

## Service Specific Record Review – Life Skills Development 3 (ADT)

#	Performance Measure/Standard	Protocol	Not Met Reasons	CMS Assurance
1	The provider maintains Daily Attendance Logs covering services provided and billed during the period under review.	<p>CMS Assurance – Financial Accountability iBudget Handbook RECORD REVIEW</p> <ul style="list-style-type: none"> <li>• Review Daily Attendance Logs for the entire period of review and ensure they contain the required information: <ul style="list-style-type: none"> <li>○ Name of provider</li> <li>○ Name of Individual</li> <li>○ Time Period</li> <li>○ Date of service .</li> </ul> </li> <li>• Determine Daily Attendance Logs match claims data to ensure accuracy in billing.</li> <li>• If necessary, request Remittance Vouchers for further review.</li> </ul> <p><b>This standard is subject to potential recoupment</b></p>	<ol style="list-style-type: none"> <li>1) Provider did not maintain Daily Attendance Logs covering services provided/billed during the period under review. (R)</li> <li>2) Daily Attendance Logs covering services provided/billed during the period under review did not equal dates billed. (R)</li> <li>3) Daily Attendance Logs covering services provided/billed during the period under review did not include the individual's name. (R)</li> <li>4) (New) Daily Attendance Logs covering services provided/billed during the period under review did not include the name of the provider.</li> <li>5) (New) Daily Attendance Logs covering services provided/billed during the period under review did not include time period. (R)</li> <li>6) Daily Attendance Logs covering services provided/billed during the period under review did not include the date of service. (R)</li> </ol>	Financial Account.
2	The Implementation Plan covering services provided and billed during the period under review is in the record.	<p>CMS Assurance – Financial Accountability iBudget Handbook RECORD REVIEW</p> <ul style="list-style-type: none"> <li>• Review individual record to determine if there is an Implementation Plan for the entire period of review (this may require review of 2 Implementation Plans).</li> <li>• Review record to determine Support Plan(s) effective date and compare with Implementation</li> </ul>	<ol style="list-style-type: none"> <li>1) Implementation Plan covering services provided/billed during the period under review was not in the record for the entire period of review. (R)</li> <li>2) Implementation Plan covering services provided/billed during the period under review was not completed within 30 days following the initiation of the new service. (R)</li> <li>3) Implementation Plan covering services provided and billed during the period under</li> </ol>	Financial Account.

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		<p>Plan development date.</p> <ul style="list-style-type: none"> <li>• Implementation Plan must be developed/completed within 30 calendar days of the Support Plan effective date or within 30 days of the initiation of a new service.</li> </ul> <p style="text-align: center;"><b>And</b></p> <ul style="list-style-type: none"> <li>• At any time updates and changes are made before they are implemented and annually thereafter.</li> </ul> <p>If the provider has not rendered services for more than 30 days, score N/A.</p> <p><b>This standard is subject to potential recoupment</b></p>	<p>review was not completed within 30 days following the Support Plan effective date. (R)</p>	
3	<p>The current Implementation Plan covering services provided and billed during the period under review contains all required components.</p>	<p>CMS Assurance – Financial Accountability iBudget Handbook RECORD REVIEW</p> <p>NOTE: For the purposes of this standard, only the “current Implementation Plan” will be reviewed. This is defined as the Support Plan in effect at the time of the record review.</p> <ul style="list-style-type: none"> <li>• Review individual record for current Implementation Plan</li> <li>• Ask the provider how strategies and methods will assist individuals in meeting goals are determined.</li> <li>• Review the current Implementation Plan to determine they contain, at a minimum: <ul style="list-style-type: none"> <li>○ Individual Name</li> <li>○ Goal(s) from the Support Plan the service will</li> </ul> </li> </ul>	<ol style="list-style-type: none"> <li>1) Current Implementation Plan covering services provided/billed during the period under review was not in the record.</li> <li>2) Current Implementation Plan did not include the name of the individual served.</li> <li>3) Current Implementation Plan did not include goal(s) from the Support Plan the service will address.</li> <li>4) Current Implementation Plan did not include the methods employed to assist the recipient in meeting the Support Plan goal(s).</li> <li>5) Current Implementation Plan did not identify the system to be used for data collection and assessment of the individual's progress in achieving the Support Plan goal(s).</li> <li>6) Current Implementation Plan was not updated prior to implementing identified changes.</li> </ol>	Financial Account.

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		<p>address</p> <ul style="list-style-type: none"> <li>○ Methods employed to assist the individual in meeting the Support Plan goal(s).</li> <li>○ System to be used for data collection and assessment of the individual’s progress in achieving the Support Plan goal(s).</li> <li>● Review the current Support Plan to determine Life Skills Development 3 goals are indicated and are included on the current Implementation Plan.</li> </ul>		
4 NEW	The Implementation Plan is provided to the individual and when applicable, the legal representative, within required time frames.	<p>CMS Assurance - Service Plan iBudget Handbook RECORD REVIEW</p> <ul style="list-style-type: none"> <li>● NOTE: For the purposes of this standard, only the “current Implementation Plan” will be reviewed. This is defined as the Support Plan in effect at the time of the record review. A copy of the Implementation Plan, signed by the individual, shall be furnished to the individual and when applicable, the legal representative no later than 30 days from the Support Plan effective date or within 30 days from the initiation of a new service. <ul style="list-style-type: none"> <li>○ Ask the provider to demonstrate their method of documenting the Implementation Plan has been provided to the individual and when applicable, the legal representative.</li> <li>○ Review the date the Implementation Plan was provided to the individual and when applicable, the legal representative.</li> </ul> </li> </ul>	<ol style="list-style-type: none"> <li>1) Provider did not have documentation the Implementation Plan was provided to the individual.</li> <li>2) Provider did not have documentation the Implementation Plan was provided to the legal representative.</li> <li>3) Provider documentation indicates the implementation plan was provided to the individual but not within the 30 day timeframe.</li> <li>4) Provider documentation indicates the implementation plan was provided to the legal representative but not within the 30 day timeframe.</li> </ol>	Service Plan

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5	A Quarterly summary covering services provided and billed during the period under review is in the record.	<p>CMS Assurance – Financial Accountability iBudget Handbook RECORD REVIEW</p> <ul style="list-style-type: none"> <li>• Determine Support Plan effective date to determine Quarterly Summary timeframes for each individual to be reviewed.</li> <li>• Ask provider if provider completes Monthly Summaries or Quarterly Summaries. Monthly Summaries in lieu of Quarterly Summaries are acceptable.</li> <li>• Determine if the provider is aware of the person's recent progress towards or achievement of personal goals the person has recently achieved.</li> <li>•</li> <li>• Review summaries. Each summary must contain: A summary of the individual's progress toward achieving Support Plan goals for services billed in that month/quarter.</li> </ul> <p>If service has not been rendered long enough for a Quarterly Summary to be required, score N/A.</p> <p><b>This standard is subject to potential recoupment</b></p>	<ol style="list-style-type: none"> <li>1) Quarterly/Monthly Summary covering services provided/billed during the period under review was not in the record. (R)</li> <li>2) Quarterly/Monthly Summaries covering services provided/billed during the period under review were present but were not reflective of progress toward Support Plan goals.</li> <li>3) Some, but not all Quarterly/Monthly Summaries covering services provided/billed during the period under review were present. (R)</li> <li>4) Quarterly/Monthly Summaries covering services provided/billed during the period under review were completed, but not within required timeframes. (R)</li> <li>5) Quarterly Summaries covering services provided/billed during the period under review were completed but were not aligned with the Support Plan effective date.</li> </ol>	Financial Account.
6	The third Quarterly/Annual Report covering services provided and billed during the period under review is in the record.	<p>CMS Assurance – Financial Accountability iBudget Handbook RECORD REVIEW</p> <ul style="list-style-type: none"> <li>• Review record to determine Support Plan effective date.</li> </ul>	<ol style="list-style-type: none"> <li>1) Current third Quarterly/Annual Report covering services provided/billed during the period under review was not in the record. (R)</li> <li>2) Third Quarterly/Annual Report covering services provided/billed during the period under review did not contain a summary of the</li> </ol>	Financial Account.

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		<ul style="list-style-type: none"> <li>• Determine if the Annual Report is a component of the third quarterly report or a separate document (which is acceptable).</li> <li>• Review Annual Report for content to ensure it includes at a minimum:                             <ul style="list-style-type: none"> <li>○ A summary of the first three quarters of the Support Plan</li> <li>○ Description of supports and services received throughout the year</li> <li>○ Description of the person’s progress, or lack thereof, toward achieving each of the goals identified on the Support Plan</li> <li>○ Description of any pertinent information about significant events that have happened in the life of the recipient for the previous year.</li> </ul> </li> <li>• Determine if progress statements are consistent with supporting data in documentation.</li> <li>• Determine if the third Quarterly/Annual Report was completed at least 60 days prior to the Support Plan effective date.</li> </ul> <p>If the provider was providing services to the person at the time the last Annual Report would have been due an annual report is required even if the provider has served the person less than one full year. If the provider was not providing services at the time of the last annual, score as N/A.</p> <p><b>This Standard is subject to potential recoupment</b></p>	<p>recipient’s progress toward achieving Support Plan goal(s).</p> <ol style="list-style-type: none"> <li>3) Third Quarterly/Annual Report covering services provided/billed during the period under review did not contain a summary of the first three quarters of the Support Plan year.</li> <li>4) (New) Third Quarterly/Annual Report covering services provided/billed during the period under review did not contain a description of supports and services received throughout the year.</li> <li>5) (New) Third Quarterly/Annual Report covering services provided/billed during the period under review did not contain a description of any pertinent information about significant events that have happened in the life of the recipient during the previous year.</li> <li>6) (New) Third Quarterly/Annual Report covering services provided/billed during the period under review was completed, but not at least 60 days prior to the Support Plan effective date.</li> <li>7) Third Quarterly/Annual Report covering services provided/billed during the period under review was completed, but not prior to the Support Plan effective date. (R)</li> </ol>	

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7	The provider maintains Service Authorization(s) covering services provided and billed during the period under review.	<p>CMS Assurance - Service Plan iBudget Handbook RECORD REVIEW</p> <p>Service authorizations are provided quarterly or more frequently as changes dictate.</p> <ul style="list-style-type: none"> <li>• Review the Service Authorization for Life Skills Development 3 (ADT) and ensure: <ul style="list-style-type: none"> <li>○ A Service Authorization is available to cover all services provided and billed during the period under review.</li> <li>○ The Service Authorization(s) is in approved status;</li> <li>○ The Service Authorization(s) is for the correct rate (agency vs. solo – geographic vs. non-geographic, ratio).</li> </ul> </li> <li>• Refer to the current APD Provider rate table as needed.</li> </ul> <p>WSCs <b>and</b> service providers must verify the Service Authorization is correct according to the authorized amount of services in the iBudget system. If corrections are needed the service provider should immediately contact the WSC for resolution.</p> <ul style="list-style-type: none"> <li>○ Consider provider due diligence in securing corrected Service Authorizations when incorrect ones are received.</li> </ul>	<ol style="list-style-type: none"> <li>1) No Service Authorizations were in the record covering services provided and billed during the period under review.</li> <li>2) One or more Service Authorizations covering services provided and billed during the period under review were not in the record.</li> <li>3) One or more Service Authorizations covering services provided and billed during the period under review were not in approved status.</li> <li>4) One or more Service Authorizations covering services provided and billed during the period under review did not indicate the correct rate.</li> </ol>	Service Plan
8	The provider renders the service in accordance with the	<p>CMS Assurance - Service Plan iBudget Handbook RECORD REVIEW</p>	<ol style="list-style-type: none"> <li>1) Transportation time to and from the day program location was billed under day program service. (R)</li> </ol>	Service Plan

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	Handbook.	<ul style="list-style-type: none"> <li>• Review provider records for Service Authorizations.</li> <li>• Determine Service Authorization(s) are available covering services provided and billed during the period under review.</li> <li>• Review data collection documentation and Daily Attendance Logs for information that supports frequency of service provision approved ratio (days per week/month, full day/half day).</li> <li>• Review Support Plan or other provider documentation to determine age of individual.                             <ul style="list-style-type: none"> <li>○ If the individual is under the age of 22 and services are being billed via the waiver, look for documentation to support the individual graduated from high school with a standard diploma.</li> </ul> </li> <li>• If service authorizations are not present for some or all of the period under review other documentation such as service logs, daily progress note, implementation plans, support plans, etc. can be used.</li> </ul> <p>If service is being routinely rendered at a frequency less than or greater than the Service Authorization, score as Met and add a discovery.</p> <p><b>This standard is subject to potential recoupment</b></p>	<p>2) Provider rendered/billed for services to an individual under the age of 22 that had not graduated from High School with a standard diploma. (R)</p> <p>3) Unable to determine due to absence of supporting documentation.</p> <p>4) Service is not being rendered in accordance with the Handbook. (R)</p>	
9	The Provider is in compliance with billing procedures and the	CMS Assurance – Financial Accountability iBudget Handbook RECORD REVIEW	1) Provider billed for services prior to rendering services on one or more dates during the period under review.	Financial Account.

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	Medicaid provider agreement.	Provider is not to bill for services prior to rendering. <ul style="list-style-type: none"> <li>• Review Claims data for date billed.</li> <li>• Review dates on Daily Attendance Logs.</li> <li>• Determine whether or not services were rendered prior to billing for each date of service the review period.</li> </ul> Provider bills the appropriate rate: <ul style="list-style-type: none"> <li>• Solo vs. Agency</li> <li>• Approved ratio of 1:1, 1:3, 1:5 or 1:6-10</li> </ul> <b>This Standard is subject to potential recoupment</b>	2) Provider is a solo provider but is billing at the agency rate. (R) 3) Provider billed at an incorrect rate. (R)	
10	At least annually, the provider conducts an orientation informing individuals of supported employment and other competitive employment opportunities in the community.	CMS Assurance - Service Plan iBudget Handbook RECORD REVIEW/PROVIDER INTERVIEW <ul style="list-style-type: none"> <li>• Ask the provider how this orientation is provided and documented.</li> <li>• Review record for documentation of this annual orientation.</li> </ul>	1) Documentation indicated the provider had completed orientation with the person, but not at least annually. 2) The record did not contain documentation indicating provider had completed the required annual orientation with the person.	Service Plan
11	The provider addresses the individual's choices and preferences.	CMS Assurance - Service Plan iBudget Handbook RECORD REVIEW/PROVIDER INTERVIEW <ul style="list-style-type: none"> <li>• Ask the provider to explain method of soliciting and documenting individual's choices and preferences as related to this service.</li> <li>• Review file for documentation supporting stated</li> </ul>	1) Documentation did not indicate the provider was aware of the individual's choices and preferences related to Life Skills 3. 2) Documentation indicated the provider was aware, but had not addressed the individual's choices and preferences related to Life Skills 3. 3) Provider was aware of but had not	Service Plan



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		<p>method of addressing individual's choices and preferences.</p> <ul style="list-style-type: none"> <li>• Ask the provider for description of individual's choices and preferences.</li> <li>• Review Daily Attendance Logs and/or other provider documentation to determine if choices and preferences are solicited and addressed.</li> <li>• Review Support Plan to determine if person's choices and preferences are identified and match provider activities.</li> </ul> <p>If PCR, ask individual about choices and preferences.</p>	<p>documented the individual's choices and preferences related to Life Skills 3.</p>	
12 NEW	The provider assists the individual/legal representative to know about rights.	<p>CMS Assurance - Service Plan iBudget Handbook RECORD REVIEW/PROVIDER INTERVIEW</p> <ul style="list-style-type: none"> <li>• Ask the provider how they inform individuals and their families or legal representatives of their rights and responsibilities as related to this service and how frequently.</li> <li>• Ask the provider for examples of how they have assisted individuals to fully exercise their rights and make informed choices.</li> <li>• Interactively, with the provider, review documentation supporting discussion.</li> <li>• Ask the provider for examples of how they observe the rights and responsibilities of individuals.</li> </ul>	<ol style="list-style-type: none"> <li>1) Provider documentation did not reflect evidence of assisting the individual/legal representative to know about rights.</li> <li>2) Provider was able to describe efforts to assist the individual/legal representative to know about rights, but had not documented the information.</li> </ol>	Service Plan
13	The provider has a method in place to	<p>CMS Assurance – Health and Welfare iBudget Handbook</p>	<ol style="list-style-type: none"> <li>1) Provider has no method in place to gather information about the individual's physical</li> </ol>	Health & Welfare

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	gather information about the individual's physical and behavioral/emotional health on an ongoing basis.	<p>RECORD REVIEW/PROVIDER INTERVIEW</p> <ul style="list-style-type: none"> <li>• Ask the provider for method of documenting historical physical and behavioral/emotional health.</li> <li>• Ask the provider for method of collecting and documenting current information about the individual's physical and behavioral/emotional health.</li> <li>• Review file for documentation supporting stated method.</li> <li>• Documentation may include intake forms, stand-alone forms, or other available documentation.</li> </ul>	<p>health.</p> <ol style="list-style-type: none"> <li>2) Provider has no method in place to gather information about the individual's behavioral/emotional health.</li> <li>3) The provider is knowledgeable of the individual's physical health but documentation does not demonstrate provider's efforts to gather information for their records</li> <li>4) The provider is knowledgeable of the individual's behavioral/emotional health but documentation does not demonstrate provider's efforts to gather information for their records.</li> <li>5) Key/Critical pieces of physical health information were absent from the record.</li> <li>6) Key/Critical pieces of behavioral/emotional health information were absent from the record.</li> </ol>	
14	The Provider submits documents to the Waiver Support Coordinator as required.	<p>CMS Assurance - Service Plan iBudget Handbook</p> <p>RECORD REVIEW/PROVIDER INTERVIEW</p> <ul style="list-style-type: none"> <li>• Ask the provider about their method of submitting required documents to the Support Coordinator. <ul style="list-style-type: none"> <li>▪ Daily Attendance Logs</li> <li>▪ Monthly/Quarterly/Annual Report</li> <li>▪ Implementation Plans</li> </ul> </li> <li>• Review documentation for proof of submission to the Support Coordinator. <ul style="list-style-type: none"> <li>▪ Examples could include fax transmittal</li> </ul> </li> </ul>	<ol style="list-style-type: none"> <li>1) Provider did not have evidence of submitting copies of Daily Attendance Log (s).</li> <li>2) Provider did not have evidence of submission of the Implementation Plan within 30 days following the Support Plan effective date.</li> <li>3) Provider did have evidence of submission of the Implementation Plan but not within 30 days of the Support Plan effective date.</li> <li>4) Provider did not have evidence of submission of Quarterly/Monthly Summaries.</li> <li>5) (New) Provider did not have evidence of submission of 3<sup>rd</sup> Quarter/Annual Report at</li> </ol>	Service Plan

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		<p>reports with cover sheet indicating exact descriptions of what was faxed, submission tracking logs, date stamps, or indication of date of submission and method sent on the documentation.</p>	<p>least 60 days prior to the Support Plan effective date.                      6) (New) Provider had evidence of document submission of copies of third Quarterly/Annual Report, but not at least 60 days prior to the end of the Support Plan effective date.</p>	

Controlled Document