Participant Review Tool Frequently Asked Questions (FAQ)

The Participant Review Tool (PRT)

Question: What does the Tool look like?

Answer: The tool was issued with bulletin #59-16-08, which can be found on the DHS website.

http://www.dhs.pa.gov/publications/bulletinsearch/bulletinsearchresults/index.htm?po=OLTL

Question: Is there a specific need for which this tool was developed to meet?

Answer: Yes. 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 & Medicaid Services HCBS regulation found in 42 CFR § 441.301. The overall goal is to assist service coordinators (SCs) in their role of improving the experience of care for participants.

Question: Does Section 3 need to be completed if the participant only uses the agency model?

Answer: The electronic tool will skip this section automatically based on the service model selected. This is also indicated on the paper copy of the tool. Using Agency model only, Section 3 is skipped.

Question: Should the start and stop times only be for the time the tool is being completed with the participant?

Answer: Yes. The SC will be recording the start and end times of the interview to complete the tool.

Question: Is this done in conjunction with the annual CMI?

Answer: It is recommended that the Participant Review Tool be completed during the face-to-face visit in which the CMI is not administered. Please note, that this tool does not replace the CMI.

Question: Does the review need to be completed every time there is a change in the participants ISP, such as an increase of hours or an additional service is added?

Answer: No. The review tool needs to be completed once per year. Changes to the service hours or additional services will not require that a new PRT be completed.

Question: Can the PRT be completed at the initial visit or should it be a separate monitoring visit?

Answer: It is recommended that the PRT be completed during the face-to-face visit in which the CMI is NOT completed. Since the CMI is completed in the initial visit it is recommended that the PRT not be included in the initial visit because it may be a very lengthy and demanding visit for the new participant as well as the SC.

Question: Is this tool going to replace any paperwork we are currently completing?

Answer: No required paperwork from OLTL will be replaced by the PRT. The PRT must be completed regardless of any other survey being done by a service coordination entity (SCE).

Question: Is adult daily living the same as adult daycare

Answer: Yes.

Question: Did the pilot group report out on how long the tool has typically taken to complete?

Answer: The pilot project determined that the data input of the completion of the tool took only a few minutes. However, data was not gathered on the time it took to administer the tool itself. That is why the start and end times are included in the tool to allow for a better determination of the time it takes to conduct an interview and complete the tool. Completion of the start and end times is important in any future adjustments to the tool due to time considerations.

Question: Will it be completed annually or bi-annually?

Answer: Annually.

Question: Is the tool available in other languages? Is the tool in Spanish?

Answer: The tool will not be available in Spanish or other languages. It is recommended that the LEP telephone line on a speaker phone be used for translation services when completing the PRT with a participant needing translation services.

Question: Will OLTL be adding the red asterisk to the paper copy of the tool that matches the red asterisk in Question Pro?

Answer: The asterisk appears only on the electronic tool, not the printed version. However, SCs should note on their hard copy tools what questions are required. That way they can ensure answers to necessary questions when doing the survey in the field enabling proper data entry in the office or another location.

Question: Is there a possibility to have the CMI reassessment for 18-59 along with the Participant Review Tool online?

Answer: Not at this time.

Question: Is this tool to be completed annually between January - December, or the plan date?

Answer: The PRT is to be completed within the service plan year. That is during the 12 month period following the beginning of services for a participant.

Question: Can we complete the tool at a monitoring visit?

Answer: Yes, but it is recommended that the PRT be completed during the face-to-face visit in which the CMI is NOT completed.

Question: How soon after the visit is completed using the paper Tool does it need to be entered into Question Pro?

Answer: The data should be entered into the PRT as soon as possible following the actual face-to-face visit. It should be done within a day or two but certainly no longer than five business days following the face-to-face interview. It is extremely important that the data be entered into Question Pro promptly for any completed tool that requires follow up mitigation plans and for review by an SC supervisor. Such cases need to be expedited into Question Pro.

Question: How do we decide what to check for the initial assessment with a new participant if they are unsure if they want to use the participant directed or agency directed model or do you choose both?

Answer: It is recommended that the PRT not be completed with the initial face-to-face visit with the new participant. It is recommended that the PRT be completed when the next face-to-face visit is conducted when the CMI is not completed. This will allow a new participant time to determine the best service delivery model for them and if the one they selected is working as they intended.

Question: Does this bulletin take the place of previous policy that SCs complete a Quality Assurance tool with the participant quarterly?

Answer: It is unclear what is meant by a "Quality Assurance" tool. OLTL has not issued such a tool.

Question: Does the review tool need to be completed at the consumer's home? Can it be done at an alternative location?

Answer: The tool is designed to be completed in the participant's home, which will enable the SC to see and evaluate the conditions that the participant is living in and the impact that the services and informal supports are having on the participant's health and welfare.

Question: Can you please tell us if an OADLC participant can be seen in a private area of the OADLC to complete the PRT?

Answer: The Participant Review Tool is to be completed in the participant's residence. Part of the tool requires that the service coordinator observe the environmental conditions of the participant to determine if there is anything that jeopardizes the health and welfare of the participant. This necessitates that the tool be completed in a face-to-face interview in the participant's home. Additional policy guidance will be issued to further clarify this requirement.

Question: Are we to monitor medications on this form?

Answer: No, the PRT is not designed to monitor medications.

Question: Will this task be transitioned to the MCO responsibility as the regions roll out into managed care?

Answer: It is anticipated that the PRT or an equivalent document will be utilized by MCOs for those participants receiving managed Long –Term Services and Supports through Community HealthChoices (CHC). SC's will continue to complete the PRT form for participants in the OBRA waiver and the Act 150 Program. These programs will not be included in CHC.

<u>Billable Activities</u>

Question: Is the PRT a billable activity? How about preparation for PRT visit?

Answer: Yes, both are billable as Service Coordination.

Question: If we use the paper version and come back to the office to enter in the electronic version, is that billable?

Answer: Yes, if it is done by the SC.

Question: Are there any time frames/limits for how long it should take for the tool to be completed and billed for?

Answer: Not at this time.

Question: If an SC completes a paper copy of the PRT with the participant in the field and then comes back to the office and enters into Question Pro, would both activities be considered billable?

Answer: Yes, both activities are considered billable, however the provider should be utilizing the most efficient process to complete the tool. If a laptop and internet access are normally available to the SC, then the tool should be completed directly in Question Pro.

<u>Question Pro Software</u>

Question: If the internet loses connection during the tool, can you get back into it?

Answer: No, unfortunately you would need to begin entering the information from the beginning.

Question: Is there a reason why there is no option to go back to a past screen? I'm thinking during course of conversation if additional information is shared, we would want to add.
Is it possible to make adjustments to the tool so we will have the ability to go back a page?

Answer: This is due to the design of this technology. No such adjustments can be made at this time to allow the tool to go back a page.

Question: Why is this form not part of SAMS?

Answer: This is due to the need for a centralized form and database.

Question: Can we save the document and revise/update after leaving the home? Is there a reason why saving and submitting later is not an option?

Answer: No. This is due to the design of this technology

Question: If a paper copy was completed, does the information still need to be entered into the electronic copy of Question Pro?

Answer: Yes, the information from the paper copy must be entered into the electronic copy of Question Pro.

Question: Does the SC need to register their email address individually for the Question Pro or can an SCE register all emails as a group?

Answer: The SCE may submit registrations as a group, as long as each SC's individual name and email address is listed. OLTL will send an email invitation to each SC that includes a link specific to that SC. The SC will use his or her unique link each time he or she completes the tool.

Question: Who's reviewing these tools in Question Pro?

Answer: OLTL.

Question: Do we have to keep the paper version in the participant's binder once it is entered online?

Answer: The completed, hand-written paper version of the tool does not meet this requirement. The participant's file must contain a completed copy of the tool that was entered into Question Pro and a one-page attestation form signed by the participant.

Question: We had several SCs use the tool over the past week. They have not participated in this webinar or been issued user names for Question Pro. Do they have to enter the data at a later date or only required to do so after October 1st?

Answer: The SCs do not need to reenter the data collected from the tool before the webinar and being registered in Question Pro. Effective October 1, 2016 all data collected on the PRT must be entered in Question Pro. Also, SCs may enter the data in Question Pro prior to the effective date of the bulletin which is October 1, 2016 provided that they have attended the webinar and have registered in Question Pro.

Question: Is the website live - the bulletin says effective October 1st - can a visit be done and the information collected and then be put into the site before that date? Or can the visit be done and put in after that date with a date of Sept?

Answer: October 1, 2016 is the effective date of the bulletin implementation and when the PRT is officially required to begin to be used. However, service coordinators may begin to use the tool prior to October 1, 2016 provided that they have registered with Question Pro and have participated in the training webinar. Data should be entered in Question Pro shortly after it has been collected. Data from September should be entered in September and not held until October to enter.

Question: For Aging Waiver, can the tool be saved electronically to the File Attachment Section in SAMS?

Answer: Yes. However the completed tool that is received back from Question Pro must be printed out in hard copy and kept in the participant's file along with the signed Participant Attestation form.

Question: When is the link being sent to the provided emails?

Answer: The email with the unique link is sent out from OLTL once the SC name and email address is sent to OLTL registering the SC in Question Pro.

Question: When a new SC is hired, do we need to update the list and resend so that the new SC can gain access?

Answer: When a new S C is hired that SC's name and email address needs to be submitted to OLTL at the following email address: RA-PWOLTLPMTREG@pa.gov

The entire list of names and email addresses for the SCE does not need to be sent again.

Question: Is form tracker considered hard copy?

Answer: No. The hard copy is the printed out document that the SC receives back from Question Pro after submitting the results to Question Pro using the SC's unique link. That is the hard copy document that is to be placed in the participant's file along with the signed participant attestation form.

Effective Date

Question: What is the start date for using the tool?

Answer: October 1, 2016. However, service coordinators may begin to use the tool prior to October 1, 2016 provided that they have registered with Question Pro and have participated in the training webinar.

Question: When do we have to have our current caseload completed? Can you clarify the time frame for completion of this tool for participants who are not receiving services in a residential setting? Can you please give us an example?

Answer: SCs are required to complete an initial Participant Review Tool within 90 days of the effective date of the bulletin # 59-16-08 (the effective date is October 1, 2016) for participants who receive the following services: Adult Daily Living, Structured Day Habilitation, Prevocational, and Residential Habilitation. For participants receiving all other services, SCs will complete an initial Participant Review Tool within the calendar year following the effective date of the bulletin. To clarify "calendar year" is intended to be the individual service plan year from the beginning of service plan and the 12 month period following. Example: With the exception of the 90 requirement for 4 services noted above, if a participant's individual service plan began May 1, the PRT would be administered to the participant sometime prior to May 1 of the next year, the 12 month period following the initiation of services. It is recommended that the PRT be completed at the face-to-face visit at the participant's home in which the CMI is NOT administered.

Question: If we have a new participant begin in Feb 2017 with Res Hab, do we need to complete the PRT <90 days or do we have the entire calendar year to complete?

Answer: The information provided in the email that accompanied the bulletin applies to existing participants only. For new participants enrolled after the effective date of the bulletin, you would have the entire calendar year to complete (consistent with what is in the bulletin itself). Again the "calendar year" is intended to mean the Individual Service Plan year for the participant which would be the 12 month period following the initiation of service.

Representative, DCW or POA

Question: Can the DCW be interviewed if they are also the representative? What if the parent or other family member is the representative in making decisions and answering questions with the participant but is also a DCW?

Answer: It is the intent of this process to obtain direct answers from the participant in completing the tool. If the participant cannot answer or chooses to have a representative answer the questions, a representative may answer the questions. It must be noted on the PRT that it was not the participant who answered the questions. PLEASE NOTE: The OLTL waivers allow for family members to provide personal assistance services but with the following exclusions: the waivers will NOT pay for services furnished by the participant's spouse, legal guardian, Representative Payee or Power of Attorney (POA). Act 150 allows family members to provide personal assistance services but with the flowing exclusions: Act 150 Program will NOT pay for services provided by a spouse, legal guardian, or Power of Attorney (POA).

Question: Can questions be directed at and answered by a personal representative if the participant is unable to answer? How do we go about completing the questions if the participant has dementia and the family member is the DCW? What if the participant is nonverbal or has dementia and doesn't have a personal rep?

Answer: It is the intent of this process to obtain direct answers from the participant in completing the tool. Questions may be answered by a personal representative if the participant is unable to answer them. If a participant has dementia and the family member is also the DCW and the only person able to answer the questions of the participant, they may answer the questions on behalf of the participant. If a person is nonverbal, suffers from dementia or does not have a representative, SCs must use the methods they employed to make a determination of need for services, assessed the participant for services and developed the individual service plan. In these cases, it must be noted on the PRT that it was not the participant who answered the questions.

Question: Some participants prefer to have their DCWs present during a visit. The tool is to be completed without the DCW present. Can they be present at the participant's request? If the participant states that they want the DCW/staff present during this interview, is it okay to continue with the interview?

Answer: It is the intent of this process to obtain direct answers from the participant in completing the tool. In those rare instances in which the participant has a strong preference to have the DCW present, it can be allowed. Questions in the PRT need to be directed to the participant with the DCW answering if that is the preference of the participant. However the SC needs to be aware of any indication that the participant is not answering questions openly or honestly or is otherwise intimidated with the DCW there. This will warrant documentation and review by the SC supervisor and may require additional follow up with the participant.

Question: Does the consumer have the right to refuse?

Answer: The participant should be advised that it is in his or her best interests to answer the questions in the PRT to ensure that they are receiving quality services, and if necessary, that adjustments can be made to their services to ensure quality services are being provided. If after thoroughly discussing the reasons for completing the PRT questions, the participant still refuses to answer the question, he or she may refuse to answer the questions in the tool. If a participant refuses to answer the questions, an entry must be made on the PRT indicating the refusal and the reason or reasons that the participant refused to answer the questions in the tool.

Question: If the chosen representative is answering the questions, is there a skip pattern?

Answer: Skip patterns are designed based on the answers not who is answering the question.

Question: If the DCW/parent is the representative (not a legal representative) and often assists in decision making can they be present for the Participant Review Tool? We have situations where Dad is CLE (common law employer) and mom is then DCW.

Answer: It is the intent of this process to obtain direct answers from the participant in completing the tool. The participant should answer the questions and not the DCW. In rare instances if it is the strong preference of the participant it may be allowed. **Please NOTE: The OLTL waivers allow for family members to provide personal assistance services but with the following exclusions: the waivers will NOT pay for services furnished by the participant's spouse, legal guardian, Representative Payee or Power of Attorney (POA). Act 150 allows family members to provide personal assistance services but with the flowing exclusions: Act 150 Program will NOT pay for services provided by a spouse, legal guardian, or Power of Attorney (POA).**

Question: Can the participant have others that are not the direct care worker present?

Answer: Yes, if the participant chooses to have someone else present.

Question: What happens when the participant can't answer a question and a rep is not present?

Answer: Completion of the tool must be scheduled when the participant is available to answer all of the appropriate questions. In those rare instances when the representative is needed to answer the questions, the visit must be scheduled for a time when the representative will be there.

Question: If a POA is answering the questions on the form, how will they respond to certain questions in regards to participant's satisfaction with their POA? Or does POA not complete the tool?

Answer: It is the intent of this process to obtain direct answers from the participant in completing the tool. If the participant cannot answer the questions on the tool and the only person available is the power of attorney, it should be duly noted in any comments at the end of the tool. The question "How satisfied are you with your POA?" need not be answered by the POA as it would be inappropriate to ask the POA to evaluate themselves in this participant review tool. The SC should also consider if this may be an indication that the participant is not being well served by the POA if for example they do not permit the participant to answer the questions. It may warrant documentation and review by the SC supervisor and additional follow up with the participant.

<u>Protective Services/EIM</u>

Question: How are SC's to check for APS reports, aside from EIM?

Answer: SC's can only check to see if any critical incident reports were entered into EIM since the last visit or contact. Language in the PRT instructions distributed with the bulletin is incorrect, will be rewritten and reissued.

Question: Are Older Adult Protective Service and Adult Protective Service aware that SC's will be reaching out? If so, is there a specific contact or way to check whether they've had involvement with the Consumer?

Answer: No, SC's are not to reach out to determine if protective services has been involved since the last visit or contact. The language that was in the instructions distributed with the bulletin on the PRT was incorrect. It will be rewritten and reissued. SC's should check if there have been any critical incidents in EIM since the last visit or contact with the participant.

Question: How will the SC "check" for OAPS involvement since the last visit or contact with the participant?

Answer: SCs will not be able to "check" for OAPS involvement. SC's can only check to see if any critical incident reports were entered into EIM since the last visit or contact. Language in the PRT instructions distributed with the bulletin is incorrect, will be rewritten and reissued.

SC Supervisor

Question: Does the tool require SC supervisor review and/or signature? What is the role of the SC supervisor in ensuring that follow up is conducted as a result of a completed tool?

Answer: Only, if any level of concern is found in Section 5 questions, or if significant concerns were raised in any of the survey questions, is the SC supervisor required to sign off on the completed review tool and mitigation plan. The SC supervisor is responsible to ensure that the mitigation plan is carried out. The actual signature of the SC and SC supervisor is on the Participant Attestation form. The signed Participant Attestation form is to be attached to the completed hard copy of the PRT in the participant's file.

Question: How is the supervisor supposed to review the tool if the SC completes it online and you cannot go back into the tool once it's closed? Do we have to wait for the copy to be returned in the email?

Answer: Yes. The supervisor will need to wait until the completed tool is returned from Question Pro in an email. The auto generated email will be sent shortly after the electronic submission of a completed tool into Question Pro.

Question: Is the SC Supervisor signature required on all attestations, or only the ones where there is a mitigation plan required?

Answer: The SC supervisor signature is required only on the attestation form in which a mitigation plan is necessary and needs to be reviewed by the SC supervisor.

Provider Owned and Operated Residential Settings

Question: Please give examples of residential settings in Section 4.

Answer: Residential Habilitation and Domiciliary Care or a provider owned and operated setting where the participant lives.

Question: When does the PRT need to be completed for participants in an owner/operator setting?

Answer: For provider owned/operated residential settings, the PRT must be completed within the first 90 days of the effective date of the bulletin which is October 1, 2016. Those residential settings are

Residential Habilitation and Domiciliary Care or any provider owned and operated setting where the participant lives. **Please note that in addition to these residential settings, participants using Adult Daily Living, Structured Day Habilitation, and Prevocational services must also have PRTs completed within 90 days from the effective date of the bulletin (October 1, 2016).**

Question: Will this tool impact Dom Care Participants?

Answer: The tool will impact any Dom Care resident who is receiving OLTL waiver services or services under Act 150.

Translation Services

Question: If the participant does not speak English and the direct care worker is the translator, how should the interview to be conducted?

Answer: The SC should use the language line on speaker phone during interview

Employment

Question: Are the AAAs going to get a copy of the Employment First policy?

Answer: The Executive Order is on the Governor's website. Link: https://www.governor.pa.gov/executive_orders/executive-order-2016-03-establishing-employment-first-policy-and-increasing-competitive-integrated-employment-for-pennsylvanians-with-a-disability/

Webinar and PowerPoint/Training

Question: When will you send us copies of this PowerPoint?

Answer: The webinar is posted on the DHS website. The link to the website PowerPoint is:

http://www.dhs.pa.gov/provider/training/

Question: Can the link be emailed to us? It is not possible to copy it from the slide.

Answer: You can manually type the link and press enter. You may want to save the link in your favorites for easier access in the future. The link to the PowerPoint and webinar has been distributed.

Question: Since there will not be any further training webinars on the PRT, what should an SCE do to train newly hired SC's or SC's who were unable to participate in one of the training webinars?

Answer: SCE's should make reviewing the webinar and PowerPoint which has been posted on the DHS web site a part of training program for any newly hired SC. Any SC who did not participate in the webinar should view the webinar posted on the DHS website. SCE's should make a record of the training for each SC and that record should be included in each SC personnel file.

Question: Will there be additional training sessions and how do I get a copy of the log to complete with my agencies SCs?

Answer: There are no additional training sessions planned. SC's may view the webinar PowerPoint on the DHS web site. The webinar is also posted with narration available for streaming on the DHS web site. The link is: http://www.dhs.pa.gov/provider/training/

The log for registering the SC's into Question Pro is attached to the Participant Reviews Bulletin #59-16-08.

http://www.dhs.pa.gov/publications/bulletinsearch/bulletinsearchresults/index.htm?po=OLTL