FISCAL YEAR 2016-2017
SCOPE OF SERVICE

PROTECTIVE SERVICES - GUARDIANSHIP PROGRAM

I. PURPOSE

Guardianship services are provided to establish a legal relationship to make decisions on behalf of incapacitated persons as determined by the Court. The Guardianship Program is a social work service that supports wards in achieving and sustaining their highest possible level of functioning.

II. DEFINITIONS

A. **The Area Agency on Aging (ACDHS/AAA)** is a program office of the Allegheny County Department of Human Services (DHS) that receives grant funds from the Pennsylvania Department of Aging (PDA) to provide programs and services that enable and empower adults who are 60 years of age and older and live in Allegheny County to maintain independent, safe and healthy lives.

B. **Guardianship** is a legal relationship in which one person, or an Agency (the guardian), is given the duty and the right to make decisions on behalf of another (the ward).

C. **Master Provider Enterprise Repository (MPER)** - a repository of key Provider demographic data for all contracted providers who provide services for DHS. DHS applications use MPER to validate contract, services, facilities and rate information to facilitate documentation of services rendered information by Providers. Contracted Providers are required to keep all agency information including but not limited to contacts, facilities and service offering information up to date.

D. **Pennsylvania Department of Aging (PDA)** coordinates and funds the aging service programs provided by the 52 area agencies on aging that serve older adults in the state.

E. **Social Assistance Management System (SAMS)** is software used to track all services provided to participants with Allegheny County Department of Human Services Area Agency on Aging (ACDHS/AAA) funding.

III. AGING PROGRAM DIRECTIVE (APD) / FEDERAL / STATE REGULATORY REFERENCE AND COMPLIANCE

Organizations providing services outlined in this Scope of Service shall comply with all federal and state directives listed:

Laws

- 2006 Reauthorization of the Older Americans Act
- Pa. Statute Title 35 (Older Adults Protective Services Act)

Regulations

- 6 PA Code Chapter 15

This Scope of Service is subject to change based on changes to the above directives.

IV. PERFORMANCE EVALUTION

Each contract year the ACDHS/AAA will inform clear expectations of acceptable performance standards to the CONTRACTOR and hold the CONTRACTOR accountable to them. These standards relate to compliance with applicable policies, regulatory guidelines, contract scopes, and Performance Based Contracting (PBC), where applicable, to support ongoing service quality and to best meet or exceed the participants' needs and to optimize service impact on its participants. The CONTRACTOR is responsible for adhering to the timelines in reporting its compliance to the scopes and using findings to build on its strengths and develop strategies on opportunities, through a continuous quality improvement process.

V. SERVICE STANDARDS, REPORTING AND DOCUMENTATION REQUIREMENTS

A. Guardianship Provider Agency is expected to work with ACDHS/AAA to establish benchmarks for each of the following outcomes. Guardianship Provider Agency is expected to evaluate program performance using the established indicators with the ACDHS/AAA in evaluating performance. The following are outcomes that will be used to guide the development of benchmarks.

B. The CONTRACTOR is responsible for accurately recording all participant service and program data into the appropriate information management system (SAMS, Omnia) by the seventh (7th) working day of the month for the prior month's transactions. The CONTRACTOR is responsible for coordinating appropriate information management system training (SAMS, Omnia) and the transfer of knowledge & information to existing and new staff.

C. The Guardianship Provider Agency will have the capacity to retrieve and submit data, information, reports and other communications through electronic internet communications within one business week. Failure to receive or read Area Agency on Aging communications sent to the CONTRACTOR MPER e-mail address the same day does not absolve CONTRACTOR from knowing, responding to or complying with the content of that communication.

D. Only activities performed directly for the ward may be reported as a unit of service.

1. One (1) unit equals one (1) hour of intervention and supportive activity to or on behalf of the participant. Fractions of hours are to be cumulated for monthly reports.

2. The guardian shall maintain a file which should include, but is not limited to: A copy of the Guardianship Referral, Petition, Affidavit of Incapacity, Act 77, Court Order, Power of Attorney (POA), Petition for Allowance, Inventory and Annual reports, Rep Payee Authorization, correspondence RE: Social Security benefits, Veterans Administration (VA) benefits, fiduciary reports, pension information, medical insurances / Medicare, taxes / rent rebates, life insurance policies, burial accounts, cemetery information, bills and financial statements, residential agreements, ledger, and a participant log of all contracts and / or activities made on behalf of the participant. Missing information insert sheets will be placed in folders to explain any discrepancy in required information.

3. The guardian shall maintain a detailed, accurate accounting of all financial management transactions and / or activities. All paper checks issued on behalf of a ward must have dual signatures from guardianship staff and / or administrative staff. Guardians must sign

to receive monies. Any remaining money from purchases must be returned for redeposit into ward's account.

4. The guardian shall maintain all other records and documentation of guardianship cases, including data required by ACDHS/AAA, guardianship agency's attorney and / or Orphans' Court. This includes narratives written at the conclusion of each monthly visit with the ward(s), which address any issues involving the ward, including residential status.

5. Following the death of a ward, the Guardian shall prepare a final accounting, including initial balance, income, expenses and final balance. The accounting shall be completed according to established Court procedure and be filed by Guardianship Agency's Attorney.

E. Internal Review

Quarterly, the guardianship staff shall conduct a sample review. The review shall include, but is not limited to, the consideration and discussion of the following:

1. The current physical, mental and social condition of the participant

2. The adequacy and appropriateness of the participant's living situation

3. The appropriateness and adequacy of medical, vocational, educational and other professional services received by the participant

4. The frequency and nature of the program's visits to the participant

5. The need for continuation, limitation or termination of the Guardianship

6. The financial situation of the participant, including an assessment of the participant's eligibility for financial benefits and other entitlements

7. The program's compliance with applicable statutes, letters of authority and the standards set forth in this document

8. The continued appropriateness of the participant plan and the diligence of the program in carrying out that participant plan

9. Any other situation or circumstance relevant to the participant's welfare

F. Guardianship Program Standards and Requirements

1. Participation in legal and social services aspects of the guardianship process; the guardian shall:

   a. Be thoroughly knowledgeable of all Allegheny County Department of Human Services/Allegheny County Area Agency on Aging (ACDHS/AAA) Protective Services and Guardianship program requirements

   b. Be notified of all pending guardianship cases by ACDHS/AAA Protective Services Manager

   c. Receive guardianship petition and / or other pertinent information prior to scheduled hearing

   d. Sign Consent Order and return to Allegheny County Law Department (ACLD)

   e. Review each case with the ACLD attorney a minimum of ten (10) days prior to the scheduled hearing

   f. Be aware of the social and legal aspects involved in the guardianship case to the extent possible prior to the hearing

   g. Attend all guardianship hearings in which the Guardianship Agency is to be the guardian

   h. Meet with the ward as soon as feasible but no later than one (1) week after assignment as designated guardian

   i. File inventory and petition for allowance, after court hearing and assignment as Guardian of Estate

   j. Consult, as appropriate, with the Guardianship Agency's Attorney to assure that social and legal matters are efficiently, effectively and legally managed after appointment as guardian

k. Personally contact the wards once a month or as needed; if the ward cannot be visited, contact may be made by telephone to participant or caregiver

l. Monitor the status of all wards according to ACDHS/AAA policies and procedures

m. Inform Orphans Court of any change in participant's residence

n. Maintain primary case file, and be responsible for reassessment, and yearly update of the Participant Registration Form for all wards

o. Review each community based ward's case with the social service worker biannually or when there is a significant change in level of care and / or services;

p. Maintain accurate and current participant files and records

q. Once ACLD stops functioning as legal counsel, Precipe of Order needs to be filed in order for the new attorney to assume role (applies to all types of guardianships)

2. The Guardian of Person shall:

a. Act as court-appointed Guardian of Person for all designated guardianship cases

b. Monitor the care of wards in protective settings such as personal care boarding homes, intermediate care facilities, and skilled nursing facilities

c. Assume responsibility and make decisions in regard to medical care and treatment for guardianship participants after seeking full disclosures and investigation of risks and / or alternative medical treatment through consultation with all appropriate medical personnel

d. Be responsible for arranging transport of wards when no other community resources are available

e. Determine appropriate action necessary to meet ward's basic need of food, shelter, personal and medical care in conjunction with assigned social services worker; be responsible for ensuring that appropriate action is taken

f. Terminate duties and activities upon the death of a ward. However, in exceptional circumstances, the Procedures Following the Death of a Ward shall be followed. (Any additional legal responsibilities; i.e., probating of wills, will be handled by a private attorney)

g. Ensure the maintenance of the ward's health

A guardian having appropriate authority has the duty to ensure the maintenance of the ward's health. This includes not only the duty to react to any medical situations which demand attention, securing and authorizing necessary medical treatment, but, in addition, the duty to ensure the ward receives regular preventive medical and dental services. If the ward is a resident of a facility or a patient in a hospital, the guardian shall periodically examine the medical records of the ward and speak with attending physician(s) and other caregivers to ensure that the ward is receiving proper and necessary medical care.

h. Make medical decisions

i. A guardian having appropriate authority shall consider the following factors when called upon to make a medical decision for a ward:

- Any wishes of the ward, expressed prior to appointment of a guardian, including but not limited to wishes expressed in a living will, a durable power of attorney, or any other oral or written declaration of intent

- Whatever knowledge the guardian has of the ward, what he / she believes the ward would have wanted if able to make the decision

- The current wishes of the ward with regard to the decisions

- The perceived best interests of the ward

ii. The guardian may authorize the following medical interventions if performed without anesthesia or with only a local anesthetic, after considering the criteria listed above:

- Diagnostic physical examinations

- Eye examinations

- Limited use of x-rays

- Routine dental procedures, such as teeth cleaning, fillings, etc.

- Physical therapy

- Minor medications, both prescription and non-prescription, such as aspirin, cold medications, vitamins, etc.

- Routine low risk immunizations

iii. Absent an emergency, a guardian having the appropriate authority shall not grant or deny authorization for the following medical interventions until he / she has given careful consideration to the criteria listed above and consulted with a physician who has examined the ward.

- Medical interventions requiring general or major anesthesia or involving a moderate to significant risk to the ward

- Administration of potentially damaging drugs, regimen or therapy

- Interventions which drastically affect the appearance or functioning, such as surgery, amputation, eye surgery and cosmetic surgery

- Interventions which may create significant emotional, behavioral or psychological trauma

- Any treatments which require restraints, whether chemical or mechanical, or any aversive behavior modification

- Interventions which pose a significant risk to the ward, due to the ward's condition or unique vulnerabilities. By way of illustration unique conditions or vulnerabilities would include but are not limited to such things as allergic reactions, poor health, bleeding problems and heart conditions

- Administration of anti-psychotic or psychotropic drugs

- Implementation of do not resuscitate orders

- Any other treatment or intervention which would cause a reasonable person to seek a second medical opinion

- Emergency medical treatment

  In all emergency situations the guardian shall speak with the treatment or attending physician before authorizing or denying any medical treatment.

3. The Guardian of Estate shall:

a. Act as Court-appointed Guardian of Estate for all designated wards for whom there is no relative, significant other, facility, or bank willing or able to assume this role

b. Be responsible for all necessary financial management activities

c. Set up banking arrangement and mechanisms for payment of ward's bills:

i. Procedures established by individual banking institutions shall be followed

ii. Only name(s) of the participant's Guardianship Provider Agency shall be included on the accounts.

d. Act as Representative Payee for Social Security payments, and exercise authority to manage pension and other checks

e. Oversee record-keeping and accounting of all financial transactions

f. File the inventory, including logging of all tangible assets by at least two (2) guardianship workers

g. Protect the assets of a ward's estate

h. Be responsible for liquidating assets, as necessary:

i. Complete an inventory of all real and personal property; the inventory shall be completed with another authorized individual

ii. Arrange the sale or disposal of ward's real property / properties under the guidance and direction of the Guardianship Agency's Attorney

iii. Arrange for sale or disposal of ward's personal property, under guidance and direction of the Guardianship Provider Agency's attorney, if ward is in permanent protective placement; assure that family members have priority for purchase of valuable items

iv. Items with no material value may be given to family members

i. Arrange for temporary storage of personal property when the ward is placed in a temporary living arrangement

j. Establish an irrevocable burial trust; prepay for a burial plot, including opening and closing costs associated with same

k. Complete all necessary tax filings

l. Perform other necessary responsibilities and duties commensurate with the defined responsibilities of Guardian of Estate

4. Limited Guardian

A limited guardian acts in either the capacity of guardian of person or guardian of estate, or sometimes both, in such a manner as to make decisions only in areas where the ward is deemed to be incapacitated by Orphans' Court.

5. Emergency Guardian

a. An emergency guardian has only the authority to resolve the problem leading to an emergency (general authorization for medical treatment, placement or some action to protect the ward's estate). The emergency guardian is appointed only when there is good reason to believe that the ward or his/her estate will suffer irreparable harm unless some immediate action is taken.

b. The emergency guardian shall serve in this capacity for seventy two (72) hours, at which time a review hearing is

held. At the review hearing, the Judge may permit the emergency guardianship to continue until the full guardianship hearing is held. The Court may, however, waiver any provisions in this section.

G. Procedures Following the Death of a Ward

1. Upon the death of a ward, in exceptional circumstances, as requested by ACDHS/AAA, the Guardian shall:

   a. Notify any agency providing benefits to the ward or beneficiary including ACDHS/AAA, the Social Security Administration and the Veterans Administration

   b. Make arrangements with a funeral home if no family or friends are available to make such arrangements

   c. Apply for burial funds if necessary; if purchase of a burial plot is necessary, petition the Court; Submit a final accounting of the ward's estate to the court

   d. Following the death of a ward, the Guardian shall prepare a final accounting, including initial balance, income, expenses and final balance. The accounting shall be completed according to established Court procedure and be filed by guardianship Agency's Attorney.

2. Prohibitions and Limitations

   a. A guardian shall not commingle personal or program funds with the funds of a ward or beneficiary.

   b. A guardian shall not sell or encumber real or personal property or any interest therein to himself, a spouse, an agency, or attorney, or any corporate or trust in which the Guardian has a substantial beneficial interest.

c. A guardian shall not borrow funds from, or lend funds to, the ward or beneficiary, unless the transaction is approved by the court.

d. A guardian cannot voluntarily commit a ward for a psychiatric hospitalization or evaluation.

e. A guardian may petition for an involuntary commitment providing he / she can verify that the ward's action(s) pose a threat to the safety of the ward or to others. The Mental Health Procedures Act must be followed.

f. A guardian may request a Court Order for a psychological evaluation based upon his / her observations of potentially threatening behavior by the ward.

H. Eligibility and Enrollment Requirements

Appropriate participants for guardianship are individuals who are adjudicated by the court to be incapacitated; that is, the individual's ability to receive and evaluate information effectively and communicate decisions in any way is impaired to such a significant extent that he / she is partially or totally unable to manage his / her financial resources or to meet essential requirements for his / her physical health and safety.

1. All participants shall be referred for guardianship by ACDHS/AAA or their authorized agent.

2. Final determination of a participant's eligibility for ACDHS/AAA guardianship shall be made by ACDHS/AAA and ACLD.

I. Rights of Individual Under Guardianship

1. The right to exercise control over all aspects of his / her life not delegated to a guardian by the court

2. The right to be treated with dignity and respect

3. The right to guardianship services suited to his / her condition and needs

4. The right to privacy, including: the right to body privacy, the right to unimpeded, private and uncensored communication with others by mail and telephone, the right to engage in sexual activity, and the right to visit with persons of his / her choice, unless such visits or communication are not in the best interests of the ward

5. The right to have personal desires, preferences and opinions given due consideration in decisions being made by the Guardian

6. The right to petition the Court for termination or modification of the guardianship; notification of this right shall include an explanation of the steps necessary to initiate the procedure

J. Insurance Requirements

1. All ACDHS/AAA and Allegheny County insurance requirements shall be met.

2. All guardianship staff are covered by Guardianship Provider Agency's omission insurance.

K. Personnel

1. Guardian Qualifications

a. Knowledge of and interest in the problems of the elderly

b. A combination of education and experience equivalent to at least a Bachelor's degree and two (2) years experience in the social services

c. Ability to perform activities of financial management

d. Ability to make decisive, long-range decisions

2. The Guardianship Provider Agency Responsibilities:

a. Interviewing, screening and selecting the guardianship candidate who has no criminal history that would be inconsistent with being a guardian

b. Providing the worker with training in guardianship statutes and the ACDHS/AAA Guardianship Program

c. Arranging training by ACLD in financial documentation and the Allegheny County court system

3. There shall be a sufficient number of guardians to carry out all the duties and responsibilities of this contract.

a. Each guardian will carry a maximum of forty (40) service slots. Each slot is designated to be either guardian or person or guardian of estate.

b. The supervisor will designate the number of slots allocated to each guardian in accordance with the workload designation in the guardian's job description.

L. Documentation

1. Guardians are responsible for entering and updating all guardianship program data requirements into SAMS, the mandated database required by the Pennsylvania Department of Aging.

2. Guardianship Provider Agency is responsible for coordinating appropriate information management system training (SAMS), and the transfer of knowledge and information to current and new staff.

3. All documentation must be entered into SAMS within three working days after the guardian contacts the ward or commits to a business transaction on behalf of the ward.

4. Guardianship Provider Agency is required to generate monthly reports on the data and its impact on wards for submission to the ACDHS/AAA by close of the last business day of the month for the prior month's data. Guardianship Provider Agency must have the capacity to retrieve and submit data, information, reports and other communication through electronic Internet capabilities within one business day of receipt. Failure to receive or read ACDHS/AAA communications sent to Guardianship Provider Agency's MPER e-mail addresses the same day does not absolve Guardianship

Provider Agency from knowing, responding to or complying with the directives in the communication.

M. Disaster/Emergency Situations

In the case of non-institutional (homebound) wards, guardians check on the well-being of wards and provide additional guardianship services to those facing emergency situations in their homes, such as severe weather, property damage or utility issues.

1. At all times, the emergency plans of Guardianship Provider Agency must be current, actionable, routinely updated, practiced, followed and, at a minimum, be in compliance with the ACDHS/AAA Emergency Response Plan.

2. Guardianship Provider Agency is expected to respond within 24 hours of notification by ACDHS/AAA of public emergency (24 hours a day/7 days a week) in accordance with the ACDHS/AAA Emergency Plan.

3. All homebound wards must be visited in the case of public emergency situations to ensure their safety and mitigation of risk.

4. The guardian visits, assesses and appropriately intervenes the same day (available 24 hours a day / 7 days a week), on notification by ACDHS/AAA that an emergency situation affecting a participant exists, and reports back to ACDHS/AAA within 48 hours. Notification by ACDHS/AAA will consist of entering an action in SAMS and following up with a phone call to the Guardianship Provider Agency.

N. Competencies

1. As representatives of the ACDHS/AAA, Guardianship Provider Agency is expected to aspire to the highest ethical values, accountability and professionalism in all aspects of their work, beginning with the hiring of staff and through all interactions with wards and caregivers. At the center of guardianship practice are three primary values:

a. Build on the wisdom and strengths of older adults and those who care for them.

b. Honor the individual choices made by those whom we serve.

c. Respect individual diversity as it enriches the community, and be inclusive in guardianship services.

2. These values are manifested through the following guardianship core competencies and reflect the fundamental ethics of the profession:

a. Strengths-Based Approach is the ability to respect and apply the personal strengths or assets acquired by wards through life experiences. The strengths-based approach is not license for guardians to abdicate responsibility for assisting wards who are unable to act on their own behalf. It is the ability to encourage and empower wards to use their own strengths and assets to meet their responsibilities, secure their rights, and achieve positive change and balance in their lives.

b. Effective Communication is the ability to use effective oral and written communication. This includes interview and active listening skills to engage and negotiate with a diverse range of wards, caregivers, and informal support groups and organizations.

c. Identification of Needs is the ability to work in partnership with wards, caregivers and other professionals to assess the wards' circumstances; to identify the ward and caregiver needs, risks, gaps, opportunities; and to respond appropriately. Guardians must have the skills to deal with the various circumstances encountered in their work, including basic understanding of medical issues as they relate to normal and abnormal aging, mental health issues, substance abuse, physical or cognitive disabilities and other challenges. It is the ability to provide opportunities for wards to function; participate and develop to their highest possible level of independence in their environments.

d. Service Coordination is the ability to arrange for and coordinate the guardianship services necessary for the ward's appropriate levels of care and protection through the ACDHS/AAA and other resources. It is the ability to follow, review and monitor established guardianship services to ensure that they continue to meet guardianship participant needs and mitigate risk, and to amend guardianship services as needed.

e. Relationship Building is the ability to establish and maintain effective relationships built on a foundation of trust and respect with wards and their caregivers.

f. Understanding Systems is the ability to comprehend, navigate and explain to the extent possible the aging services network and procedures across and within agencies, including issues related to formal and informal support systems. Guardians also should be able to guide and assist wards with services outside of the ACDHS/AAA network, as needed.

g. Time Management is the ability to use time effectively and efficiently and to prioritize tasks accordingly.

h. Decision Making and Problem Solving is the ability to make sound decisions based on analysis, wisdom, experience and judgment. It also involves the use of logic and methods to solve complex problems.

i. Understanding the ward's Environment is the ability to think critically and apply knowledge to understand wards and caregivers in the context of their environment. It is the ability to adapt behavior and opinions in light of the ward's situation and remain flexible in responding to differences.

j. Evidence-based Approach is the ability to understand and practice evidence-based (i.e., reliable, objective data) techniques when working with wards and caregivers.

k. Continuing Education is the ability and commitment to improve skills and knowledge by engaging guardians and supervisors in professional development opportunities, including appropriate certifications and trainings. It also involves the ability to impart aging specific knowledge to guardians by which they may expand their expertise, performance and professional development over time.

O. Ward and Caregiver Rights

Guardians are responsible to adhere to specific ethical standards during their interaction with wards and caregivers. These include but are not limited to the following:

1. All wards and caregivers must be treated in a manner that is respectful of their individual rights, interests, needs and values.

2. All wards must be informed of all available, appropriate guardianship service alternatives and made aware of the conditions of service delivery.

3. All wards and caregivers must be fully supported in the self-direction, to the extent possible, of their strengths-based care.

4. Care managers must fully support responsible ward's rights to appeal decisions, file complaints or seek additional information about their guardianship services by explaining to the extent possible, how, when and where to engage in the appropriate processes.

P. Coordination of Service Delivery

1. The guardian is responsible for coordinating the guardianship services necessary for the ward's appropriate level of care and protection through the ACDHS/AAA and other resources. Coordination includes arranging for, reviewing and monitoring established guardianship services, and amending guardianship services as needed in order to meet ward's changing needs, mitigate risks, and support the highest possible level of functioning and independence.

2. Confidentiality. Guardians are responsible for implementing all necessary procedures and safeguards to protect and maintain the integrity and confidentiality of all verbal, written and electronic ward and caregiver data according to applicable federal Health Insurance Portability and Accountability Act (HIPAA) standards. Guardians are liable to criminal or civil penalties for breaches of ward confidentiality.

3. Geographic Service Area

   a. Service shall be provided only to individuals residing within the contracted service area except in circumstances specified below.

   b. ACDHS/AAA reserves the right to require the provider to serve individuals residing outside the contracted service area to meet special needs or circumstances. The provider may serve individuals residing outside the contracted service area to meet special needs or circumstances only with prior ACDHS/AAA approval.

4. Hours of Operation

   Guardianship Provider Agency is required to submit to the AAA written protocols for contacting key personnel both during operating hours and after hours.

   a. At least one professional staff member shall be available in the office during the guardian's normal hours of operation.

   b. After normal hours, a recorded phone message shall be in place to advise callers of emergency or crisis intervention procedures. In addition, building signage and contact information on the Guardianship Provider Agency's website must be posted.

   c. An administrative or professional staff person shall be available on call when the Guardianship Provider Agency's offices are closed.

d. Guardianship Provider Agency must address the needs of caregivers and participants who are not able to consult with guardians during normal working hours.

e. Guardianship Provider Agency shall submit annually to the ACDHS/AAA written documentation of their hours of operation and a list of holidays / closures.

f. Guardianship Provider Agency shall develop and maintain a detailed, written contingency plan outlining emergency operation and closure procedures and submit an updated copy to the ACDHS/AAA by the last business day of August, during the term of any agreement with ACDHS/AAA. The contingency plans will include specific details about how communication between the Guardianship Provider Agency and the ACDHS/AAA will occur with timelines and lines of responsibility specified. The Guardianship Provider Agency's Emergency Plan is current, actionable, routinely updated, practiced, followed and in compliance with ACDHS/AAA Emergency Response Plan.

5. Hard Copy Documentation

All financial records, supporting documents and other ward shall be retained for four (4) years after case closures or until all litigation, claims or audits have been resolved and final actions taken. Records may be stored in hard copy or electronic storage media. Records must be available to ACDHS/AAA to view for monitoring or auditing purposes. All documents with original signatures must be available in hard copy upon request. All hard copy records must be destroyed when purged. A hard copy of the ward's documents must be kept on file.

6. Minimum Systems Requirements

The PDA mandates the use of SAMS as the ward's database for the Guardianship Program. Guardianship Provider Agency must utilize the SAMS database. A stand-alone installation installs a single instance of SAMS on a machine, with MSDE/SQL data base components, and requires the following:

- Processor: 2.0 Ghz processing or better

- RAM: 2 GB (Minimum)/ 4 GB (recommended)
  Note: The greater number of applications running concurrently on your PC, the more PC RAM is required to ensure optimal performance.

- Screen Resolution: Minimum 1024x768 (1280x1024 is ideal)

- Internet Access: 40 -45 KB/s (kilobytes per second for each concurrent user)

  Note: Harmony does not support dial-up access

- Microsoft Silverlight: Silverlight version 5.1.30214.0 and higher

- Maximum Latency: 100ms or less

- Other Add-Ons:
  - Adobe Reader: Required for viewing/printing PDF files
  - Adobe Flash Player: Required for On-Demand trainings
  - Microsoft Office: Required to export in word or excel

- E-mail capability

7. System Updates

   Guardianship Providers must have the capability to respond to any changes in SAMS requirements indicated by the ACDHS/AAA or PDA during the term of the contract.

Q. Guardianship Organizational Changes

1. In cases where Guardianship Provider Agency changes ownership or undergoes a major restructuring, including major changes to the submitted organizational chart or acquisition of another entity, such change must be reported in writing to the ACDHS/AAA 30 days prior to the change or in urgent circumstances within 48 hours of

confirmation of the change. Major organizational changes may result in the ACDHS/AAA conducting a full on-site review to assess continued adherence to the terms of the contract for guardianship services under the Guardianship Provider Agency's new structure.

2. Continuation of the contract with ACDHS/AAA is contingent on a finding of the on-site review that the terms of the contract will be adhered to under the change or restructuring.

R. Personnel Requirements and Qualifications

1. Guardians

Guardians are members of multi-disciplinary teams that provide services to wards and caregivers within a defined geographic area. Guardians assess, plan, implement and evaluate needs and services. Guardians also assist wards and caregivers in identifying, securing, negotiating and coordinating the application of resources.

2. Minimum Guardian Qualifications

a. Bachelor of Science or Arts degree.

b. Ability to work independently.

c. Ability to coordinate wards' appointments and travel scheduling efficiently, and report allowable expenses and billable hours accurately.

d. Proficiency in the use of a personal computer or laptop with MS Office Suite software, cell (smart) phone and the Internet.

e. Additional desired qualifications include at least one year of case management experience in human services, working knowledge of the provision of health care in various settings, and knowledge of community resources and care delivery systems.

3. Supervisors

Guardianship supervisors lead multi-disciplinary teams that provide services to wards within defined geographic areas. Supervisors oversee guardians who assist wards and caregivers in identifying, securing, negotiating and coordinating the application of resources.

4. Supervisors perform a number of functions within guardianship teams. These functions include, but are not limited to the following:

   a. Train and supervise new and current guardianship staff, and plan, assign, review and evaluate their work.

   b. Review, approve and sign off on case records and service plans.

   c. Assess the professional development, learning patterns and performance of subordinate staff, and assist them in developing social work skills.

   d. Assign work consistent with organizational policies and priorities and the capabilities of subordinate staff.

   e. Determine procedures for resolving problems and issues according to sound case work practices and departmental policies.

   f. Confirm the eligibility for guardianship services of potential wards, and take responsibility for final decisions to accept or terminate wards from programs.

   g. Develop procedures and controls to accomplish work within the framework of established laws, policies and priorities.

   h. Conduct group and individual conferences with staff to discuss assignments, the status of current cases, rules, regulations, policies and laws.

   i. Maintain records on work quality and quantity.

j. Coordinate staff scheduling (including emergency, on-call and back-up coverage) and work with other units, evaluate staff performance and administer corrective actions.

k. Prepare reports, correspondence and other communications, and perform research.

l. Represent the unit in relationships with other external organizations.

m. Evaluate policies and procedures, and make recommendations to supervisors and administrators to improve programs.

n. Participate in the development of guardianship services.

5. Supervisors must have all of the competencies required of guardians. They must demonstrate leadership qualities and abilities. In addition to the guardianship competencies indicated above, guardianship supervisors must possess the following minimum qualifications:

   a. A Bachelor of Science or Arts degree and at least two years of guardianship experience.

   b. Additional desired qualifications include an advanced degree in social services, psychology, social work or a related discipline, and leadership training and experience in Continuous Quality Improvement or Quality Assurance programs.

6. Guardianship Personnel Changes

   The ACDHS/AAA Guardianship unit shall be notified within five working days of any changes or open positions for care managers and supervisors in the Guardianship Program.

7. Professional Consultation and Additional Expertise.

Guardians must be able to call upon external professionals to provide consultation and services in areas beyond the expertise or experience of internal guardianship staff (e.g., nursing, community resources, physical and occupational therapy, behavioral health and intellectual disabilities, substance abuse, financial affairs, caregiving, physical medicine, etc.).

8. Criminal History Information

Guardianship Providers must require all employees to submit the original criminal history clearance from the Pennsylvania (PA) state police (PATCH/Act 31 clearance) before rendering service to a participant. The report must be dated within one year prior to the employee's start date. If PA residency is less than 2 consecutive years prior to the date of hire, an original Federal Bureau of Investigation (FBI) criminal history check, through the PA Department of Aging, is completed in addition to the PATCH. Substitute clearances are not acceptable. Guardianship Provider staff may not work directly with wards until the appropriate criminal clearance is received and documented in the employee's personnel file where it shall be maintained. Applicants must be notified in writing by the Guardianship Provider if they are not hired, in whole or in part, based on criminal history record information.

9. SAMS Training

Guardianship Provider Agency should have an adequate number of staff trained on SAMS so that service documentation is not disrupted in the event of the departure of SAMS-trained staff from the employment of Guardianship Provider Agency.

VI. RESPONSIBILITIES / EXPECTATIONS OF THE PROGRAM OFFICE (ACDHS/AAA)

ACDHS/AAA will support the Guardian Provider Agency in meeting service standards and requirements by providing the following:

A. Developing interim program policies and procedures to meet all Pennsylvania Department of Aging and local requirements during the life of this contract.

B. Program Monitoring and evaluation to assure compliance with the specifications and terms of this contract

C. Developing all intake, assessment and reporting forms to be used for this contract

D. Specifying procedures for initiation and termination of service

E. Technical assistance as needed regarding program requirements

F. Technical assistance, direction and cooperation to assist the CONTRACTOR in satisfactorily recording program and service data into the appropriate information management system (SAMS).