

Office for Citizens With Developmental Disabilities (OCDD)	OPERATIONAL INSTRUCTION #:
SUBJECT: Preadmission Screening and Resident Review (PASRR)	DEVELOPED BY: Clinical Services
APPLICABLE DEPARTMENTS: Developmental Centers, Regional Offices, and other OCDD Administrative Units	
ADOPTED: Draft 09/21/10	REVISED:
APPROVED:	REVIEWED:

PREAMISSION SCREENING AND RESIDENT REVIEW (PASRR)

I. Overview

The Office for Citizens with Developmental Disabilities (OCDD) is responsible for reviewing nursing home admissions involving people with developmental disabilities (DD) in compliance with Federal Regulations CFR 42, Part 483 Subpart C (Preadmission Screening and Annual Review of Mentally Ill and Mentally Retarded Individuals).

The purpose of this review is to determine the support needs of a person with a developmental disability and the appropriateness of a nursing home environment for meeting these needs. It is the position of OCDD that no person should be required to live in a nursing home environment to meet his or her support needs and that no person should be required to live in a nursing home simply for having a developmental disability.

Additionally, people with developmental disabilities who have medical support needs may be better served in environments where there is greater opportunity for community inclusion, skills growth, and/or lifestyle choices, so long as the necessary medical services can be provided in an alternative environment.

The procedures described in this document are intended to provide a consistent and comprehensive process for: (1) identifying the needed supports and services; (2) determining the appropriateness of nursing facility services; and (3) conducting annual reviews.

II. PASRR Screen and Determination: Level I

For admission into a Medicaid-funded Nursing Facility (NF), a Level I Screening will be conducted by the Department of Health and Hospitals (DHH)/Office of Aging and Adult Services (OAAS) to identify people who may have a developmental disability or mental health disorder. If the Level I screening indicates that a developmental disability may be present, as defined by Act 128 of the 2005 Louisiana Legislative Session, OAAS will send a referral packet to the OCDD Regional Administrative Unit (RAU - defined as regional offices and human services authorities and districts) in the region in which the person resides, or the region in which the parent/guardian resides if the person is under the age of 18 or is interdicted.

A. Criteria for Accepting the Referral Packet

The following criterion will be required for submission of a PASRR referral packet.

1. A complete packet with specified documentation will be required. No packet will be accepted by the OCDD RAU unless all documentation is present and properly completed. At a minimum, the Level I Screening Packet will include the following:
 - a. Level I PASRR Screen and Determination Form (Appendix A-1)
[Form can be found on the OAAS website.]
 - b. Bureau of Health Services Financing (BHSF) Form 142

When a packet is deemed inadequate or incomplete, RAU staff will notify OAAS as to the necessary documentation to be provided before the packet will be accepted.

2. The following documents (information) must be included in the original packet from OAAS in order to expedite the OCDD final decision:
 - a. Medical history and current reports relevant to nursing home admission, including the documented medical reason for admission;
 - b. Psychological evaluation, if available;
 - c. Plan of Care or Individual Support Plan, if available;
 - d. Social History, if available;
 - e. Psychiatric evaluation (if the person has a documented psychiatric disorder);
 - f. Other evaluations, if available, such as:
 - Occupational Therapy (OT)
 - Physical Therapy (PT)
 - Speech Therapy (ST)
 - Nutrition
 - Vocational/Employment
 - Education
 - Medical Specialties (e.g., Neurology, Cardiology, Oncology, Gynecology, etc.)

B. Exemptions to PASRR Review

A PASRR review will be conducted by an OCDD RAU when the OAAS suspects that a person referred to a Nursing Facility (NF) has a developmental disability with the following exemptions:

1. Exempted Hospital Discharge: This includes people who are admitted from a hospital to a NF for 30 days or less. If admission is for greater than 30 days, the nursing facility is to refer the person to the OCDD RAU.
2. Transfers: This includes anyone transferring from one NF to another NF. The NF is responsible for ensuring that copies of the resident's most recent PASRR and resident assessment reports accompany the transferring resident.
3. Re-admissions Following Hospitalizations: This includes people who are admitted to a hospital from a NF and are returning to a NF.

III. Evaluation and Determination: Level II**A. Completed PASRR referral packet received at the RAU**

When a completed packet is received at the RAU, initiation and data tracking of the PASRR process will begin as follows:

1. Staff will enter the PASRR information into the OCDD RAU data base;
2. A new personal record will be created if none exists for the person, or his or her current record will be updated with information from the PASRR request;
3. The PASRR request will be assigned to the appropriate PASRR evaluator with qualifications as described in Section III. B.;
4. RAUs will track completion of PASRR, including elements in Section V. A.; and
5. If a Level II screening completed by the OAAS contract psychologist is needed, the evaluator will contact the appropriate personnel immediately.

B. Qualifications/Training of PASRR Evaluators

1. **PASRR Evaluator Qualifications**: The evaluator must be a staff person with a human service degree and at least one year of work experience

serving people with developmental disabilities.

2. PASRR Evaluator Training Requirements: All PASRR evaluators will be trained in procedures specific to completion of the PASRR evaluation and determination process.

C. Determination of Need for conducting a Psychological/Intellectual evaluation

Psychological evaluations will be conducted for the PASRR evaluation and determination process in order to meet the federal requirement that a licensed psychologist identifies the intellectual functioning measurement of an individual with mental retardation or a related condition, unless the person's record already includes a psychological evaluation with a current, valid intellectual functioning measurement.

D. Conducting the Evaluation and Determination Process

The evaluation and determination process will include review of a PASRR evaluation and results in decisions for where the person will live and determination of the need for specialized services for the person being considered for NF admission.

The following are requirements of the evaluation and determination process:

1. *Evaluation participants:* PASRR evaluations will involve the following:
 - a. the NF applicant or his legal representative, if one has been designated under state law; and
 - b. the applicant's family may also participate, if available and if the applicant or his legal representative (if applicable) agrees to family participation.
2. *Interdisciplinary coordination:* When parts of a PASRR evaluation are performed by more than one person (e.g., psychologist and RAU staff evaluator), there will be interdisciplinary coordination between the evaluators.
3. *Adaptation to culture, language, and ethnic origin:* The evaluation will be adapted to the cultural background, language, ethnic origin, and means of communication used by the applicant being evaluated.
4. *Pre-existing data:* Evaluators may use relevant evaluative data, obtained prior to the initiation of preadmission screening or annual resident review, if the data are considered valid and accurate and reflect the current functional status of the applicant.

5. *Documentation for the evaluation:* PASRR evaluations will be based on record reviews, personal interviews, functional needs assessments, observations, and diagnostic assessments. If the person is participating in system entry, the Inventory of Client and Agency Planning (ICAP) will be administered. If the information available is insufficient for determination, the evaluator will pursue additional information as needed.
6. *Determination of a developmental disability:* The PASRR evaluator will validate that the person has a developmental disability as defined by state law. This validation will require documentation that the person has a Statement of Approval (SOA) or Statement of Eligibility (SOE). If not, the person may apply for entry in the developmental disabilities system for supports and services.
7. *Termination of the Evaluation:* The evaluation will be terminated and the referral packet returned to OAAS, if it is determined that the person:
 - a. does not have a developmental disability or a mental illness, or
 - b. has a primary diagnosis of dementia (including Alzheimer's Disease or a related disorder), or
 - c. has a non-primary diagnosis of dementia without a primary diagnosis that is a serious mental illness and does not have a developmental disability.
8. *Types of Evaluations:* PASRR determinations may be either individualized or categorical.
 - a. Individualized determinations will be based on more extensive assessment information and will be required unless the person meets the criteria for a categorical determination.
 - b. Categorical determinations include conditions that commonly require people to be served in nursing facilities. The following examples and conditions that are similar in nature meet the criteria for a categorical determination:
 - (1.) The person requires convalescent care following an acute physical illness or injury which required hospitalization and does not meet the criteria for an exempt hospital discharge;
 - (2.) The person has a terminal illness;
 - (3.) The person has a severe physical illness such as coma,

ventilator dependence, anencephaly or functioning at the brain stem level, chronic obstructive pulmonary disease, Parkinson's disease, Huntington's disease, amyotrophic lateral sclerosis, congestive heart failure which results in a level of impairment so severe that the person could not be expected to benefit from specialized services;

- (4.) The person is provisionally admitted for up to 30 days pending further assessment in cases of delirium where an accurate diagnosis cannot be made until the delirium clears;
- (5.) The person is admitted for a very brief and finite stay up to 30 days to provide respite to in-home caregivers; and,
- (6.) Provisional admissions pending further assessment in emergency situations requiring protective services, with placement in a nursing facility not to exceed 7 days.

If the categorical determination is made, the evaluator may recommend that no special services are needed, if the evidence supports this conclusion.

9. *PASRR Evaluation Report and Notice of Determination:* The PASRR Evaluation Report (Appendix B-1) and Notice of Determination (Appendix B-2 or Appendix B-3) summarize findings and answer three primary questions:

- Does the person have a developmental disability?
- Does the person need specialized services?
- Does a nursing facility or living environment specific to serving people with developmental disabilities better meet the person's needs?

- a. Components of the evaluation report will include discussion regarding the person's need for specialized services and making decisions about where the person will live. Such decisions will be made by RAU administrator or designee.
- b. Reports involving categorical determinations will include the same elements listed above (D.8.a.) but result in an abbreviated report because the need for a nursing facility is clearly documented and the evaluation of need for specialized supports or services may often require less time. Such a determination would provide a specific description of the categorical medical condition, but would include more limited statements concerning the need or lack of

need for specialized services.

- c. Summary and Interpretation of findings will answer the following questions:
 - (1.) Does the data support the presence of a developmental disability?
 - (2.) Does the data support the need for specialized supports or services?

10. *Distribution of the Written Evaluation Report and Notice of Determination*

Within an annual average of nine (9) working days from the date of referral to the regional office, the evaluator will distribute the PASRR Evaluation Report, if appropriate, and the Notice of Determination for the PASRR referral to:

- a. the person evaluated, and if applicable, his or her legal representative;
- b. the admitting or retaining NF;
- c. the person's attending physician;
- d. the discharging hospital; and,
- e. Office of Aging and Adult Services.

11. *BHSF Form 142:* BHSF Form 142 will be completed and distributed following the admission review determination. The evaluator will distribute the BHSF Form 142 to:

- a. the person evaluated, and if applicable, his or her legal representative;
- b. the facility/provider;
- c. OAAS Regional Office;
- d. Medicaid Long Term Care Unit (local parish office); and,
- e. OCDD.

IV. **Support Coordination**

Support Coordination will be provided as follows:

- A. Each nursing home applicant/resident with a developmental disability who requires either specialized services or an alternative living situation will receive support coordination services from the RAU.
- B. The Support Coordinator will meet with each adult (i.e., 22 years of age or greater) at least quarterly and with each child (i.e., less than 22 years of age) and his legal representative at least monthly.
- C. For each appointment, the Support Coordinator will follow the PASRR Support Coordination Protocol (Appendix B-4).

V. **Quality Review**

A. Documentation

The following will be entered in the database for tracking and process review:

1. Date Level I PASRR referral packet received;
2. Type of Referral: New Admit or Continued Placement;
3. Date the evaluation and determination completed;
4. Notice of determination sent to OAAS;
5. Date Fair Hearing (appeal) Requested, if applicable;
6. Date of Fair Hearing (appeal), if applicable;
7. Date and outcome of Fair Hearing (appeal), if applicable;
8. Date of the PASRR Evaluation Report;
9. Date of Notice of Determination;
10. Date PASRR Evaluation Report and Notice of Determination mailed to OAAS regional office;
11. The outcome of the PASRR determination;
12. Need for Specialized Services identified: yes or no;
13. Date Support Coordinator is assigned, as appropriate;
14. Date Support Coordination is discontinued, as appropriate;
15. Date of admission of the person into the NF, as appropriate; and,
16. Date of discharge from the NF, as appropriate.

B. Self-Assessment

The PASRR evaluator will complete the PASRR Evaluator Checklist (Appendix C-2) for each PASRR completed and will submit to the RAU Supervisor.

C. Quarterly Supervisory Reviews

1. Each quarter, the Supervisor will complete the PASRR Supervisory Review Checklist (Appendix C-3) for a 50% sample of PASRR referrals received during the preceding quarter.
2. In addition, the supervisor will conduct the PASRR Customer Satisfaction Survey (Appendix C-4) with persons from the sample selected. Persons to be surveyed will include the NF applicant/resident or his legal guardian, if applicable, and family members if the applicant/resident or legal representative agreed to the family's participation in the PASRR evaluation.

D. Update of Data Elements

In accordance with OCDD Operational Instruction # F-7, *Quality Partnerships: Reporting and Verification of Performance Measure and Quality Management Initiatives*, the RAU will update required data elements as specified in Appendix G (Human Services Accountability and Implementation Plan Process Steps) of Operational Instruction # F-7. Performance Indicators 17, 18, and 26 specifically refer to nursing home placements and PASRR completion rate. Annual monitoring of OCDD regional offices and human services authorities and districts will occur according to the schedule specified in the operational instruction.

VI. Appeal Process

- A. A NF applicant/resident has up to 30 calendar days from receipt of the PASRR Notice of Determination to appeal an adverse decision. Any appeals that are made directly to OCDD will go to the Bureau of Appeals for processing, even those that may have been made after 30 days.
- B. If the NF applicant/resident appeals either the PASRR need for NF service or need for specialized services determinations made by OCDD, the RAU Entry Unit Supervisor will assure that the evaluator compiles the relevant documentation to support his/her decisions and completes the Cover Memoranda (See Appendix A-2) to the Bureau of Appeals for PASRR Determinations and the Summary of Evidence (See Appendix A-3) for the PASRR Determinations.
- C. The supervisor and or the CSRA will review the Appeals packet and forward the packet to the Bureau of Appeals.
- D. The evaluator and other OCDD representatives, as necessary, will participate in the Fair Hearing to explain their decisions and the relevant State or Federal laws or regulations on which their decisions were based.
- E. If the appeal does not involve the PASRR determination (e.g., OCDD determined

that NF services were needed, but the person was financially ineligible for Medicaid), the Entry Unit Supervisor will immediately notify OAAS and the Bureau of Appeals so that the appropriate agency can complete the required documents and participate in the Fair Hearing.

VII. **Annual Resident Reviews (ARR)**

As of October 19, 1996, annual resident reviews and determinations were no longer required. Public Law 104-315 repealed the section of Title XIX of the Social Security Act that mandated a review, at least annually, by the state mental retardation/developmental disability authority for residents of nursing facilities who have mental retardation/developmental disability (OCDD) and by the state mental health authority for residents of NFs who have MI (Office of Mental Health).

1. Public Law 104-315 requires a NF to notify the state mental retardation/developmental disability authority (OCDD) promptly after a significant change in the physical or mental condition of a resident who is diagnosed with mental retardation/developmental disability.
2. Upon notification by a NF (or OAAS) of a significant change in the physical or mental condition of a resident with a developmental disability, OCDD will conduct a review which would involve performing a new evaluation and determining whether or not NF care continues to be needed and whether or not specialized services are needed. The procedures would be the same as PAS/RAS referrals for new admissions or re-admissions.

APPENDICES (Forms and Reference):**Appendix A**

1. Level I PASRR Screen and Determination Form
2. Cover Memoranda to the Bureau of Appeals for PASRR Determinations
3. Summary of Evidence for PASRR Determinations

Appendix B

1. PASRR Evaluation Report
2. PASRR Notice of Determination
3. PASRR Notice of Determination – Categoryicals
4. PASRR Support Coordination Protocol

Appendix C

1. Level II Screening Form
2. PASRR Evaluator Checklist
3. PASRR Supervisory Review Checklist
4. PASRR Customer Satisfaction Survey

Appendix D

1. Flowchart of PASRR Process

Appendix E (for reference purposes)

1. Section 4.39 of the State Medicaid Manual – Preadmission Screening and Annual Resident Review in Nursing Facilities

REFERENCES (Related Federal Regulations with links):

1. Title 42: Public Health, Subpart C – Preadmission Screening and Annual Review of Mentally Ill and Mentally Retarded Individuals: Part 483 – Requirements for States and Long Term Care Facilities:
<http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&sid=345f1762162420a5ae1997747a37baa1&rgn=div6&view=text&node=42:5.0.1.1.2.3&idno=42>
2. Title 42: Public Health, Subpart I – Conditions of Participation for Intermediate Care Facilities for the Mentally Retarded:
<http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&sid=632abd0ee82543bd08ed60d168faf025;rgn=div6;view=text;node=42%3A5.0.1.1.2.9;idno=42;cc=ecfr>