

QMET Monitoring

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

Provider Performs:	
Service	Y / N
Provisional Hiring	

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:		
(7) Obtain the following insurances:		
	(i) Commercial general liability insurance.	55 Pa. Code § 52.11 (a) (7) Prerequisites for Participation
		Provider insurance declaration sheet or insurance policy
	(ii) Worker's compensation insurance.	55 Pa. Code § 52.11 (a) (7) Prerequisites for Participation
		Provider insurance declaration sheet or insurance policy
	(iii) Professional liability insurance if required by a profession.	55 Pa. Code § 52.11 (a) (7) Prerequisites for Participation
		Provider insurance declaration sheet or insurance policy
§ 52.14. Ongoing Responsibilities of Providers.		
52.14 (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 Mediceck.		
	Initial and continued screening for staff members to determine if they have been excluded from participation in Federal health care programs by reviewing the LEIE, EPLS, and Mediceck.	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 in LEIE, EPLS and Mediceck for the two months previous to the review date.
	Initial and continued screening for contractors to determine if they have been excluded from participation in Federal health care programs by reviewing the LEIE, EPLS, and Mediceck.	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 contractors in LEIE, EPLS and Mediceck for the two months previous to the review date.
§ 52.14. Ongoing Responsibilities of Providers. (i) A provider shall comply with the applicable approved Waiver, including approved Waiver amendments.		
§ 52.14 (i) Ongoing Responsibilities of Providers. OLTL Bulletin 51-13-04, et. al., 51-13-06, et. al., 51-13-10, et. al. All SCEs are required to provide the attached informational packet, along with any future revisions, additions or deletions, to Waiver participants at the time of their annual redeterminations.		

Regulation	Regulation Reference	Documentation Source
<p>1) Bulletin Standard: All SCE's are required to provide the "Your Rights as a Participant" component of the informational packet, along with any future revisions, additions, or deletions to Waiver participants at the time of their annual redeterminations.</p>	<p>55 Pa. Code § 52.14(i) A provider shall comply with the applicable approved Waiver, including approved Waiver amendments. Appendix A, Waiver Administration and Operation. Bulletin 51-13-04, et. al.</p>	<p>Provider informational packet</p>
<p>2) Bulletin Standard: All SCE's are required to provide the "Your Responsibilities as a Participant" component of the informational packet, along with any future revisions, additions, or deletions to Waiver participants at the time of their annual redeterminations.</p>	<p>55 Pa. Code § 52.14(i) A provider shall comply with the applicable approved Waiver, including approved Waiver amendments. Appendix A, Waiver Administration and Operation. Bulletin 51-13-04, et. al.</p>	<p>Provider informational packet</p>
<p>3) Bulletin Standard: All SCE's are required to provide the "Participant Choice" component of the informational packet, along with any future revisions, additions, or deletions to Waiver participants at the time of their annual redeterminations.</p>	<p>55 Pa. Code § 52.14(i) A provider shall comply with the applicable approved Waiver, including approved Waiver amendments. Appendix A, Waiver Administration and Operation. Bulletin 51-13-04, et. al.</p>	<p>Provider informational packet</p>
<p>4) Bulletin Standard: All SCE's are required to provide the "Applying for Home and Community-Based Service Programs" component of the informational packet, along with any future revisions, additions, or deletions to Waiver participants at the time of their annual redeterminations.</p>	<p>55 Pa. Code § 52.14(i) A provider shall comply with the applicable approved Waiver, including approved Waiver amendments. Appendix A, Waiver Administration and Operation. Bulletin 51-13-04, et. al.</p>	<p>Provider informational packet</p>
<p>5) Bulletin Standard: All SCE's are required to provide the "The Role of the Service Coordinator" component of the informational packet, along with any future revisions, additions, or deletions to Waiver participants at the time of their annual redeterminations.</p>	<p>55 Pa. Code § 52.14(i) A provider shall comply with the applicable approved Waiver, including approved Waiver amendments. Appendix A, Waiver Administration and Operation. Bulletin 51-13-04, et. al.</p>	<p>Provider informational packet</p>
<p>6) Bulletin Standard: All SCE's are required to provide the "Participant Complaints" component of the informational packet, along with any future revisions, additions, or deletions to Waiver participants at the time of their annual redeterminations.</p>	<p>55 Pa. Code § 52.14(i) A provider shall comply with the applicable approved Waiver, including approved Waiver amendments. Appendix A, Waiver Administration and Operation. Bulletin 51-13-04, et. al.</p>	<p>Provider informational packet</p>

Regulation	Regulation Reference	Documentation Source
<p>7) Bulletin Standard: All SCE's are required to provide the "How Can I Find Other Resources In My Community" component of the informational packet, along with any future revisions, additions, or deletions to Waiver participants at the time of their annual redeterminations.</p>	<p>55 Pa. Code § 52.14(i) A provider shall comply with the applicable approved Waiver, including approved Waiver amendments. Appendix A, Waiver Administration and Operation. Bulletin 51-13-04, et. al.</p>	<p>Provider informational packet</p>
<p>8) Bulletin Standard: All SCE's are required to provide the "Medicaid (MA) Fraud and Abuse" component of the informational packet, along with any future revisions, additions, or deletions to Waiver participants at the time of their annual redeterminations.</p>	<p>55 Pa. Code § 52.14(i) A provider shall comply with the applicable approved Waiver, including approved Waiver amendments. Appendix A, Waiver Administration and Operation. Bulletin 51-13-04, et. al.</p>	<p>Provider informational packet</p>
<p>9) Bulletin Standard: All SCE's are required to provide the "Who Do I Contact If..." component of the informational packet, along with any future revisions, additions, or deletions to Waiver participants at the time of their annual redeterminations.</p>	<p>55 Pa. Code § 52.14(i) A provider shall comply with the applicable approved Waiver, including approved Waiver amendments. Appendix A, Waiver Administration and Operation. Bulletin 51-13-04, et. al.</p>	<p>Provider informational packet</p>
<p>10) Bulletin Standard: All SCE's are required to provide the "Abuse, Neglect, and Exploitation" component of the Informational Materials informational packet, along with any future revisions, additions, or deletions to Waiver participants at the time of their annual redeterminations.</p>	<p>55 Pa. Code § 52.14(i) A provider shall comply with the applicable approved Waiver, including approved Waiver amendments. Appendix A, Waiver Administration and Operation. Bulletin 51-13-06, et. al.</p>	<p>Provider informational packet</p>
<p>11) Bulletin Standard: All SCE's are required to provide the "Self-Directed Services" component of the Informational Materials informational packet, along with any future revisions, additions, or deletions to Waiver participants at the time of their annual redeterminations.</p>	<p>55 Pa. Code § 52.14(i) A provider shall comply with the applicable approved Waiver, including approved Waiver amendments. Appendix A, Waiver Administration and Operation. Bulletin 51-13-06, et. al.</p>	<p>Provider informational packet</p>
<p>12) Bulletin Standard: All SCE's are required to provide the "Your Appeal and Fair Hearing Rights" component of the Informational Materials informational packet, along with any future revisions, additions, or deletions to Waiver participants at the time of their annual redeterminations.</p>	<p>55 Pa. Code § 52.14(i) A provider shall comply with the applicable approved Waiver, including approved Waiver amendments. Appendix A, Waiver Administration and Operation. Bulletin 51-13-10, et. al.</p>	<p>Provider informational packet</p>
<p>§ 52.14 (i) Ongoing Responsibilities of Providers. OLTL Bulletin 51-14-07, et.al. Service Coordination After-Hours Coverage is effective June 19, 2014.</p>		

Regulation		Regulation Reference	Documentation Source
	(1) Bulletin Standard: All SCEs are to have a 24-hour system in place that allows participants to access the SCE via telephone during non-business hours in order to report a critical incident.	55 Pa. Code § 52.14(i) A provider shall comply with the applicable approved Waiver, including approved Waiver amendments. Appendix A, Waiver Administration and Operation. Bulletin 51-14-07, et. al.	Provider 24-hour call system
	(2) Bulletin Standard: SCEs are to return these calls immediately but no more than one (1) hour after receipt of the call.	55 Pa. Code § 52.14(i) A provider shall comply with the applicable approved Waiver, including approved Waiver amendments. Appendix A, Waiver Administration and Operation. Bulletin 51-14-07, et. al.	Provider call logs, service notes
	(3) Bulletin Standard: The return call is to be made by an SC, SC supervisor or agency executive.	55 Pa. Code § 52.14(i) A provider shall comply with the applicable approved Waiver, including approved Waiver amendments. Appendix A, Waiver Administration and Operation. Bulletin 51-14-07, et. al.	Provider call logs, service notes
	(4) Bulletin Standard: If a participant's needs are such that no immediate action is required, the SC should document the call and follow up on it the next business day.	55 Pa. Code § 52.14(i) A provider shall comply with the applicable approved Waiver, including approved Waiver amendments. Appendix A, Waiver Administration and Operation. Bulletin 51-14-07, et. al.	Provider call logs, service notes
§ 52.14. (i) Appendix C1/C3 (All Waivers)(Service Coordination) The Service Coordination Entities must have Registered Nurse (RN) consulting services available, either by a staffing arrangement or through a contracted consulting arrangement.		55 Pa. Code § 52.14(i) A provider shall comply with the applicable approved Waiver, including approved Waiver amendments. Appendix C1/C3: Provider Specifications for Service.	Documentation of contract or staffing arrangement
(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.			

Regulation		Regulation Reference	Documentation Source
	Reduce number of 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
	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 complaints system at least quarterly to:		55 Pa. Code § 52.18(c). Complaint management.	
	(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

Regulation		Regulation Reference	Documentation Source
	(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.			
(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

Regulation		Regulation Reference	Documentation Source
	(6) Fraud and financial abuse prevention.	55 Pa. Code § 52.21(d)(6). Staff training.	Provider standard annual training records
§ 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 (relating to general provisions).		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	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)
§ 52.27. Service coordinator qualifications and training.			
(c) A service coordinator shall have at least 40 hours of training within the first year of employment. The training shall include at least the following:			
	A service coordinator shall have at least 40 hours of training within the first year of employment.	55 Pa. Code § 52.27(c). Service coordinator qualifications and training.	Provider training records, *Can include PPL semi-annual training.
	The training shall include at least the following:	55 Pa. Code § 52.27(c). Service coordinator qualifications and training.	
	1. Conducting a person-centered assessment.	55 Pa. Code § 52.27(c)(1). Service coordinator qualifications and training.	Provider training curriculum
	2. Developing and modifying a participant's service plan.	55 Pa. Code § 52.27(c)(2). Service coordinator qualifications and training.	Provider training curriculum
	3. Utilizing the Department's data systems.	55 Pa. Code § 52.27(c)(3). Service coordinator qualifications and training.	Provider training curriculum
	4. Improving communication skills.	55 Pa. Code § 52.27(c)(4). Service coordinator qualifications and training.	Provider training curriculum

Regulation		Regulation Reference	Documentation Source
	5. Acquiring conflict resolution skills.	55 Pa. Code § 52.27(c)(5). Service coordinator qualifications and training.	Provider training curriculum
	6. Completing documentation.	55 Pa. Code § 52.27(c)(6). Service coordinator qualifications and training.	Provider training curriculum
	7. Understanding the disabilities of participants served.	55 Pa. Code § 52.27(c)(7). Service coordinator qualifications and training.	Provider training curriculum
(d) A service coordinator shall have at least 20 hours of training annually that includes the training topics under subsection (c).		55 Pa. Code § 52.27(d). Service coordinator qualifications and training.	
	A service coordinator shall have at least 20 hours of training annually.	55 Pa. Code § 52.27(d). Service coordinator qualifications and training.	Provider training records, *Can include PPL semi-annual training.
	The training includes the following topics:	55 Pa. Code § 52.27(d). Service coordinator qualifications and training.	
	1. Conducting a person-centered assessment.	55 Pa. Code § 52.27(d). Service coordinator qualifications and training.	Provider training curriculum
	2. Developing and modifying a participant's service plan.	55 Pa. Code § 52.27(d). Service coordinator qualifications and training.	Provider training curriculum
	3. Utilizing the Department's data systems.	55 Pa. Code § 52.27(d). Service coordinator qualifications and training.	Provider training curriculum
	4. Improving communication skills.	55 Pa. Code § 52.27(d). Service coordinator qualifications and training.	Provider training curriculum
	5. Acquiring conflict resolution skills.	55 Pa. Code § 52.27(d). Service coordinator qualifications and training.	Provider training curriculum
	6. Completing documentation.	55 Pa. Code § 52.27(d). Service coordinator qualifications and training.	Provider training curriculum

Regulation		Regulation Reference	Documentation Source
	7. Understanding the disabilities of participants served.	55 Pa. Code § 52.27(d). Service coordinator qualifications and training.	Provider training curriculum
§ 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.		§ 52.52(a). Subcontracting for a vendor good or service.	Provider contracts
(b) Only a vendor good or service may be subcontracted.		§ 52.52(b). Subcontracting for a vendor good or service.	Provider contracts

Regulation	Regulation Reference	Documentation Source
§ 52.14. Ongoing Responsibilities of Providers.		
(I) A provider shall ensure that each employee possesses a valid Social Security number.	55 Pa. Code § 52.14. (I) 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 support service 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
Service Coordination		
§ 52.14. (i) Appendix C Service Coordination(All Waivers) Service Coordinators 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.
§ 52.19. Criminal history checks.		
(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:		
	(1) A report of criminal history record information from the Pennsylvania State Police or a statement from the Pennsylvania State Police that 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.	55 Pa. Code § 52.19(b)(1). Criminal history checks.
	The employee has been a resident of this Commonwealth for the 2 years	55 Pa. Code § 52.19(b)(1). Criminal history checks.
		Employee records.

Regulation		Regulation Reference	Documentation Source
	A report of criminal history record information from the Pennsylvania State Police or a statement from the Pennsylvania State Police that 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)	55 Pa. Code § 52.19(b)(1). Criminal history checks.	Employee records.
	(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 this Commonwealth for the 2 years immediately preceding the date of application.	55 Pa. Code § 52.19(b)(2). Criminal history checks.	
	The employee has not been a resident of this Commonwealth for the 2 years immediately preceding the date of application.	55 Pa. Code § 52.19(b)(2). Criminal history checks.	Employee records.
	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.
§ 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:			
	(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).

Regulation		Regulation Reference	Documentation Source
	(2) A provider may not hire a person provisionally if the provider has knowledge that the person would be disqualified for employment under 18 Pa. C.S. § 4911 (relating to tampering with public records or information).	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.
	(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	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	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 §	55 Pa. Code § 52.20(b). Provisional hiring.	Employee records.
§ 52.27. Service coordinator qualifications and training.			
	(a) To provide service coordination services, a service coordinator shall meet either of the following:	§ 52.27(a). Service coordinator qualifications and training.	
	(1) Have a bachelor's degree including or supplemented by at least 12 college-level credit hours in sociology, social welfare, psychology, gerontology or another behavioral science OR	§ 52.27(a)(1). Service coordinator qualifications and training.	Employee file, employee college transcript, employee's resume, employee's current job description, employee interview, employee training with OLTL, letter of postponement of enforcement, employee plan for compliance.

Regulation		Regulation Reference	Documentation Source
	(2) A combination of experience and training which adds up to 4 years of experience, and education which includes at least 12 semester hours of college-level courses in sociology, social work, social welfare, psychology, gerontology or other social science.	§ 52.27(a)(2). Service coordinator qualifications and training.	
	The Service Coordinator has a combination of experience and training that adds up to 4 years of experience, AND	§ 52.27(a)(2) Service coordinator qualifications and training.	Employee record
	The Service Coordinator has at least 12 semester hours of college-level courses in sociology, social work, social welfare, psychology, gerontology or other social services.	§ 52.27(a)(2) Service coordinator qualifications and training.	Employee record
(b) To supervise staff providing service coordination services, a service coordinator supervisor shall meet either of the following:		§ 52.27(b). Service coordinator qualifications and training.	
	(1) Have at least three years of experience in public or private social work AND a bachelor's degree, OR	§ 52.27(b)(1). Service coordinator qualifications and training.	Employee record.
	(2) Have an equivalent to paragraph (1) of experience and training including completion of 12 semester hours of college-level courses in sociology, social work,	§ 52.27(b)(2). Service coordinator qualifications and training.	Employee record.

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
(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	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
(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
§ 1101.64 Third-party medical resources (TPR)		
(a) General. Other private or governmental health insurance benefits shall be utilized before billing the MA Program. Providers shall make reasonable efforts to secure from the recipient sufficient information regarding the primary coverage necessary to bill the insurers or programs.	§ 1101.64(a) Third-party medical resources (TPR)	Policies, procedures, general ledger, PROMISE claims review, copies of insurance cards.
§ 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	55 Pa. Code § 1101.75 Provider prohibited acts.
	(8) Submit a claim which misrepresents the description of the services, supplies or equipment dispensed or	55 Pa. Code § 1101.75 Provider prohibited acts.
		TSADF claims review
		TSADF claims review

Regulation	Regulation Reference	Documentation Source	
§ 52.25. Service plan.			
(a) A service plan must be developed for each participant that contains the following:			
	(1) The participant need as identified on a standardized needs assessment provided by the Department.	§ 52.25. (a) (1) Service plan.	Participant service plan in SAMS or HCSIS
	(2) the participant goal.	§ 52.25. (a)(2) Service plan.	Participant service plan in SAMS or HCSIS
	(3) the participant outcome.	§ 52.25.(a)(3) Service plan.	Participant service plan in SAMS or HCSIS
	(4) the service, TPR or informal community support that meets the participant need, participant goal or participant outcome.	§ 52.25.(a)(4) Service plan.	Participant service plan in SAMS or HCSIS
	(5) The type, scope, amount, duration, and frequency of services needed by the participant.	§ 52.25.(a)(5) Service plan.	Participant service plan in SAMS or HCSIS
	(6) the provider of each service.	§ 52.25.(a)(6) Service plan.	Participant service plan in SAMS or HCSIS
	(7) the participant's signature.	§ 52.25.(a)(7) Service plan.	Participant file
	(8) Risk mitigation strategies.	§ 52.25.(a)(8) Service plan.	Participant service plan in SAMS or HCSIS
	(9) the participant's back-up plan.	§ 52.25.(a)(9) Service plan.	Participant service plan in SAMS or HCSIS
(b) The participant's back-up plan must contain an individualized back-up plan and an emergency back-up plan.	§ 52.25. (b) Service plan.	Participant service plan in SAMS or HCSIS	
(c) Each participant need must be addressed by an informal community support, TPR, or service unless the participant chooses for a need not be addressed.	§ 52.25. (b) Service plan.	Participant service plan in SAMS or HCSIS	

Regulation	Regulation Reference	Documentation Source
(d) If a participant refuses to have a need addressed, then the SCE shall document when the participant refused to have the need addressed and why the participant chose for the need to remain unaddressed.	§ 52.25. (b) Service plan.	Participant service plan in SAMS or HCSIS
(e) The following services require a physician's prescription prior to being added to a participant's service plan:		
(1) Physical Therapy.	§ 52.25. (e)(1) Service Plan.	Participant service plan in SAMS or HCSIS
(2) Occupational Therapy.	§ 52.25. (e)(2) Service Plan.	Participant service plan in SAMS or HCSIS
(3) Speech and Language Therapy.	§ 52.25. (e)(3) Service Plan.	Participant service plan in SAMS or HCSIS
(4) Nursing services.	§ 52.25. (e)(4) Service Plan.	Participant service plan in SAMS or HCSIS
(5) Telecare Health Status and Monitoring services.	§ 52.25. (e)(5) Service Plan.	Participant service plan in SAMS or HCSIS
(6) Specialized Medical Equipment and Supplies	§ 52.25. (e)(6) Service Plan.	Participant service plan in SAMS or HCSIS
§ 52.26. Service coordination services.		
(a) To be paid for rendering service coordination services, an SCE shall:	§ 52.26(a). Service coordination services.	
(1) Complete a person-centered assessment.	§ 52.26(a)(1). Service coordination services.	Participant file, service notes, Care Management Instrument (CMI)
(2) Complete a level of care re-evaluation at least annually.	§ 52.26(a)(2). Service coordination services. OLTL Bulletin 54-15-06, et al. Individual Service Plan Development, Review and Implementation	Participant file, service notes, Care Management Instrument (CMI)
(3) Develop a service plan for each participant for whom the SCE renders service coordination services. The provider shall complete the following:	§ 52.26(a)(3). Service coordination services.	

Regulation		Regulation Reference	Documentation Source
	(i) Develop and modify the participant's service plan at least annually.	§ 52.26(a)(3)(i). Service coordination services.	Participant's Service Plan, service notes
	(ii) Modify the participant's service plan, if necessary, when the participant has a significant medical or social change.	§ 52.26(a)(3)(ii). Service coordination services.	Participant's Service Plan, service notes
	(4) Review the participant need, the participant goal and participant outcome with the participant and other persons that the participant requests to be part of the review as required by conducting the following:	§ 52.26(a)(4). Service coordination services.	
	(i) At least one telephone call or face-to-face visit per calendar quarter. At least two face-to-face visits are required per calendar year.	§ 52.26(a)(4)(i). Service coordination services.	Service notes
	(ii) More frequent calls or visits if the service coordinator or the Department determines more frequent calls or visits are necessary to ensure the participant's health and safety.	§ 52.26(a)(4)(ii). Service coordination services.	Service notes
	(5) Coordinate a service, TPR and informal community supports with the participant to ensure the participant	§ 52.26(a)(5). Service coordination services.	Participant service plan in SAMS or HCSIS
	(6) Provide the participant with a list of providers in the participant's service location area that are enrolled to render the service that meets the participant's needs.	§ 52.26(a)(6). Service coordination services, OLTL Bulletin 59-16-03, Provider Choice Protocol	Participant file, OLTL Freedom of Choice Form (February, 2016), OLTL Service Provider Choice Form (February, 2016)

Regulation	Regulation Reference	Documentation Source
(10) Ensure and document at least on a quarterly basis that the participant's services are being delivered in the type, scope, amount, duration and frequency as required by the participant's service plan.	§ 52.26(a)(10). Service coordination services.	Service notes