

Pennsylvania Guardian of the Person Annual Report Review Checklist

PREPARING FOR REVIEW	
Questions	Guidance
<p>Is the guardianship limited or plenary?</p> <p><input type="checkbox"/> Limited</p> <p><input type="checkbox"/> Plenary</p>	Review the court order for the case.
<p>Is there also a guardian of the estate?</p> <p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p> <p>If YES...</p> <p>Is the same individual also the guardian of the estate?</p> <p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p>	If applicable, the annual reports of the person should be available for reference.
<p>Is this the first annual report?</p> <p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p>	If applicable, it is helpful to have the most recent prior annual report available for year-to-year comparison.
<p>Is this the final report?</p> <p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p>	<p>If YES...</p> <p>What is the reason for the final report?</p> <p><input type="checkbox"/> Death of the IP</p> <p><input type="checkbox"/> Guardian discharged by court order</p> <p><input type="checkbox"/> Adjudication of capacity</p> <p><input type="checkbox"/> Limited duration order expired</p> <p><input type="checkbox"/> Transfer of guardianship</p> <p>Review any other case actions or relevant documents, if applicable.</p>
<p>How was the report filed?</p> <p><input type="checkbox"/> GTS/electronically</p> <p><input type="checkbox"/> Paper form</p>	<p>If the report was submitted on a PAPER FORM...</p> <p>If possible, compare the paper form submitted by the guardian to the electronic version in GTS.</p> <p><input type="checkbox"/> Correct form used?</p> <p><input type="checkbox"/> All required sections complete?</p>

PART I. INTRODUCTION	
Questions	Guidance
<p>Does the time period of the report match the anniversary of the guardian appointment date?</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>If NO...</p> <p>Does the time period of the prior report span the year prior to the dates on the current report?</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A</p> <p>Does the time period of the current report of the estate match the reporting period?</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A</p> <p><i>If this is a final report, do dates match from the end of the prior report period to the change/end of the guardianship?</i></p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A</p> <p>If NO to the above, or if this is the first annual report, contact guardian for more information and/or to submit an amended report.</p>
<p>Is the report late?</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>If YES...</p> <p>Is there a pattern of late filings?</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Are additional annual reports currently past due?</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If YES to either of the above, follow your court communication plan.</p>
<p><i>If this is a final report, can you confirm date and cause for filing?</i></p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>If NO...</p> <p>Contact the guardian. Follow your court communication plan, if needed.</p>

PART II. PERSONAL INFORMATION ABOUT THE INCAPACITATED PERSON	
Questions	Guidance
<p>Is the incapacitated person an older adult (age 60+)?</p> <p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p>	<p>If NO...</p> <p>Is the incapacitated person an adult (age 18+)?</p> <p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p> <p>If NO to the above, contact the guardian. Follow your court communication plan, if needed.</p>
<p>Does the address listed match previous reports and court records?</p> <p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p>	<p>If NO...</p> <p>Is the address accurate and does it match the residence type selected?</p> <p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p> <p>If NO to the above, or if this is the first annual report, contact guardian for more information and/or to submit an amended report.</p>
<p>Did the person move during the report period?</p> <p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p>	<p>If YES...</p> <p>Consider the type of residence they were moved to, and the reason given for the move. Does this seem appropriate and reasonable?</p> <p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p> <p>If NO to the above, contact the guardian and/or follow your court communication plan, if needed.</p>
<p>Check the annual report of the estate to ensure expenses include costs that are typical for the residence type. If the IP moved, expenses should reflect any change in residence type (<i>see Estate Guide Parts III & V for more</i>).</p>	
<p>Consider potential differences in needs, desires, and lifestyle based on the age and situation of the IP as you review the report.</p>	

PART III. MEDICAL INFORMATION	
Questions	Guidance
<p>Do the types of medical professionals who have seen the incapacitated person in the report period suggest a minimum standard of care, including a medical doctor and dentist at minimum?</p> <p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p> <p><input type="checkbox"/> Unsure</p>	<p>If NO or UNSURE...</p> <p>Contact the guardian and/or follow your court communication plan, if needed.</p>
<p>Check the annual report of the estate to ensure expenses reflect the care and services described (<i>see Estate Guide Part III for more</i>).</p>	

PART IV. GUARDIAN'S OPINION	
Questions	Guidance
<p>Did the guardian indicate the guardianship should be modified or discharged?</p> <p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p>	<p>If YES...</p> <p>Does the reason given support the need for modification or discharge of the guardianship?</p> <p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p> <p>If NO, follow up with the guardian may be needed to understand the reason for their response. Follow your court communication plan, if needed.</p>
<p>Has the guardian filed for modification or termination if they indicated it is needed?</p> <p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p>	<p>If NO...</p> <p>Contact the guardian and/or follow your court communication plan, if needed.</p> <p>If YES...</p> <p>Contact guardian if the petition was not received.</p>

PART IV. INFORMATION ABOUT THE GUARDIAN	
Questions	Guidance
<p>If the guardian does not live with the incapacitated person, did they visit them at least quarterly for at least 15 minutes per visit?</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>If NO...</p> <p>Contact the guardian and/or follow your court communication plan, if needed.</p>
<p>During the report period, was the guardian charged with or convicted of a crime, or was a Protection from Abuse Order or Protection from Sexual Violence or Intimidation Order entered against them?</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>If YES...</p> <p>Follow your court communication plan to report this information.</p>
<p>If a guardian cannot continue to serve as guardian, was a reason given?</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Incomplete/unclear reason given</p>	<p>If NO or INCOMPLETE/UNCLEAR...</p> <p>Contact the guardian for more information. Follow your court communication plan, if needed.</p>
<p>Did the guardian receive compensation?</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>If YES...</p> <p>If compensation is based on hourly fee, do hours seem reasonable given incapacitated person's needs and guardian visitation captured in report?</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A</p> <p>If NO, contact guardian for more information/documentation regarding hours billed.</p>
<p>If the guardian received compensation, did they indicate it was approved by the court?</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A</p>	<p>If YES...</p> <p>Confirm Court Order approving amount and type (hourly, monthly, annual) of fee. If fee is not consistent with the Court Order, contact the guardian and/or follow your court communication plan, if needed.</p> <p>If NO...</p> <p>Follow your court communication plan to report an unapproved fee.</p>
<p>Check the annual report of the estate to confirm expenses reflect the guardian fee reported, if applicable (<i>see Estate Guide Parts III and VI for more</i>).</p>	

SUMMARY	
Questions	Conclusion
<p>After reviewing the report, what are your next steps?</p> <p>Are there high-level concerns that require additional action?</p>	<p><input type="checkbox"/> I am concerned for the safety or wellbeing of the incapacitated person.</p> <p><input type="checkbox"/> Guardianship may no longer be the least restrictive alternative or may need to be adjusted in some way.</p> <p><input type="checkbox"/> I have insufficient information.</p> <p><input type="checkbox"/> The report is complete, in compliance with reporting requirements, and I have no concern for the safety and wellbeing of the incapacitated person.</p>
<p>Once the review is complete, it is important to take any next steps needed, which may include contacting the guardian for more information, documentation, or clarification; or requiring the guardian to amend the report. Follow your court communication plan if anything needs to be escalated or reviewed further. If the report is complete, complies with all requirements, and there are no concerns, the report can be marked as reviewed in GTS and can be documented in your CMS if applicable.</p>	

“This project is supported by the Administration for Community Living (ACL), U.S. Department of Health and Human Services (HHS) as part of a financial assistance award totaling \$1,827,313 with 75% funded by ACL/HHS and \$631,644 and 25% funded by non-government source(s). The contents are those of the author(s) and do not necessarily represent the official views of, nor an endorsement, by ACL/HHS, or the U.S. Government.”