Assistance Home and Community-Based Services (HCBS) SCs for the Aging, Attendant Care, CommCare, Independence and OBRA waivers and the Act 150 Program.

BACKGROUND/DISCUSSION:

55 Pa. Code § 52.26(a)(1), § 52.26(a)(4)(i) and (ii), Appendix C-2-e in the OLTL waivers, and the Act 150 Program Guidelines contain requirements for SCs related to participant-centered planning, monitoring the health and welfare of participants, and ensuring that services are provided in accordance with the Individual Service Plan (ISP).

Previously, each Service Coordination Entity (SCE) followed a different participant review process, with some agencies developing their own survey instruments to be utilized during home visits. OLTL has developed and piloted a standardized participant review tool designed to capture information on participants' health, welfare, and service needs in all HCBS settings. The tool also captures information on provider owned and operated residential settings to assist in assessing compliance with the Centers for Medicare and Medicaid Services HCBS regulation found in 42 CFR § 441.301. With the issuance of this bulletin, the tool is being implemented statewide. The overall goal is to assist SCs in their role of improving the experience of care for participants.

PROCEDURES:

Per 55 Pa. Code § 52.26(a)(4)(i) and (ii), the SC will monitor the health and welfare of the participant through regular contacts, including visits with the participant, at a minimum frequency as required by the Department. As part of these contacts, the SC will:

- Ensure that services are furnished in accordance with the ISP.
- Ensure that services meet participant needs.
- Perform at least one contact per calendar quarter as described in the *Individual Service Plan Development, Review, and Implementation Procedures for OLTL HCBS Services* bulletin. Contacts can be by telephone or face-to-face provided that within the calendar year, at least two contacts are face-to-face visits.

The SC will interview the participant and complete the Participant Review Tool at least once each calendar year during one of the face-to-face visits. This includes:

- Entering the participant's responses and SC observations into OLTL-approved software.

Note: A Microsoft Word version of the Participant Review Tool is attached to this bulletin for SCs to utilize when a laptop or tablet with internet access is not available in the field. SCs who utilize the paper form in the field will enter the information into the OLTL-approved software upon returning to the office.

- Obtaining the participant's signature on the attached Participant Attestation form and maintaining the signed form in the participant's file.
- Printing a copy of the completed tool, as entered into the OLTL-approved software, and maintaining it in the participant's file.
- Determining whether ISP revisions or additional follow up is needed based on the participant's responses and SC observations.

Additional information on the tool and gaining access to the software are contained in the attached Participant Review Tool Instructions. Utilization of the Participant Review Tool is to enhance and complement the monitoring requirements found in the *Individual Service Plan Development, Review and Implementation Procedures for OLTL HCBS Services* bulletin and the *Billing Instructions for Home and Community-Based Waiver Providers* bulletin, but does not take the place of all monitoring requirements noted in those bulletins.

Increased Monitoring Visits

In addition to the requirements listed above, per 55 Pa. Code § 52.26(a)(4)(ii), SCs will conduct more frequent calls or visits to program participants when necessary to ensure the participant's health and safety. SCs should use their professional judgment and confer with their supervisors on the frequency of such additional face-to-face visits. Examples include, but are not limited to, the following:

- When a participant is newly enrolled to ensure that they understand the program in which they are enrolled and their service plan.
- When a participant has medical conditions that require the SCE's Registered Nurse consultant as described in Appendix D-1-d of the waivers.
- When a participant has had repeat unexpected hospitalizations and repeat critical incidents.
- When there is suspected abuse, neglect or exploitation of a participant.
- When a participant is receiving more than 40 hours of service per week from one direct care worker.
- When there is a decrease in the participant's informal supports.
- When a participant is under-utilizing or over-utilizing units of service.

This bulletin rescinds other OLTL policy documents or parts of policy documents that are inconsistent with this bulletin's contents.

ATTACHMENTS:

Participant Review Tool
Participant Review Tool Instructions
Participant Attestation Form
SC Registration Form for OLTL-Approved Software

COMMENTS AND QUESTIONS REGARDING THIS BULLETIN SHOULD BE DIRECTED TO:
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