

QMET Monitoring

Provider:	
MPI #:	
On-Site Review Dates:	
Review Period:	
(Region) Monitoring Team Members:	

Provider Performs:	
Service	Y / N
Community Integration	
Home Health	
Non-Medical Transport	
PAS	
PERS	
Prevocational Services	
Provisional Hiring	
Res Hab	
Respite	
Structured Day	
Supported Employment	
Therapeutic & Counseling Services	

Regulation	Regulation Reference	Documentation Source
§ 52.11. Prerequisites for Participation		
(a) As a condition of participation in a Waiver or Act 150 program, an applicant shall meet the following qualifications:		
(6) Obtain and maintain appropriate licenses and certifications from other State or Federal agencies as required.	55 Pa. Code § 52.11 (a) (6) Prerequisites for Participation	Provider License and/or certifications
(7) Obtain the following insurances:		
(i) Commercial general liability insurance.	55 Pa. Code § 52.11 (a) (7) Prerequisites for Participation	Provider insurance policy
(ii) Worker's compensation insurance.	55 Pa. Code § 52.11 (a) (7) Prerequisites for Participation	Provider insurance policy
(iii) Professional liability insurance if required by a profession.	55 Pa. Code § 52.11 (a) (7) Prerequisites for Participation	Provider insurance policy
§ 52.14. Ongoing Responsibilities of Providers.		
(i) Appendix C. Personal Emergency Response (All Waivers) The organization must have capacity to:		
(1) Provide 24-hour coverage.	55 Pa. Code § 52.14(i) A provider shall comply with the applicable approved Waiver, including approved Waiver amendments. Appendix C. Participant services. C1/C3: Provider Specifications for Service.	Provider's staffing policy, scheduling requirements
(2) Provide coverage by trained professionals.	55 Pa. Code § 52.14(i) A provider shall comply with the applicable approved Waiver, including approved Waiver amendments. Appendix C. Participant services. C1/C3: Provider Specifications for Service.	Training records
(3) Provide coverage 365 days per year.	55 Pa. Code § 52.14(i) A provider shall comply with the applicable approved Waiver, including approved Waiver amendments. Appendix C. Participant services. C1/C3: Provider Specifications for Service.	Provider's staffing policy, scheduling requirements
(t) A provider shall participate in Department-mandated trainings.	55 Pa. Code § 52.14 (t). Ongoing responsibilities of Providers.	Certificate of completion of training (if issued), other documentation of attendance, documentation of employee attendance (if required by the training bulletin), QMET list of mandated trainings for the review period.
§ 52.17. Critical incident and risk management.		
(f) A provider shall reduce the number of preventable incidents. The methods used by the provider to reduce the number of preventable incidents shall be documented on the provider's QMP.		
Reduce number of preventable incidents.	55 Pa. Code § 52.17 (f). Critical incident and risk management.	Provider's critical incidents, Count of preventable incidents

Regulation	Regulation Reference	Documentation Source
QMP documents methods to reduce preventable incidents.	55 Pa. Code § 52.17 (f). Critical incident and risk management.	Provider's critical incidents, Count of preventable incidents from the provider's previous monitoring, provider QMP
§ 52.18. Complaint management.		
(a) The provider shall implement a system to record, respond, and resolve a participant's complaint.	55 Pa. Code § 52.18 (a). Complaint management.	Provider complaint system
(b) The provider complaint system must contain all of the following:		
(1) Name of the participant.	55 Pa. Code § 52.18(b)(1). Complaint management.	Provider complaint system
(2) Nature of the complaint.	55 Pa. Code § 52.18(b)(2). Complaint management.	Provider complaint system
(3) Date of the complaint.	55 Pa. Code § 52.18(b)(3). Complaint management.	Provider complaint system
(4) Provider's actions to resolve the complaint.	55 Pa. Code § 52.18(b)(4). Complaint management.	Provider complaint system
(5) Participant's satisfaction to the resolution of the complaint.	55 Pa. Code § 52.18(b)(5). Complaint management.	Provider complaint system
(c) The provider shall review the complaint system at least quarterly to:		
(1) Analyze the number of complaints resolved to the participant's satisfaction.	55 Pa. Code § 52.18(c)(1). Complaint management.	Provider complaint system
(2) Analyze the number of complaints not resolved to the participant's satisfaction.	55 Pa. Code § 52.18(c)(2). Complaint management.	Provider complaint system
(3) Measuring the number of complaints referred to the Department for resolution.	55 Pa. Code § 52.18(c)(3). Complaint management.	Provider complaint system
(d) The provider shall develop a Quality Management Plan (QMP) when the number of complaints resolved to a participant's satisfaction are less than the number of complaints not resolved to a participant's satisfaction.	55 Pa. Code § 52.18 (d). Complaint management.	Provider complaint system, provider QMP
§ 52.21. Staff Training.		

Regulation		Regulation Reference	Documentation Source
(c) A provider shall maintain documentation of the following:			
	(1) Staff member attendance at trainings.	55 Pa. Code § 52.21(c)(1). Staff training.	Staff member training records
	(2) Content of trainings.	55 Pa. Code § 52.21(c)(2). Staff training.	Provider training curriculum
(d) A provider shall implement a standard, annual training for all staff members providing service which contains at least the following:			
	(1) Prevention of abuse and exploitation of participants.	55 Pa. Code § 52.21(d)(1). Staff training.	Provider standard annual training records
	(2) Reporting critical incidents.	55 Pa. Code § 52.21(d)(2). Staff training.	Provider standard annual training records
	(3) Participant complaint resolution.	55 Pa. Code § 52.21(d)(3). Staff training.	Provider standard annual training records
	(4) Department-issued policies and procedures.	55 Pa. Code § 52.21(d)(4). Staff training.	Provider standard annual training records
	(5) Provider's quality management plan	55 Pa. Code § 52.21(d)(5). Staff training.	Provider standard annual training records
	(6) Fraud and financial abuse prevention.	55 Pa. Code § 52.21(d)(6). Staff training.	Provider standard annual training records
Residential Habilitation			
Ongoing Residential Habilitation Training consists of a minimum of 12 hours of training annually which directly relates to job responsibilities.		§ 52.14. Ongoing responsibilities of providers. (i) A provider shall comply with the applicable, approved waiver, including approved waiver amendments. Appendix C (CC, OW)	
	(1) Did Ongoing Residential Habilitation Training consists of a minimum of 12 hours of training?	§ 52.14. Ongoing responsibilities of providers. (i) A provider shall comply with the applicable, approved waiver, including approved waiver amendments. Appendix C (CC, OW)	Documentation that ongoing training consisted of a minimum of 12 hours located in the employee file or provider training log.
	(2) Did the training occur annually?	§ 52.14. Ongoing responsibilities of providers. (i) A provider shall comply with the applicable, approved waiver, including approved waiver amendments. Appendix C (CC, OW)	Documentation that ongoing training occurred annually located in the employee file or provider training log.

Regulation		Regulation Reference	Documentation Source
	(3) Was the training directly related to job responsibilities?	§ 52.14. Ongoing responsibilities of providers. (i) A provider shall comply with the applicable, approved waiver, including approved waiver amendments. Appendix C (CC, OW)	Documentation that ongoing training is directly related to job responsibilities located in the employee file or provider training log.
Staff who are employed to provide Enhanced Residential Habilitation Services must also have initial training in behavioral programming and crisis prevention which must be renewed annually.		§ 52.14. Ongoing responsibilities of providers. (i) A provider shall comply with the applicable, approved waiver, including approved waiver amendments. Appendix C (CC, OW)	
	(1) Was there initial training in behavioral programming for staff employed to provide Enhanced Residential Habilitation?	§ 52.14. Ongoing responsibilities of providers. (i) A provider shall comply with the applicable, approved waiver, including approved waiver amendments. Appendix C (CC, OW)	Documentation that the training consisted of behavioral programming located in employee file or provider training log.
	(2) Was there initial training in crisis prevention for staff employed to provide Enhanced Residential Habilitation?	§ 52.14. Ongoing responsibilities of providers. (i) A provider shall comply with the applicable, approved waiver, including approved waiver amendments. Appendix C (CC, OW)	Documentation that the training consisted of crisis prevention located in employee file or provider training log.
	(3) Is the training for staff employed to provide Enhanced Residential Habilitation renewed annually?	§ 52.14. Ongoing responsibilities of providers. (i) A provider shall comply with the applicable, approved waiver, including approved waiver amendments. Appendix C (CC, OW)	Documentation that the training was reviewed annually located in employee file or provider training log.
Respite (Home Care Agency)			
Ongoing Structured Day Habilitation Training consists of a minimum of 12 hours of training annually.		§ 52.14. Ongoing responsibilities of providers. (i) A provider shall comply with the applicable, approved waiver, including approved waiver amendments. Appendix C (CC, OW)	
	(1) Did the worker complete a minimum of 12 hours of training?	§ 52.14. Ongoing responsibilities of providers. (i) A provider shall comply with the applicable, approved waiver, including approved waiver amendments. Appendix C (CC, OW)	Documentation that ongoing training consisted of a minimum of 12 hours located in the employee file or provider training log.
	(2) Did the training occur annually?	§ 52.14. Ongoing responsibilities of providers. (i) A provider shall comply with the applicable, approved waiver, including approved waiver amendments. Appendix C (CC, OW)	Documentation that ongoing training occurred annually located in the employee file or provider training log.

Regulation		Regulation Reference	Documentation Source
Support Staff must be at least 18 years of age with a high school diploma or GED and have a minimum of five (5) years experience working with people with disabilities, or a Bachelor's degree in a human service field.		§ 52.14. Ongoing responsibilities of providers. (i) A provider shall comply with the applicable, approved waiver,	
	(1) Are employees at least 18 years old?	§ 52.14. Ongoing responsibilities of providers. (i) A provider shall comply with the applicable, approved waiver,	Documentation in the employee file that the employee is at least 18 years old.
	(2) Does the employee have a high school diploma or GED?	§ 52.14. Ongoing responsibilities of providers. (i) A provider shall comply with the applicable, approved waiver, including approved waiver amendments. Appendix C (CC, OW)	Documentation in the employee file that the employee completed HS/GED
	(3) Does the employee have a minimum of (5) years experience working with people with disabilities, OR have a Bachelor's degree in a human service field?	§ 52.14. Ongoing responsibilities of providers. (i) A provider shall comply with the applicable, approved waiver, including approved waiver amendments. Appendix C (CC, OW)	Documentation in the employee file that the employee has the required experience and/or education
§ 52.24. Quality Management.			
(a) The provider shall create and implement a QMP to ensure the provider meets the requirements of this chapter and Chapter 1101		55 Pa. Code § 52.24(a). Quality Management.	Provider Quality Management Plan
(b) The QMP must contain at least the following:			
	(1) Measurable goals to ensure compliance with this chapter, Chapter 1101 and other chapters in this title under which the	55 Pa. Code § 52.24(b)(1). Quality Management.	Provider Quality Management Plan (QMP)
	(2) Data-driven outcomes to achieve compliance with this chapter, Chapter 1101 and other chapters in this title.	55 Pa. Code § 52.24(b)(2). Quality Management.	Provider Quality Management Plan (QMP)
(d) The QMP must be updated at least annually by the provider.		55 Pa. Code § 52.24(d). Quality Management.	Provider Quality Management Plan (QMP)
§ 52.52. Subcontracting for a vendor good or service.			
(a) Only an OHCDs may subcontract with an entity to purchase a vendor good or service. A provider who subcontracts shall have a written agreement specifying its duties, responsibilities and compensation.		55 Pa. Code § 52.52(a). Subcontracting for a vendor good or service.	Provider's written subcontract agreements.

Regulation	Regulation Reference	Documentation Source
§ 52.14. Ongoing Responsibilities of Providers.		
(c) A provider shall implement the policies under § 52.11(a)(5)(xi) (relating to prerequisites for participation). Initial and continued screening for staff members and contractors to determine if they have been excluded from participation in Federal health care programs by reviewing the LEIE, EPLS, and Medichcek.	55 PA Code § 52.14(c). Ongoing Responsibilities of Providers referencing § 52.11(a)(5)(xi) referencing OMAP Bulletin 99-11-05.	Provider documentation of (per Bulletin 99-11-05) screening of staff members and contractors in LEIE, EPLS and Medichcek for the two months previous to the review date..
(l) A provider shall ensure that each employee possesses a valid Social Security number.	55 Pa. Code § 52.14. (l) Ongoing Responsibilities of Providers.	Employee records.
§ 52.14. Ongoing Responsibilities of Providers. (i) A provider shall comply with the applicable approved Waiver, including approved Waiver amendments. Appendix C. Participant services. C-2: General Service Specifications		
Child Abuse Clearances (All Waivers) Written results of child abuse clearances are required for all direct care workers providing services in homes where children reside.	55 Pa. Code § 52.14(i) A provider shall comply with the applicable approved Waiver, including approved Waiver amendments. Appendix C. Participant services. C-2: General Service Specifications	Employee records
§ 52.14. Ongoing Responsibilities of Providers. (i) A provider shall comply with the applicable approved Waiver, including approved Waiver amendments. Appendix C. Participant services. C1/C3: Provider Specifications for Service.		
Community Integration		
Community Integration. (CC, IW, OW) The Community Integration worker must meet all of the following:		
	(1) Be 18 years of age or older.	55 Pa. Code § 52.14(i) A provider shall comply with the applicable approved Waiver, including approved Waiver amendments. Appendix C. Participant services. C1/C3: Provider Specifications for Service.
	(2) Have a high school diploma or GED.	55 Pa. Code § 52.14(i) A provider shall comply with the applicable approved Waiver, including approved Waiver amendments. Appendix C. Participant services. C1/C3: Provider Specifications for Service.
Employee records.	Employee records.	

Regulation		Regulation Reference	Documentation Source
	(3) Have six (6) months of paid or volunteer experience working with people with physical disabilities or older adults.	55 Pa. Code § 52.14(i) A provider shall comply with the applicable approved Waiver, including approved Waiver amendments. Appendix C. Participant services. C1/C3: Provider Specifications for Service.	Employee records.
Home Health			
Home Health Aide. (Aging) Individuals working for or contracted with agencies must meet the following standards:			
	(1) Be at least 18 years of age	55 Pa. Code § 52.14(i) A provider shall comply with the applicable approved Waiver, including approved Waiver amendments. Appendix C. Participant services. C1/C3: Service Specification.	Employee records.
	(2) Be supervised by a registered nurse	55 Pa. Code § 52.14(i) A provider shall comply with the applicable approved Waiver, including approved Waiver amendments. Appendix C. Participant service. C1/C3: Service Specification.	Employee records.
Home Health. (Aging, CC, IW and OW) Home Health Occupational Therapist or Assistant must be licensed under PA Department of State, per 49 PA Code Chapter 42, including 42.22 pertaining to assistants (Occupational Therapy and Education Licensing Board)		55 Pa. Code § 52.14(i) A provider shall comply with the applicable approved Waiver, including approved Waiver amendments. Appendix C. Participant services. C1/C3: Service Specification.	Employee records.
Home Health. (Aging, CC, IW and OW) Home Health Physical Therapist or Assistant must be Licensed under PA Department of State, per 49 PA Code Chapter 40 including 40.53 pertaining to delegation of duties and use of assistants (Physical Therapy Licensing Board) .		55 Pa. Code § 52.14(i) A provider shall comply with the applicable approved Waiver, including approved Waiver amendments. Appendix C. Participant services. C1/C3: Provider Specifications for Service.	Employee records.
Home Health. (Aging, CC, IW, OW) Home Health Speech Therapist or Assistant must be Licensed under PA Department of State, per 49 PA Code Chapter 45 (Language and Hearing Examiners Board).		55 Pa. Code § 52.14(i) A provider shall comply with the applicable approved Waiver, including approved Waiver amendments. Appendix C. Participant services. C1/C3: Provider Specifications for Service.	Employee records.
Home Health. (Aging, CC, IW and OW) Home Health Registered Nurse/Licensed Practical Nurse must be Licensed under PA Department of State, per 49 PA Code Chapter 21.		55 Pa. Code § 52.14(i) A provider shall comply with the applicable approved Waiver, including approved Waiver amendments. Appendix C. Participant services. C1/C3: Provider Specifications for Service.	Employee records.

Regulation	Regulation Reference	Documentation Source	
Home Health (Respite). (Aging) Individuals working for or contracted with agencies must meet the following standards:			
	(1) Be 18 years of age or older	55 Pa. Code § 52.14(i) A provider shall comply with the applicable approved Waiver, including approved Waiver amendments. Appendix C. Participant services. C1/C3: Provider Specifications for Service.	Employee records.
	(2) Be supervised by a registered nurse	55 Pa. Code § 52.14(i) A provider shall comply with the applicable approved Waiver, including approved Waiver amendments. Appendix C. Participant services. C1/C3: Provider Specifications for Service.	Employee records.
Home Health (Respite). (CC, IW, OW) The Respite worker must be Supervised by a registered nurse	55 Pa. Code § 52.14(i) A provider shall comply with the applicable approved Waiver, including approved Waiver amendments. Appendix C. Participant services. C1/C3: Provider Specifications for Service.	Employee records.	
Non-Medical Transportation			
Non-Medical Transportation. (Aging, CC, IW, OW) Drivers must meet the following:			
	(1) Valid Pennsylvania driver's license appropriate to the vehicle	55 Pa. Code § 52.14(i) A provider shall comply with the applicable approved Waiver, including approved Waiver amendments. Appendix C. Participant services. C1/C3: Provider Specifications for Service.	Employee records.
	(2) 18 years of age	55 Pa. Code § 52.14(i) A provider shall comply with the applicable approved Waiver, including approved Waiver amendments. Appendix C. Participant services. C1/C3: Provider Specifications for Service.	Employee records.
	(3) Must have appropriate insurance coverage (\$100,000/\$300,000 bodily injury)	55 Pa. Code § 52.14(i) A provider shall comply with the applicable approved Waiver, including approved Waiver amendments. Appendix C. Participant services. C1/C3: Provider Specifications for Service.	Employee records.

Regulation		Regulation Reference	Documentation Source
	(4) Vehicles must be registered with the PA Department of Transportation;	55 Pa. Code § 52.14(i) A provider shall comply with the applicable approved Waiver, including approved Waiver amendments. Appendix C. Participant services. C1/C3: Provider Specifications for Service.	Employee records.
	(5) Receive a physical examination (including a vision test) at the time of hire and at least every 2 years	55 Pa. Code § 52.14(i) A provider shall comply with the applicable approved Waiver, including approved Waiver amendments. Appendix C. Participant services. C1/C3: Provider Specifications for Service.	Employee records.
Personal Assistance Services (PAS)			
Personal Assistance Services (PAS) (Home Care Agency). (All Waivers) The PAS worker must meet all of the following:			
	(1) Be 18 years of age or older;	55 Pa. Code § 52.14(i) A provider shall comply with the applicable approved Waiver, including approved Waiver amendments. Appendix C. Participant services. C1/C3: Provider Specifications for Service.	Employee records.
	(2) Possess basic math, reading, and writing skills;	55 Pa. Code § 52.14(i) A provider shall comply with the applicable approved Waiver, including approved Waiver amendments. Appendix C. Participant services. C1/C3: Provider Specifications for Service.	Employee records.
Personal Emergency Response Systems (PERS)			
Vendors of Personal Emergency Response Systems (PERS). (All Waivers) Individuals working for or contracted with agencies must be at least 18 years of age.		55 Pa. Code § 52.14(i) A provider shall comply with the applicable approved Waiver, including approved Waiver amendments. Appendix C. Participant services. C1/C3: Provider Specifications for Service.	Employee record.
Prevocational Services			
Prevocational Services. (OW) The Prevocational Services worker must meet all of the following:			
	(1) Be 18 years of age or older;	55 Pa. Code § 52.14(i) A provider shall comply with the applicable approved Waiver, including approved Waiver amendments. Appendix C. Participant services. C1/C3: Provider Specifications for Service.	Employee records.

Regulation		Regulation Reference	Documentation Source
	(2) Possess basic math, reading, and writing skills;	55 Pa. Code § 52.14(i) A provider shall comply with the applicable approved Waiver, including approved Waiver amendments. Appendix C. Participant services. C1/C3: Provider Specifications for Service.	Employee records.
Residential Habilitation			
Individual employees must be at least 18 years of age with a high school diploma or GED and six months of paid or volunteer experience working with people with disabilities.		§ 52.14. Ongoing responsibilities of providers. (i) A provider shall comply with the applicable, approved waiver, including approved waiver amendments. Appendix C (CC & OW)	
	(1) Are individual employees at least 18 years of age?	§ 52.14. Ongoing responsibilities of providers. (i) A provider shall comply with the applicable, approved waiver, including approved waiver amendments. Appendix C (CC & OW)	Documentation to verify age in employee file
	(2) Do individual employees have a High School diploma or GED?	§ 52.14. Ongoing responsibilities of providers. (i) A provider shall comply with the applicable, approved waiver, including approved waiver amendments. Appendix C (CC & OW)	Documentation to verify Education level in employee file
	(3) Do individual employees have six months of paid or volunteer experience working with people with disabilities?	§ 52.14. Ongoing responsibilities of providers. (i) A provider shall comply with the applicable, approved waiver, including approved waiver amendments. Appendix C (CC & OW)	Documentation relating to prior experience working with people with disabilities in employee file
Initial Residential Habilitation Service training consists of a minimum of 12 hours of developmental disabilities specific training program within 6 months of being hired.		§ 52.14. Ongoing responsibilities of providers. (i) A provider shall comply with the applicable, approved waiver, including approved waiver amendments. Appendix C (CC, OW)	

Regulation		Regulation Reference	Documentation Source
	(1) Does the Initial Residential Habilitation Service Training consist of a minimum of 12 hours of developmental disabilities specific training program?	§ 52.14. Ongoing responsibilities of providers. (i) A provider shall comply with the applicable, approved waiver, including approved waiver amendments. Appendix C (CC, OW)	Documentation that 12 hours of developmental disabilities specific training program occurred, found in the employee file and/or provider training log.
	(2) Was training completed within 6 months of being hired?	§ 52.14. Ongoing responsibilities of providers. (i) A provider shall comply with the applicable, approved waiver, including approved waiver amendments. Appendix C (CC, OW)	Documentation that the training occurred within 6 months of being hired, found in the employee file and/or provider training log.
Respite (Home Care Agency)			
Respite (Home Care Agency). (Aging, CC, IW, OW) Individuals working for or contracted with agencies must meet the following standards:			
	(1) Be 18 years of age or older;	55 Pa. Code § 52.14(i) A provider shall comply with the applicable approved Waiver, including approved Waiver amendments. Appendix C. Participant services. C1/C3: Provider Specifications for Service.	Employee records.
	(2) Possess basic math, reading, and writing skills;	55 Pa. Code § 52.14(i) A provider shall comply with the applicable approved Waiver, including approved Waiver amendments. Appendix C. Participant services. C1/C3: Provider Specifications for Service.	Employee records.
Structured Day Habilitation			
COMMCARE Initial Structured Day Habilitation Service Training consists of a minimum of 20 hours of Brain Injury specific training within 6 months of being hired.		§ 52.14. Ongoing responsibilities of providers. (i) A provider shall comply with the applicable, approved waiver, including approved waiver amendments. Appendix C (OW only)	

Regulation		Regulation Reference	Documentation Source
	(1) Does the initial Structured Day Habilitation training consist of a minimum of 20 hours of brain injury specific training ?	§ 52.14. Ongoing responsibilities of providers. (i) A provider shall comply with the applicable, approved waiver, including approved waiver amendments. Appendix C (OW only)	Documentation that initial Structured Day Habilitation training consists of 20 hours of developmental disability specific training located in the employee file or provider training log, provider enrollment status in PROMISe.
	(2) Does the training occur within 6 months of being hired?	§ 52.14. Ongoing responsibilities of providers. (i) A provider shall comply with the applicable, approved waiver, including approved waiver amendments. Appendix C (OW only)	Documentation that initial Structured Day Habilitation training occurred within 6 months of being hired located in the employee file or provider training log, provider enrollment status in PROMISe.
Staff employed to provide Enhanced Structured Day Habilitation Services must also have initial training in behavioral programming and crisis prevention which must be renewed annually.		§ 52.14. Ongoing responsibilities of providers. (i) A provider shall comply with the applicable, approved waiver, including approved waiver amendments. Appendix C (CC, OW)	
	(1) Was there initial training in behavioral programming?	§ 52.14. Ongoing responsibilities of providers. (i) A provider shall comply with the applicable, approved waiver, including approved waiver amendments. Appendix C (CC, OW)	Documentation that the training consisted of behavioral programming located in employee file or provider training log.
	(2) Was there initial training in crisis prevention?	§ 52.14. Ongoing responsibilities of providers. (i) A provider shall comply with the applicable, approved waiver, including approved waiver amendments. Appendix C (CC, OW)	Documentation that the initial training consisted of crisis prevention located in employee file or provider training log.
	(3) Was training renewed annually?	§ 52.14. Ongoing responsibilities of providers. (i) A provider shall comply with the applicable, approved waiver, including approved waiver amendments. Appendix C (CC, OW)	Documentation that the training was renewed annually located in employee file or provider training log.

Regulation		Regulation Reference	Documentation Source
Structured Day Habilitation Speech Therapist Qualifications: Licensed under PA Department of State, per 49 PA Code Chapter 45 (Language and Hearing Examiner's Board) and Certification as required by 42 CFR Part 484		§ 52.14. Ongoing responsibilities of providers. (i) A provider shall comply with the applicable, approved waiver, including approved waiver amendments. Appendix C (CC & OW)	
	(1) Licensed under PA Department of State, per 49 PA Code Chapter 45 (Language and Hearing Examiners Board)?	§ 52.14. Ongoing responsibilities of providers. (i) A provider shall comply with the applicable, approved waiver, including approved waiver amendments. Appendix C (CC & OW)	Documentation pertaining to License/Certification
	(2) Certification as required by 42 CFR Part 484	§ 52.14. Ongoing responsibilities of providers. (i) A provider shall comply with the applicable, approved waiver, including approved waiver amendments. Appendix C (CC & OW)	Documentation pertaining to License/Certification
Structured Day Habilitation Physical Therapist or Assistant Qualifications: Licensed under PA Department of State, per 49 PA Code Chapter 40 (Physical Therapy Licensing Board) and Certification as required by 42 CFR Part 484		§ 52.14. Ongoing responsibilities of providers. (i) A provider shall comply with the applicable, approved waiver, including approved waiver amendments. Appendix C (CC & OW)	
	(1) Licensed under PA Department of State, per 49 PA Code Chapter 40 (Physical Therapy Licensing Board)?	§ 52.14. Ongoing responsibilities of providers. (i) A provider shall comply with the applicable, approved waiver, including approved waiver amendments. Appendix C (CC & OW)	Documentation pertaining to License/Certification
	(2) Certification as required by 42 CFR Part 484	§ 52.14. Ongoing responsibilities of providers. (i) A provider shall comply with the applicable, approved waiver, including approved waiver amendments. Appendix C (CC & OW)	Documentation pertaining to License/Certification

Regulation	Regulation Reference	Documentation Source	
Structured Day Habilitation Occupational Therapist or Assistant Qualifications: Licensed under PA Department of State, per 49 PA Code Chapter 42, including 42.22 pertaining to assistants (Occupational Therapy and Education Licensing Board) and Certification as required by 42 CFR Part 484	§ 52.14. Ongoing responsibilities of providers. (i) A provider shall comply with the applicable, approved waiver, including approved waiver amendments. Appendix C (CC & OW)		
	(1) Licensed under PA Department of State, per 49 PA Code Chapter 42 including 42.22 pertaining to assistants (Occupational Therapy and Education Licensing Board)?	§ 52.14. Ongoing responsibilities of providers. (i) A provider shall comply with the applicable, approved waiver, including approved waiver amendments. Appendix C (CC & OW)	Documentation pertaining to License/Certification
	(2) Certification as required by 42 CFR Part 484.	§ 52.14. Ongoing responsibilities of providers. (i) A provider shall comply with the applicable, approved waiver, including approved waiver amendments. Appendix C (CC & OW)	Documentation pertaining to License/Certification
Behavior Therapist must meet one of the following qualifications:			
	(1) Behavior Therapist: Psychologist -Licensed by the State Board of Psychology Professional Psychologists Practice Act, 63 P.S. §§ 1201-1218, per 49 PA Code Chapter 41.	§ 52.14. Ongoing responsibilities of providers. (i) A provider shall comply with the applicable, approved waiver, including approved waiver amendments. Appendix C (CC & OW)	Documentation pertaining to License/Certification
	(2) Behavior Therapist: Social Worker - Licensed by the State Board of Social Workers, Marriage and Family Therapists and Professional Counselors, per 49 PA Code Chapter 47, 48 and 49.	§ 52.14. Ongoing responsibilities of providers. (i) A provider shall comply with the applicable, approved waiver, including approved waiver amendments. Appendix C (CC & OW)	Documentation pertaining to License/Certification

Regulation		Regulation Reference	Documentation Source
	(3) Behavior Therapist: Behavior Analyst -Licensed psychologist or Master's level clinician with Certified Applied Behavior Analysis credentials.	§ 52.14. Ongoing responsibilities of providers. (i) A provider shall comply with the applicable, approved waiver, including approved waiver amendments. Appendix C (CC)	Documentation pertaining to License/Certification
	(3a) Behavior Therapist: Licensed by the State Board of Medicine per 49 Pa Code §18.521 - 18.527	§ 52.14. Ongoing responsibilities of providers. (i) A provider shall comply with the applicable, approved waiver, including approved waiver amendments. Appendix C (OW)	Documentation pertaining to License/Certification
	(4) Behavior Therapist: Licensed Professional Counselor -Licensed by the state of Pennsylvania as a Professional Counselor with a master's degree or a doctorate from a CACREP-approved academic program, passed the National Counselor Examination (NCE), and completed at least 3 years or 3,600 hours of supervised clinical experience.	§ 52.14. Ongoing responsibilities of providers. (i) A provider shall comply with the applicable, approved waiver, including approved waiver amendments. Appendix C (CC & OW)	Documentation pertaining to License/Certification
	(a) Is the counselor licensed by the state of Pennsylvania as a Professional Counselor?		Documentation pertaining to License/Certification
	(b) Does the counselor have a Master's Degree or Doctorate from a CACREP-approved academic program?		Documentation pertaining to License/Certification
	(c) Did the counselor pass the National Counselor Examination (NCE)?	§ 52.14. Ongoing responsibilities of providers. (i) A provider shall comply with the applicable, approved waiver, including approved waiver amendments. Appendix C (CC & OW)	Documentation pertaining to License/Certification

Regulation		Regulation Reference	Documentation Source
	(d) Has the counselor completed at least 3 years or 3,600 hours of supervised clinical experience?		Documentation pertaining to License/Certification, proof of required supervised clinical experience
Cognitive Rehabilitation Therapist: CBIS (Certified Brain Injury Specialist) certified by the Society for Cognitive Rehabilitation Certifications or Registration specific to disciplines. Therapists must meet the following requirements: Master's or Bachelor's degree in an allied field with licensure, certification, or registration. If credentialing is not available, must be supervised by licensed clinical psychologist, CBIS or certified by Society for Cognitive Rehabilitation.		§ 52.14. Ongoing responsibilities of providers. (i) A provider shall comply with the applicable, approved waiver, including approved waiver amendments. Appendix C (CC)	Documentation pertaining to License/Certification
	(1) Is the therapist CBIS certified by the Society for Cognitive Rehabilitation Certifications?	§ 52.14. Ongoing responsibilities of providers. (i) A provider shall comply with the applicable, approved waiver, including approved waiver amendments. Appendix C (CC)	Documentation pertaining to License/Certification
	(2) Does the therapist hold a Master's or Bachelor's degree in an allied field with licensure, certification, or registration?	§ 52.14. Ongoing responsibilities of providers. (i) A provider shall comply with the applicable, approved waiver, including approved waiver amendments. Appendix C (CC)	Documentation pertaining to education/licensure/certification in employee file
	(3) If credentialing is not available, is the therapist supervised by a licensed clinical psychologist, CBIS or certified by Society for Cognitive Rehabilitation?	§ 52.14. Ongoing responsibilities of providers. (i) A provider shall comply with the applicable, approved waiver, including approved waiver amendments. Appendix C (CC)	Documentation pertaining to License/Certification, documentation of supervision
Cognitive Rehabilitation Therapist: Licensed by the State Board of Psychology per 49 PA Code Chapter 42, including 42.22 pertaining to Assistants (Occupational Therapy and Education Licensing Board) or Licensed by the State Board of Social Workers, Marriage and Family Therapist and Professional Counselors per 49 PA Code Chapter 41, or be Licensed by the State of Pennsylvania as a Professional Counselor with a Master's degree or doctorate from a CACREP approved academic program, passed the National Counselor Examination (NCE) and completed at least 3 years or 3,600 hours of Supervised clinical experience. Individuals with a bachelor's or master's degree in		§ 52.14. Ongoing responsibilities of providers. (i) A provider shall comply with the applicable, approved waiver, including approved waiver amendments. Appendix C (OW)	Documentation pertaining to License/Certification, documentation of supervision

Regulation		Regulation Reference	Documentation Source
	(1) Is therapist licensed by Occupation Therapy and Education Licensing Board, State Board of Social Works, Marriage and Family therapist and Professional Counselors, Professional Counselor?	§ 52.14. Ongoing responsibilities of providers. (i) A provider shall comply with the applicable, approved waiver, including approved waiver amendments. Appendix C (OW)	Documentation pertaining to License/Certification, documentation of supervision
	(2) If Credentialing is not available, is the therapist supervised by licensed practitioner?	§ 52.14. Ongoing responsibilities of providers. (i) A provider shall comply with the applicable, approved waiver, including approved waiver amendments. Appendix C (OW)	Documentation pertaining to License/Certification, documentation of supervision
Independent Education Instructor: Certified under the Department of Education. Teachers must meet the following requirements: Hold a Bachelor's degree with a current teaching certificate. Have two years experience teaching basic adult education.		§ 52.14. Ongoing responsibilities of providers. (i) A provider shall comply with the applicable, approved waiver, including approved waiver amendments. Appendix C (CC & OW)	
	(1) Is the teacher certified under the Department of Education?	§ 52.14. Ongoing responsibilities of providers. (i) A provider shall comply with the applicable, approved waiver, including approved waiver amendments. Appendix C (CC & OW)	Documentation of certification from DoE
	(2) Does the teacher hold a Bachelor's degree with a current teaching certificate?	§ 52.14. Ongoing responsibilities of providers. (i) A provider shall comply with the applicable, approved waiver, including approved waiver amendments. Appendix C (CC & OW)	Documentation of employee education history and current teaching certificate
	(3) Does the teacher have two years of experience teaching basic adult education?	§ 52.14. Ongoing responsibilities of providers. (i) A provider shall comply with the applicable, approved waiver, including approved waiver amendments. Appendix C (CC & OW)	Documentation of employee work experience
Supported Employment			
Supported Employment. (CC, IW, OW) Individual agency staff must:			

Regulation	Regulation Reference	Documentation Source
(1) Be 18 years of age or older	55 Pa. Code § 52.14(i) A provider shall comply with the applicable approved Waiver, including approved Waiver amendments. Appendix C. Participant services. C1/C3: Provider Specifications for Service.	Employee records.
(2) Have a high school diploma or GED AND	55 Pa. Code § 52.14(i) A provider shall comply with the applicable approved Waiver, including approved Waiver amendments. Appendix C. Participant services. C1/C3: Provider Specifications for Service.	Employee records.
(3) six months of paid or volunteer experience in working with people with physical disabilities and/or older adults	55 Pa. Code § 52.14(i) A provider shall comply with the applicable approved Waiver, including approved Waiver amendments. Appendix C. Participant services. C1/C3: Provider Specifications for Service.	Employee records.

Therapeutic and Counseling Services

Therapeutic and Counseling Services. (IW, OW) Behavioral Specialist qualifications:		
	(1) Minimum of a Masters degree in Social Work, Psychology, Education, Counseling or related human services field.	55 Pa. Code § 52.14(i) A provider shall comply with the applicable approved Waiver, including approved Waiver amendments. Appendix C. Participant services. C1/C3: Provider Specifications for Service.
	(2) Individuals without licensure or certification must be supervised by a licensed psychologist, licensed social worker, licensed professional counselor or licensed behavior analyst.	55 Pa. Code § 52.14(i) A provider shall comply with the applicable approved Waiver, including approved Waiver amendments. Appendix C. Participant services. C1/C3: Provider Specifications for Service.
Therapeutic and Counseling. (CC, IW, OW) Services Cognitive Rehabilitation Therapist qualifications:		

Regulation		Regulation Reference	Documentation Source
	(1) Licensure specific to discipline, AND CBIS (Certified Brain Injury Specialist) OR Certification by Society for Cognitive Rehabilitation, OR	55 Pa. Code § 52.14(i) A provider shall comply with the applicable approved Waiver, including approved Waiver amendments. Appendix C. Participant services. C1/C3: Provider Specifications for Service.	Employee records.
	(2) Masters or Bachelors degree in an allied field must be supervised by a licensed psychologist, a Certified Brain Injury Specialist or a professional certified by the Society for Cognitive Rehabilitation	55 Pa. Code § 52.14(i) A provider shall comply with the applicable approved Waiver, including approved Waiver amendments. Appendix C. Participant services. C1/C3: Provider Specifications for Service.	Employee records.
Therapeutic and Counseling Services. (Aging, CC, IW, OW) Licensed Professional Counselor must be Licensed by the State Board of Social Workers, Marriage and Family Therapists and Professional Counselors, per 49 PA. Code Chapter 47, 48 and 49		55 Pa. Code § 52.14(i) A provider shall comply with the applicable approved Waiver, including approved Waiver amendments. Appendix C. Participant services. C1/C3: Provider Specifications for Service.	Employee records.
Therapeutic and Counseling Services. (Aging) Licensed Psychologist must be Licensed by the State Board of Psychology Professional Psychologists Practice Act, 63 P.S. §§ 1201-1218, per 49 PA Code Chapter 41		55 Pa. Code § 52.14(i) A provider shall comply with the applicable approved Waiver, including approved Waiver amendments. Appendix C. Participant services. C1/C3: Provider Specifications for Service.	Employee records.
Therapeutic and Counseling Services. (CC, IW, OW) Licensed Psychologist qualifications:			
	(1) Licensed by the State Board of Psychology Professional Psychologists Practice Act, 63 P.S. §§ 1201-1218, per 49 PA Code Chapter 41	55 Pa. Code § 52.14(i) A provider shall comply with the applicable approved Waiver, including approved Waiver amendments. Appendix C. Participant services. C1/C3: Provider Specifications for Service.	Employee records.
	(2) If drug abuse counseling is being provided the psychologist must have a minimum of six (6) months of professional experience providing substance abuse counseling	55 Pa. Code § 52.14(i) A provider shall comply with the applicable approved Waiver, including approved Waiver amendments. Appendix C. Participant services. C1/C3: Provider Specifications for Service.	Employee records, Licensed Psychologist's case load for the monitoring review period with diagnosis of drug and/or substance abuse
Therapeutic and Counseling Services. (Aging) Licensed Social Worker must be Licensed by the State Board of Social Workers, Marriage and Family Therapists and Professional Counselors, per 49 PA. Code Chapter 47, 48 and 49.		55 Pa. Code § 52.14(i) A provider shall comply with the applicable approved Waiver, including approved Waiver amendments. Appendix C. Participant services. C1/C3: Provider Specifications for Service.	Employee File
Therapeutic and Counseling Services. (IW, OW) Licensed Social Worker qualifications:			

Regulation		Regulation Reference	Documentation Source
	(1) Licensed by the State Board of Social Workers, Marriage and Family Therapists and Professional Counselors, per 49 PA. Code Chapter 47.	55 Pa. Code § 52.14(i) "A provider shall comply with the applicable approved Waiver, including approved Waiver amendments." Appendix C. Participant services: C1/C3 Provider Specifications for Service.	Employee records.
	(2) If a licensed social worker provides drug abuse counseling he/she has a minimum of one (1) year of professional experience providing substance abuse counseling with the skills required as determined by the supervising psychologist.	55 Pa. Code § 52.14(i) A provider shall comply with the applicable approved Waiver, including approved Waiver amendments. Appendix C. Participant services. C1/C3: Provider Specifications for Service.	Employee records, Licensed Social Worker's case load for the monitoring review period with diagnosis of drug and/or substance abuse
Therapeutic and Counseling Services. (CC) Licensed Social Worker qualifications:			
	(1) Licensed by the State Board of Social Workers, Marriage and Family Therapists and Professional Counselors, per 49 PA. Code Chapter 47	55 Pa. Code § 52.14(i) A provider shall comply with the applicable approved Waiver, including approved Waiver amendments. Appendix C. Participant services. C1/C3: Provider Specifications for Service.	Employee records.
	(2) If services are being provided to participants with traumatic brain injury, must be supervised by a psychiatrist or neuropsychiatrist who has experience working with individuals with traumatic brain injury	55 Pa. Code § 52.14(i) A provider shall comply with the applicable approved Waiver, including approved Waiver amendments. Appendix C. Participant services. C1/C3: Provider Specifications for Service.	Employee File, Social Worker's case load for the monitoring review period with diagnosis of traumatic brain injury.
	(3) If services are being provided to participants with traumatic brain injury, minimum of one year experience working with individuals with traumatic brain injury is required.	55 Pa. Code § 52.14(i) A provider shall comply with the applicable approved Waiver, including approved Waiver amendments. Appendix C. Participant services. C1/C3: Provider Specifications for Service.	Employee records, Social Worker's case load for the monitoring review period with diagnosis of traumatic brain injury.
	(4) If a clinical social worker provides drug abuse counseling he/she has a minimum of one (1) year of professional experience providing substance abuse counseling with the skills required as determined by the supervising psychologist	55 Pa. Code § 52.14(i) A provider shall comply with the applicable approved Waiver, including approved Waiver amendments. Appendix C. Participant services. C1/C3: Provider Specifications for Service.	Employee records, Social Worker's case load for the monitoring review period with diagnosis of drug and/or substance abuse.

Regulation	Regulation Reference	Documentation Source	
<p>Therapeutic and Counseling Services. (Aging, CC, IW, OW) Registered Dietitian or a Certified Nutrition Specialist must Licensed by the PA State Board of Dietitian-Nutritionists, per 49 PA Code Chapter 21, subchapter G.</p>	<p>55 Pa. Code § 52.14(i) A provider shall comply with the applicable approved Waiver, including approved Waiver amendments. Appendix C. Participant services. C1/C3: Provider Specifications for Service.</p>	<p>Employee records.</p>	
<p>§ 52.19. Criminal history checks.</p>			
<p>(b) Prior to hiring an employee, a provider shall obtain a criminal history check which is in compliance with all of the following for each employee who may have contact with a participant:</p>			
	<p>(1) A report of criminal history record information from the Pennsylvania State Police or a statement from the Pennsylvania State Police Central Repository does not contain information relating to the person, under 18 Pa.C.S. Chapter 91 (relating to Criminal History Record Information Act), if the employee has been a resident of this Commonwealth for the 2 years immediately preceding the date of application.</p>	<p>55 Pa. Code § 52.19(b)(1). Criminal history checks.</p>	
	<p>The employee has been a resident of this Commonwealth for the 2 years immediately</p>	<p>55 Pa. Code § 52.19(b)(1). Criminal history checks.</p>	<p>Employee records.</p>
	<p>A report of criminal history record information from the Pennsylvania State Police or a statement from the Pennsylvania State Police Central Repository does not contain information relating to the person, under 18 Pa.C.S. Chapter 91 (relating to Criminal History Record Information Act)</p>	<p>55 Pa. Code § 52.19(b)(1). Criminal history checks.</p>	<p>Employee records.</p>
	<p>(2) A report of Federal criminal history record information under the Federal Bureau of Investigation appropriation of Title II of the act of October 25, 1972 (Pub. L. No. 92-544, 86 Stat. 1109), if the employee has not been a resident of the Commonwealth for the 2 years immediately preceding the date of application.</p>	<p>55 Pa. Code § 52.19(b)(2). Criminal history checks.</p>	
	<p>The employee has not been a resident of this Commonwealth for the 2 years immediately</p>	<p>55 Pa. Code § 52.19(b)(2). Criminal history checks.</p>	<p>Employee records.</p>

Regulation		Regulation Reference	Documentation Source
	A report of Federal criminal history record information under the Federal Bureau of Investigation appropriation of Title II of the act of October 25, 1972 (Pub. L. No. 92-544, 86 Stat. 1109).	55 Pa. Code § 52.19(b)(2). Criminal history checks.	Employee records.
(d) The hiring policies shall be in accordance with the Department of Aging's Older Adults Protective Services Act policy as posted on the Department of Aging's web site at: http://www.aging.pa.gov/organization/advocacy-and-protection/Pages/Protective-Services.aspx		55 Pa. Code § 52.19(c). Criminal history checks.	Employee records.
§ 52.20. Provisional hiring.			
(a) A provider may hire a person for employment on a provisional basis, pending receipt of a criminal history check, provided all of the following are met:		55 Pa. Code § 52.20(a). Provisional hiring.	
	(1) The provider is in the process of obtaining a criminal history check as required by § 52.19 (relating to criminal history checks).	55 Pa. Code § 52.20(a)(1). Provisional hiring.	Employee records, Provider request for the appropriate criminal history check (PA State Police criminal history or Federal Bureau of Investigation criminal history check).
	(2) A provider may not hire a person provisionally if the provider has knowledge that the person would be disqualified	55 Pa. Code § 52.20(a)(2). Provisional hiring.	Employee records.
	(3) A provisionally-hired employee shall swear or affirm in writing that his is not disqualified from employment under this chapter.	55 Pa. Code § 52.20(a)(3). Provisional hiring.	Employee records.

Regulation		Regulation Reference	Documentation Source
	(4) A provider shall monitor the provisionally-hired person awaiting a criminal background check through random, direct observation and participant feedback. The results of monitoring shall be documented in the person's employment file.	55 Pa. Code § 52.20(a)(4). Provisional hiring.	
	Direct observation	55 Pa. Code § 52.20(a)(4). Provisional hiring.	Employee records.
	Participant feedback	55 Pa. Code § 52.20(a)(4). Provisional hiring.	Employee records.
	(5) The period of provisional hire may not exceed 30 days for a person who has been a resident of this Commonwealth for	55 Pa. Code § 52.20(a)(5). Provisional hiring.	Employee records.
	(6) The period of provisional hire may not exceed 90 days for a person who has been a resident of this Commonwealth for	55 Pa. Code § 52.20(a)(6). Provisional hiring.	Employee records.
	(b) If the information obtained from the criminal history check reveals that the person is disqualified from employment under § 52.19, then the	55 Pa. Code § 52.20(b). Provisional hiring.	Employee records.
§ 52.21. Staff training.			
	(b) Prior to providing a service to a participant, a staff member shall be trained on how to provide the service in accordance with the participant's service plan.	55 Pa. Code § 52.21(b) Staff training.	Provider employee training records, participant service plans, scope and type descriptions (from Waiver service definition) of the service to be provided

Regulation	Regulation Reference	Documentation Source
§ 52.14. Ongoing Responsibilities of Providers		
(m) A provider may not render a service when the participant is unavailable to receive the service.	55 Pa. Code § 52.14(m). Ongoing Responsibilities of Providers.	TSADF claims review, provider records
(n) A provider may not bill for a service when the participant is unavailable to receive the service.	55 Pa. Code § 52.14(n). Ongoing Responsibilities of Providers.	TSADF claims review
(q) A provider shall implement and provide services to the participant in the type, scope, amount, duration and frequency as specified in the service plan.	55 Pa. Code § 52.14(q). Ongoing Responsibilities of Providers. PA OLTL Bulletin 51-13-05, 55-13-05, 59-13-05.	TSADF claims review
§ 52.42. Payment policies.		
(f) The Department will recoup payments which are not made in accordance with this chapter .	55 Pa. Code § 52.42(f). Payment policies.	TSADF claims review
§ 52.43. Audit requirements.		
(k) A provider shall retain books, records and documents for inspection, audit or reproduction for at least 5 years after the provider's fiscal year-	55 Pa. Code § 52.43(k). Audit requirements.	Provider's paper and electronic records
§ 52.51. Vendor good or service payment.		
(a) The Department will only pay for the actual cost of a vendor good or service which may not exceed the amount for a similar vendor good or service charged to the general public.	55 Pa. Code § 52.51(a). Vendor good or service payment.	The provider vendor good or service listing from the <i>Pennsylvania Bulletin</i> , TSADF claims review, verification of the cost of service

Regulation	Regulation Reference	Documentation Source
(b) A provider shall retain documentation of the amount charged for the vendor good or service.	55 Pa. Code § 52.51(b). Vendor good or service payment. Pennsylvania Bulletin, 42 Pa.B. 3343	TSADF Claims Review
§ 1101.75 Provider prohibited acts.		
(a) An enrolled provider may not, either directly or indirectly, do any of the following acts:		
	(5) Submit a claim for service or items which were not rendered by the provider or were not rendered to a recipient.	55 Pa. Code § 1101.75 Provider prohibited acts.
	(8) Submit a claim which misrepresents the description of the services, supplies or equipment dispensed or provided, the	55 Pa. Code § 1101.75 Provider prohibited acts.
		TSADF claims review
		TSADF claims review